



# PROCEDURES MANUAL

## JULY 2022



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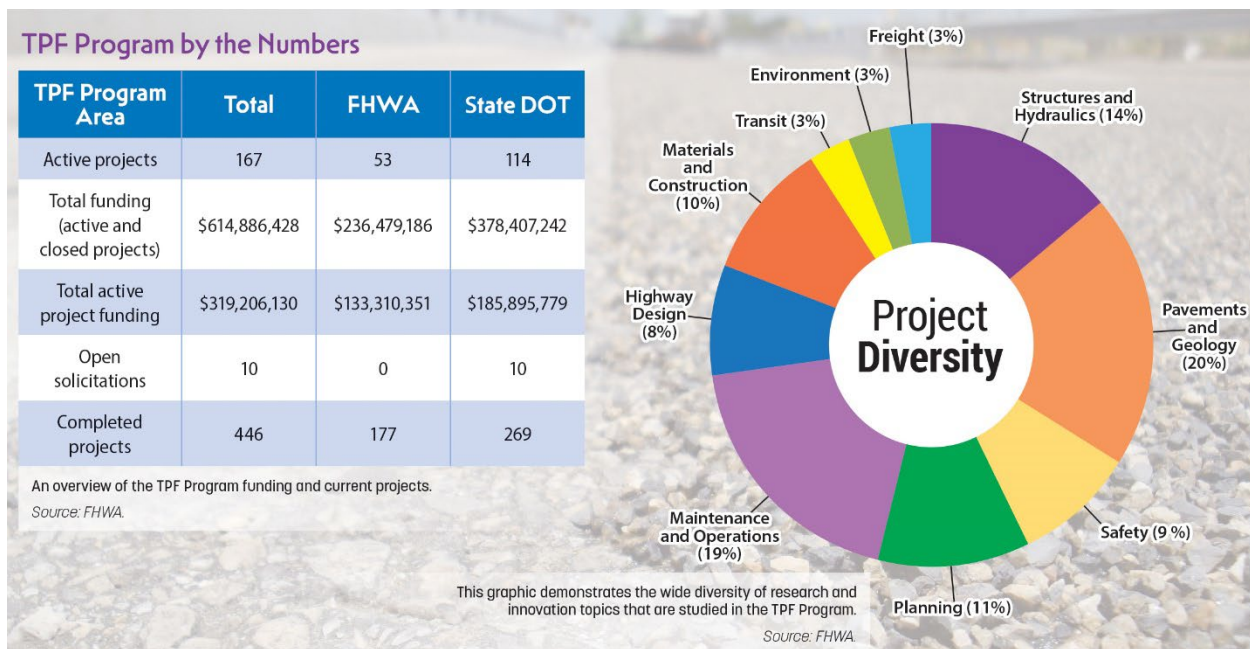
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# CHAPTER 1. WHAT IS THE TRANSPORTATION POOLED FUND (TPF) PROGRAM?

The TPF Program is a collaborative program that has existed for more than 45 yr. The program was first defined in 1977 per Title 23 Code of Federal Regulations (CFR) § 560.3 as a Federal Highway Administration (FHWA)-administered program in coordination with State departments of transportation (DOT). The TPF program creates an opportunity for partners to pool their funds, subject matter expertise, and resources to conduct high-priority research to meet a wide variety of shared transportation problems. Being able to pool funds allows participants to get more out of a study than if they conducted a study on their own. By pooling funds and expertise, participants develop innovative solutions with a smaller investment while also extending the reach and impact of their research. Projects that previously could have been cost prohibitive become much more achievable through participation in the TPF Program. By offering hundreds of active pooled fund studies, the TPF Program assists partners in finding and funding projects applicable to their agency's needs.

Since 2003, the TPF Program has processed more than \$615 million in collaborative funding. Although the TPF Program is always growing and changing, as of February 2022, there were more than 167 active projects and 10 open solicitations. Figure 1 and Figure 2 show the diverse topic areas, which allow transportation partners to remain nimble and focus on solving their specific transportation issues while stretching their funds to learn about a wide array of topic areas.



Source: FHWA.

**Figure 1. Table. An overview of the TPF Program funding and current projects.**

Source: FHWA.

**Figure 2. Chart. An overview of the wide diversity of research and innovation topics that are studied in the TPF Program.**

## What is a TPF Study?

A TPF study is intended to address a new area of research, planning or technology transfer or to provide information that will complement or advance those areas. TPF studies provide a mechanism for agencies to collaborate to invest in multiple research efforts at a fraction of the cost.

## CHAPTER 2. PURPOSE OF THIS MANUAL

The purpose of this document is to provide both TPF Program guidance covering issues ranging from the TPF project solicitation through closeout. The target audiences for this manual are those who participate in the TPF Program. The procedures manual contains step-by-step instructions, example documents, and appendices of resources.

This manual accompanies other resources that are available on the interactive [TPF website](#). This manual, the *Web User Manual*, and *Financial Procedures Manual* can be found on the [Frequently Used Resources](#) page of the TPF website, along with other tools such as the TPF checklist shown in Figure 43 and Figure 44 and Program flowcharts.

## CHAPTER 3. LEGISLATIVE AND REGULATORY REQUIREMENT

The State Planning and Research Program (SPR) is authorized by 23 U.S. Code §505 and is regulated under 23 CFR Part 420. The Fixing America's Surface Transportation Act (FAST Act) amended 23 U.S. Code §505 and requires that States set aside for State planning and research activities 2 percent of the apportionments they receive from the following five programs:

- The National Highway Performance Program.
- The Surface Transportation Block Grant Program.
- The Highway Safety Improvement Program.
- The Congestion Mitigation Air Quality Improvement Program.
- The National Highway Freight Program.

Of this amount, States must allocate 25 percent for research, development, and technology. These activities involve researching new areas of knowledge; adapting findings to practical applications by developing new technologies; and transferring 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 subawards to State, local, and Tribal governments. Section 505 of Title 23 of the United States Code provides guidance on which 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 TPF 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 it 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 U.S.C. 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.

The following three methods are available for transferring committed (pledged) funds to a lead agency:

1. Direct transfers of Federal funds via transfer form FHWA 1575-C, as shown in Figure 46.
2. Payment contributions (via check) directly to the lead State (non-State DOT agencies or entities only).
3. Pay.gov (a system provided by the U.S. Department of Treasury to make secure electronic payments to Federal Government agencies). See Figure 52 for a sample form.



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 4. PROGRAM REQUIREMENTS

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

1. Either a State DOT or FHWA must sponsor TPF studies.
2. At a minimum, a lead agency must partner with at least one other agency listed in the program participation section to qualify as a TPF study.
3. The proposed study must be documented in the State's work program if it is a State-led study. 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. A TPF project's target duration should not exceed 5 yr. If the project has a viable reason to extend beyond 5 yr, the project should be closed and a new TPF study should be established to continue the research. This process 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 is paid, and the contracts are 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 5 yr.

## Program Participation

The TPF Program is unique in that it allows for a wide variety of partners to participate and collaborate. For example, the Program embraces public-private partnerships and international organization participation. The following types of agencies are encouraged to join as study partners:

- FHWA.
- State DOTs.
- Federal agencies.
- Regional and local agencies.
- Academic institutions.
- Associations.
- Private industry.
- Foreign entities in positive standing with the U.S. Government.

## SPR Match Waiver

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

A “waiver request letter” should be submitted to the local FHWA division office (if State-led) or to the TPF program manager (PM) (if FHWA led) once the solicitation has been entered into the TPF website. The solicitation number should be included in the request letter. See CHAPTER 9 of this manual for additional information.

## Foreign Entities

### International Participation

International participation in the TPF Program is welcomed and encouraged. Any country with a treaty in good standing with the U.S. Government is welcome to participate. Information regarding the process for non-Federal contributions can be found in CHAPTER 11.

### Administrative Requirements

The lead agency 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 lead agency 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 TPF website to provide broad availability. Furthermore, the lead agency is to regularly review, and update study information maintained on the TPF website to ensure that the information provided is current. Additional information regarding project management requirements is provided in [Chapter 12. Nonfederal Payments](#).

### How To Participate

The contracting and acquisition laws and regulations of the lead agency will govern the project delivery process, including such things as consultant selection, contract management, and reporting and Title VI of the Civil Rights Act of 1964 requirements.

- Partner countries can be provided a user identification and password to the TPF website to enable them to view current projects and solicitations as well as to make a financial commitment to any project in which they decide to participate.
- For FHWA-led TPF projects, foreign government funds are transferred via Pay.gov to FHWA and placed under an FHWA-led TPF project. Procedures for using Pay.gov are also in CHAPTER 12.
- The State DOT and the country involved handle funds provided to a State-led TPF project. 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 5. TPF WEBSITE

The TPF website was launched in 2003 at [www.pooledfund.org](http://www.pooledfund.org). Accessible to anyone with an interest in pooled fund studies, the site serves as a mechanism through which all project partners can post and update information. The site allows for online solicitations and commitments of prospective partners and the posting of progress reports, submittals, and deliverables. It also serves as a tool for tracking and producing reports on pooled fund activities. In September 2021, the TPF website went through another effort to streamline and update the site to improve efficiency for users.

Site enhancements are evaluated each year as part of an ongoing effort to improve the TPF Program's efficiency. The interactive site has not only enhanced communication among TPF Program participants but has also helped to promote the great research and innovation being done through the Program.

The TPF website includes the following features:

- 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.

The following features are interactive:

- A map that features current data on active and closed TPF projects.
- Smart grids that allow users to conveniently filter information and navigate to the selected information on a range of topics, including solicitations, commitments, and so on.
- Automatic notifications.
- New solicitations.
- Updates on study activities.
- Reminders to obligate funds.

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## Authorized User Access

Currently, password-restricted access is provided to TPF program participants. To create a new account or to update your permissions, please contact the TPF PM.

For additional questions on the TPF website, please see the *TPF Web User Manual* or contact the TPF PM.

# CHAPTER 6. ESTABLISHING A TPF STUDY

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

## State-Led Projects

For State-led TPF studies that would like to establish a TPF project, please proceed with the following steps, as illustrated in [Figure 39](#) and [Figure 40](#):

1. The lead agency is to ensure that the proposed project is in the State's work program.
2. The lead agency is encouraged but not required to 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 description of the specific research activities to be undertaken.
  - The total estimated costs as well as the requested contribution (per partner, per fiscal year (FY)).
  - The estimated project duration.
3. The lead agency is required to submit a request to establish the TPF project to the local FHWA division office for processing and approval. *Note: If the primary source of funding for the project will be SPR and the lead agency is interested in requesting the waiver for the use of 100-percent 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 TPF 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 TPF PM. Please see [Appendix VI. SPR Waiver Request \(State Dot-Led\)](#) for an example request letter.*

The lead agency will be notified of the waiver request's approval via an email. The duration of this process is approximately 2–3 w.

Sample language to request the SPR waiver is as follows:

*"In support of the current pooled fund solicitation no. 1221, "Support of the Motorcycle Crash Causation Study," the Michigan Department of Transportation (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 six, including the lead agency, and the approximate level of funding required to complete the research is \$750,000.*

*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 decreased. 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 more than 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, although 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 TPF 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.*

The project manager, “lead agency contact,” is to monitor the status of their TPF 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, the TPF website will generate an automated message and send it to the TPF PM. The TPF PM will clear the TPF solicitation and assign an official study number with the number prefix TPF-5[XXX].

5. Upon receipt of the official study number, the lead agency contact is to develop an “acceptance letter” that formally acknowledges their willingness to accept funding, lead, and manage the TPF project. The project partners are to use the acceptance letter, along with transfer form FHWA 1575 (State-to-State transfer), to formally transfer their committed funding to the designated lead agency.

## **FHWA-Led Projects**

For FHWA led TPF studies, the lead agency should proceed with the following steps, as illustrated in [Figure 41](#) and [Figure 42](#):

1. The lead agency is required to submit a request to establish the TPF project to the TPF PM for processing and approval. This request may be via email. Note: If the primary source of funding for the project will be SPR and the lead agency is interested in requesting the waiver for the use of 100-percent SPR funding, a “waiver request letter” should be submitted to the TPF PM once the solicitation has been posted to the TPF website. The solicitation number should be included in the waiver request letter. Please see appendix VII for an example request letter. The lead agency will be notified of the waiver request’s approval via an email. The duration is approximately 2–3 w.



Sample language to request the SPR waiver is as follows:

*To: Transportation Pooled Fund Program Manager*

*The Federal Highway Administration (FHWA) Office of Safety and Operations Research and Development would like to establish a follow-on pooled fund study to TPF 5(361) using 100-percent SPR funding. This request is for the solicitation titled “SHRP 2 Naturalistic Driving Study Pooled Fund II: Advancing Implementable Solutions” (Solicitation 1568).*

*The FHWA Office of Safety and Operations Research and Development estimates approximately 10 to 15 State DOTs will participate in this study with FHWA as the lead agency. We anticipate that most of the participating State DOTs will use SPR funding. The FHWA lead and technical liaison for the study is Charles Fay from the Office of Safety and Operations Research and Development.*

*Your approval to establish this pooled fund study at 100-percent SPR 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 202–493–3269, [brian.cronin@dot.gov](mailto:brian.cronin@dot.gov).*

1. The lead agency is encouraged but not required to develop a project proposal and include 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 FY).
  - The estimated project duration.
2. The project manager, “lead agency contact,” is to post the TPF solicitation on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)).
3. Sample language to request the waiver is available in the State-led section of this chapter. The lead agency will be notified of the waiver request approval via an email from the TPF administrative assistant. The process duration is approximately 2–3 w.

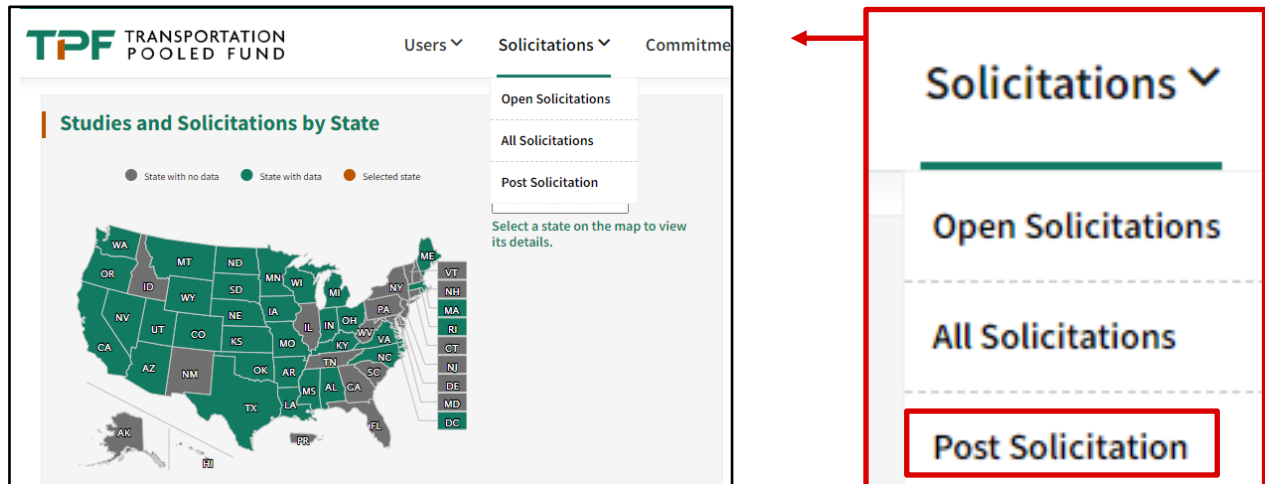
4. The lead agency contact is to monitor the status of their TPF solicitation and indicate when the sufficient level of funding commitments has been received by changing the commitments received indicator on the TPF website to “yes” when appropriate. Once a sufficient level of funding commitments has been received, the TPF PM will clear the TPF solicitation and assign an official study number (i.e., TPF-5[XXX]).
5. 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 project partners will use the acceptance letter, along with transfer form FHWA 1575-C, to formally transfer their committed funding to the designated project manager’s office in FHWA.

# CHAPTER 7. HOW TO POST A SOLICITATION

Reminder: Only FHWA or a State DOT can post a TPF solicitation.

## How To Post a New Solicitation

After logging onto the TPF website, click on the “Solicitations” tab and “Post Solicitation,” as illustrated in Figure 3.



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**Figure 3. Screenshot. An overview of how to post solicitations on the TPF website.**

Enter solicitation details, as shown in Figure 4.

**TPF TRANSPORTATION POOLED FUND**

Users ▾ Solicitations ▾ Commitments ▾ Studies ▾ Tools ▾ Help ▾ Q

**Transportation Pooled Fund - Create Solicitation**

Home ▾ Solicitations ▾ Post New Solicitation

### Post Solicitation

#### General Information

Title \*

Study Number:  Previous Study Number:

Related Study Number:  Status:

Subject Status:

Lead Organization: \*

Lead Study Contact: \*

\* Study Champion:

Study Champion Email:

Study Subjects:

#### Financial Summary

Project Technical Review: ☐ Yes (Pilot A) ☐ Yes (Pilot B) ☒ No

Current Requests:  Estimated Study Duration:

Current Time of Day View:  Current Time of Day View:

Application Date:

Application Status:

### Study Description

Study Objectives: 2500

Background: 2500

Scope of Work: 2500

Comments: 2500

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**Figure 4. Screenshot.** An overview of how to enter solicitation details on the TPF website.

In the form that comes up (see Figure 5 and Figure 6 with steps):

1. Your agency will automatically be listed as the “lead agency,” and your name will be listed as the “lead agency contact.” You can change the lead agency contact if necessary.
2. You can select a “study champion” if needed. A study champion can be from any agency and could even be a consultant that you have hired to help with the work. If their name is not already in the dropdown box, you will need to add them to the TPF database by clicking on “Add/Update Person/Agency” in the menu bar at the top and adding a new person. Once they are added they will automatically appear in the study champion dropdown box, and the webmaster will automatically receive an email notification to set up a login account for that person.
3. Select “FHWA Technical Liaison” if applicable.
4. Select if you are planning to apply for an SPR waiver request.
5. Fill out all required fields.
6. Click on “Save.” Your solicitation has now been saved, and a solicitation number has been created.
7. An email will be sent to all TPF website subscribers and lead agency contacts to notify them that a new solicitation has been posted. These notification emails are typically sent each evening.



#### NOTE

Solicitation number should be entered manually as the next sequential solicitation number.

# Transportation Pooled Fund - Create Solicitation

Home > Solicitations > Post New Solicitation

## Post Solicitation

### General Information

Title: \*

Study Number: Former Study Number:

Related Study Number: Status:\*

Lead Organization: \*

Lead Study Contact:\*

Study Champion:

Study Subjects:

### Financial Summary

FHWA Technical Liason:\*

Waiver Requested: ☐ Yes (Part A) ☐ Yes (Part B) ☒ No

Commitments Required:\*

Estimated Study Duration:

Commitment Start Year:\*

Commitment End Year:\*

Expiration Date:

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Figure 5. Screenshot. An overview of the solicitation form on the TPF website.



**TPF TRANSPORTATION POOLED FUND**

Users Solicitations Commitments Studies Tools Help

**Transportation Pooled Fund - Create Solicitation**

Home Solicitations Post New Solicitation

### Post Solicitation

#### General Information

Title \*

Study Number: Previous Study Number:

Related Study Number: Status: Select Status

Lead Organization: \*

Lead Study Center: \*

Study Champion:

Study Subjects:

#### Financial Summary

Public Technical Review: ☐ Yes (Not A) ☐ No (Not B) ☒ No

Commitments Required? Estimated Study Duration: 5 to 10000

Commitment Start Year: SELECT Year Commitment End Year: SELECT Year

Registration Date:

#### Study Description

Study Objectives: CHARACTER 0 / 9000

#### Background:

CHARACTER 0 / 9000

#### Scope of Work:

CHARACTER 0 / 9000

#### Comments:

CHARACTER 0 / 9000

Cancel Save

Cancel Save

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Figure 6. Screenshot. An overview of the solicitation form on the TPF website.

## How To Upload a Document

Navigate to the “Study” page.

Select “Update” button, as shown in Figure 7.

**TPF** TRANSPORTATION POOLED FUND

Users ▾ Solicitations ▾ Commitments ▾ Studies ▾ Tools ▾ Help ▾

**Transportation Pooled Fund - Study Detail**

Home ▾ Studies ▾ Safety Service Patrol Standardization and Management Practices

**Safety Service Patrol Standardization and Management Practices**

Update View Commitments Print

<b>General Information</b>	<b>Financial Summary</b>
Study Number: TPF-5(489)	Contract Amount:
Lead Organization: Federal Highway Administration	Total Commitments Received: \$1,300,000.00
Solicitation Number: 1559	100% SP&R Approval: Approved
Partners: *, CA, FHWA, GADOT, IN, MDOT SHA, MI, MN, NC, NJ, NY, PADOT, TN, TX, WA	<b>Contact Information</b>
Status: Cleared by FHWA	Lead Study Contact(s): Paul Jodoin
Est. Completion Date:	paul.jodoin@dot.gov
Contract/Other Number:	Phone: 202-366-5465
Last Updated: Jan 19, 2022	FHWA Technical Liaison(s): Paul Jodoin
Contract End Date:	paul.jodoin@dot.gov
	Phone: 202-366-5465
	Study Champion(s): Jim Austrich
	james.austrich@dot.gov
	Phone: 202-366-0731

**Update**

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**Figure 7. Screenshot. An overview of how to upload a document.**

Scroll to the bottom on the page under “Upload Documents.” Enter document title.

Click on “Drop a file to upload” to search documents to upload, as illustrated in Figure 8.

**Upload Documents**

**Title:** \*

**Upload File:**

(Maximum file size is 20 MB.)

Drop a file to upload

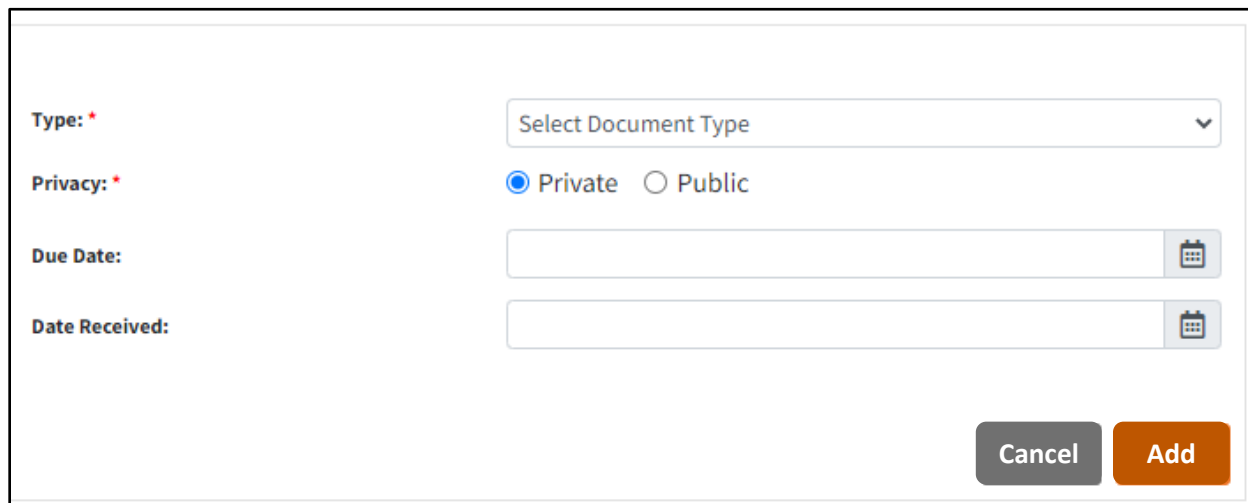
**Or Specify URL:**

© 2022 NASEM.

**Figure 8. Screenshot. An overview of how to upload a document.**


Select type of document. Select if the document is “Public” or “Private,” as shown in Figure 9.


- Public documents can be seen by everyone, whether or not they are an authorized user.
- Private documents can only be seen by people associated with the study (i.e., partners, TAC, research team members).

A screenshot of a web form for designating a document. The form has four main sections: 'Type' with a dropdown menu labeled 'Select Document Type'; 'Privacy' with two radio buttons, 'Private' (selected) and 'Public'; 'Due Date' with a text input field and a calendar icon; and 'Date Received' with a text input field and a calendar icon. At the bottom right are two buttons: 'Cancel' (grey) and 'Add' (orange).

Type: \*

Privacy: \* ☒ Private ☐ Public

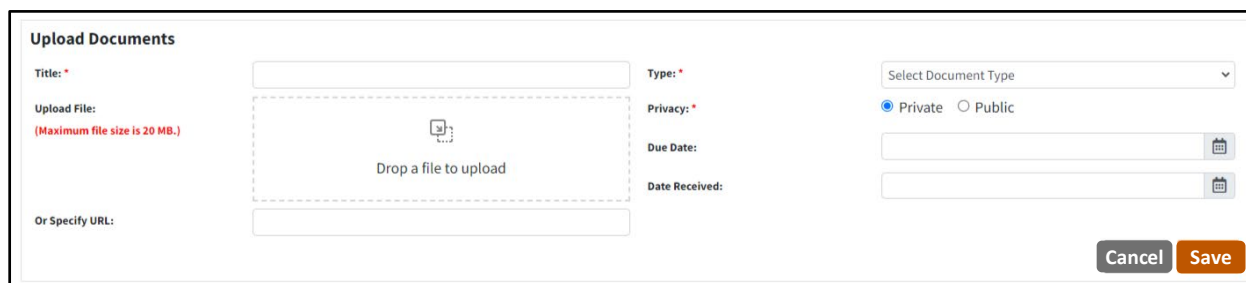
Due Date:  

Date Received:  

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**Figure 9. Screenshot. An overview of how to designate a document as public or private.**

Documents with funding information should be marked as private. The “Date Due” and “Date Received” fields do not need to be completed. After finalizing, be sure to click “Add” and “Save” at the bottom of the page, as illustration in Figure 10.

A screenshot of a web form titled 'Upload Documents'. It contains several fields: 'Title' (text input), 'Type' (dropdown menu labeled 'Select Document Type'), 'Privacy' (radio buttons for 'Private' and 'Public'), 'Due Date' (text input with calendar icon), and 'Date Received' (text input with calendar icon). On the left, there is an 'Upload File' section with a dashed box containing a file icon and the text 'Drop a file to upload', and a note '(Maximum file size is 20 MB.)'. Below this is an 'Or Specify URL' section with a text input field. At the bottom right are 'Cancel' and 'Save' buttons.

**Upload Documents**


Title: \*


Upload File:  Drop a file to upload  
(Maximum file size is 20 MB.)

Or Specify URL:

Type: \*

Privacy: \* ☒ Private ☐ Public

Due Date:  

Date Received:  

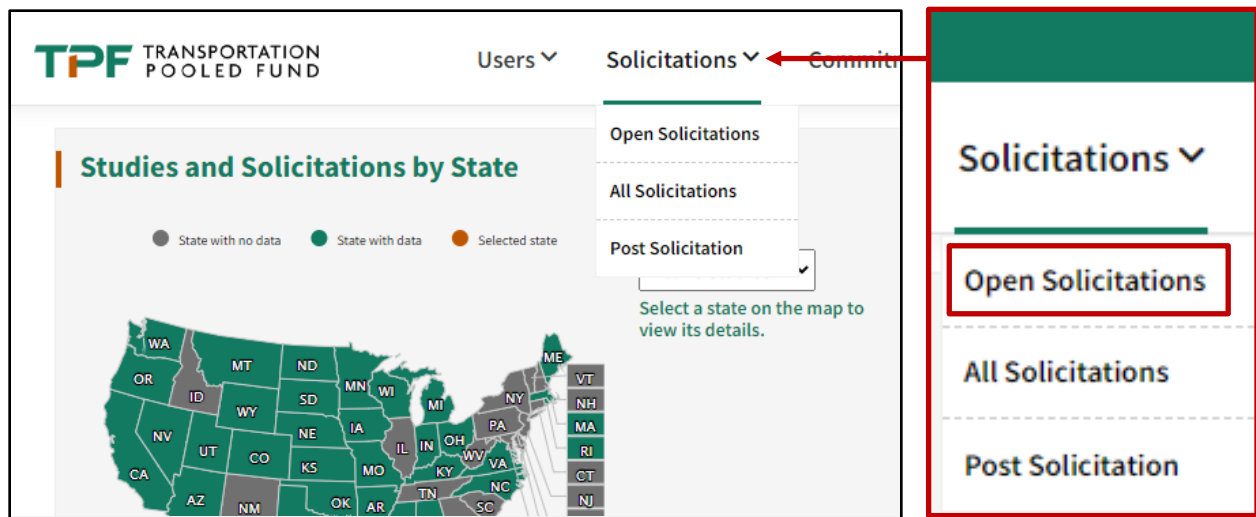
© 2022 NASEM.

**Figure 10. Screenshot. An overview of where to save after designating a document as public or private.**

Study partners and TAC members will receive an email notifying them that the document was posted. After uploading, the document should be visible under “Study Documents.”

## How To Update a Solicitation

Click the “Solicitations” tab and then “Open Solicitations,” as seen in Figure 11.



**Figure 11. Screenshot. An overview of how to update a solicitation on the TPF website.**

Filter and find the solicitation of interest by “Number” or “Title,” as presented in Figure 12.

Transportation Pooled Fund - Open Solicitations

Status: ☒ Solicitation Posted ☐ Solicitation Withdrawn ☐ End Solicitation Phase

Number	Title	Status	Lead Organization	Actions
1584	National Hydraulic Engineering Conference	Solicitation posted	Federal Highway Administration	...
1582	Sustainable Performance Engineered Concrete	Solicitation posted	Iowa Department of Transportation	...

Transportation Pooled Fund - Open Solicitations

Status: ☒ Solicitation Posted ☐ Solicitation Withdrawn ☐ End Solicitation Phase

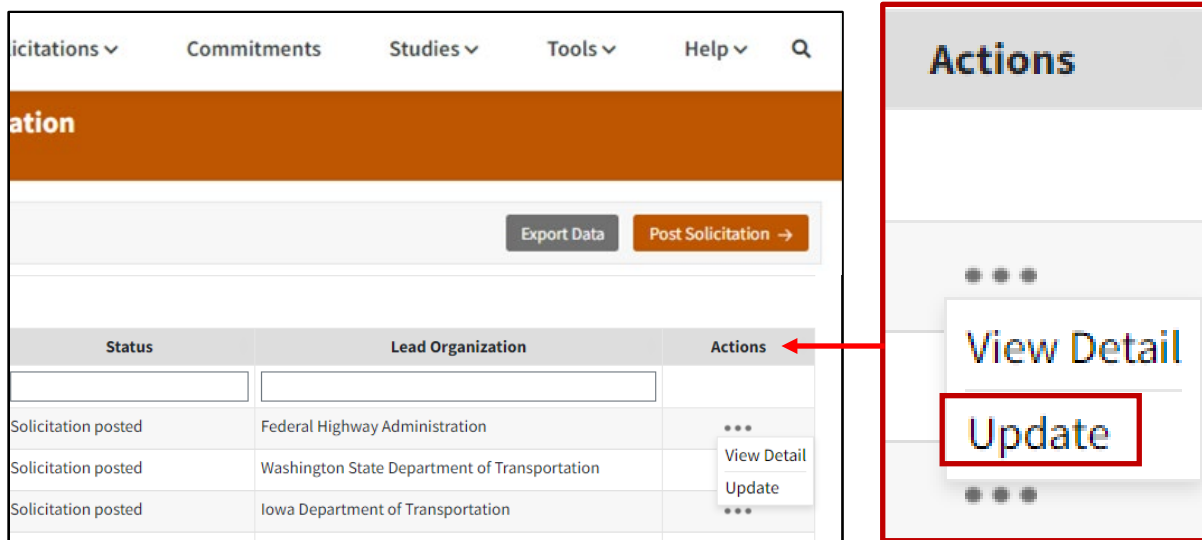
Number	Title	Status
1584	National Hydraulic Engineering Conference	Solicitation posted
1582	Sustainable Performance Engineered Concrete	Solicitation posted
1581	Improving the Quality of Preventive Maintenance Construction and Data Collection Practices	Solicitation posted

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**Figure 12. Screenshot. An overview of how to filter and find the solicitation of interest on the TPF website.**

There are two ways to update your solicitation.

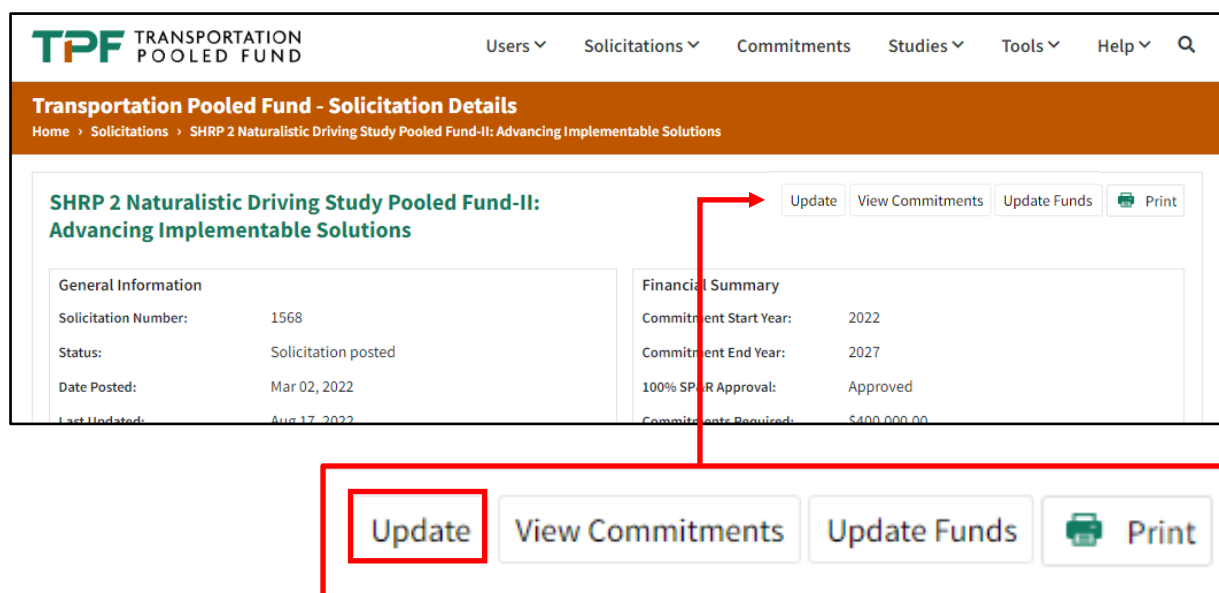
1. You can click on the three dots under the “Actions” column next to your solicitation and select “Update,” as shown in Figure 13.



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**Figure 13. Screenshot. An overview of how to update a solicitation on the TPF website.**

2. Or you can navigate to the solicitations details page and select the “Update” button at the top of the page, as illustrated in Figure 14.



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**Figure 14. Screenshot. An overview of an alternate way to update a solicitation on the TPF website.**

You will then be able to edit all the content of the solicitation. Ensure that after updating you click “Save” at the bottom of the page, as shown in Figure 15.



Update Solicitation

View Solicitation Details

General Information

Solicitation Number

1567

Title:

Roadside Safety Pooled Fund - Phase 3

Study Number:

Former Study Number:

TPF-5(343)

Related Study Number:

Status:

Solicitation posted

Lead Organization:

Washington State Department of Transportation

Lead Study Contact:

Washington State Department of Transportation / Mohamedali, Mustafa

Study Champion:

Washington State Department of Transportation / Donahue, John

Study Subjects:

Financial Summary

FHWA Technical Liaison:

Select FHWA Technical Liaison

Waiver Requested:

Yes (Part A)

Yes (Part B)

No

Commitments Required:

\$ 500000.00

Estimated Study Duration: (in months)

60

Commitment Start Year:

2023

Commitment End Year:

2028

Sufficient Commitments Received:

Yes

No

Expiration Date:

1/27/2023

Study Description

Study Objectives:

15

B

U

I

X

X

A

Characters: 1057 / 8000

The objective of this Pooled Fund is to assist transportation agencies in achieving their Roadway Departure (RwD) related all state Strategic Highway Safety Plans (SHSPs) goals through development, evaluation and deployment of life-saving roadside safety devices and countermeasures in accordance with AASHTO and Federal Highway Administration (FHWA) adopted standards such as the Manual for Assessing Safety Hardware (MASH). It will also support continuation of MASH implementation in roadside hardware categories that have lagged in achieving MASH compliance (special barrier applications, sign supports, work zone traffic control devices, luminaire poles, etc.) due to various design and performance challenges and other related factors. These activities will directly support and impact state efforts to achieve Target Zero by helping reduce the frequency and severity of roadway departure crashes.

Given their common interest in SHSP implementation, all states would benefit from participation in this Pooled Fund program. However, the FHWA Roadway Departure Focus States may particularly benefit from the roadside safety research, collaboration, and information sharing that will constitute the framework of the program.

Background:

15

B

U

I

X

X

A

Characters: 2069 / 8000

The current TPF-5(343) Roadside Safety Research for MASH Implementation pooled fund study expires in 2023. Road to Zero has targeted a goal of zero deaths and serious injuries on our roadways. This strategic call to action and collaboration is built on the belief that not a single death is acceptable on our roadways. Every life matters.

Unfortunately, recent trends indicate a continued increase in highway fatalities. Data (2017-2019) from the Fatal Analysis Reporting System (FARS) indicates that 45% of fatalities on the nation's roadways are a result of roadway departure crashes. The FHWA has identified RwD Safety as one of three critical focus areas with the greatest potential to reduce highway fatalities using infrastructure-oriented improvements. As a result, RwD safety is an element of. Roadside safety devices are a key element of an effective roadway departure safety strategy. This includes development of both new and improved systems along with their proper implementation (selection and placement).

One of three main initiatives identified by the National Safety Council's Road to Zero Coalition to reduce roadway fatalities is "Advancing life-saving technology in vehicles and infrastructure." While advancements in vehicle design will be a significant part of the solution, it is an area exclusive to vehicle manufacturers to develop and implement. Conversely, roadway and roadside infrastructure is an area that can be directly impacted and improved through collaboration of researchers, transportation engineers, and designers. Given their

Background:

15

B

U

I

X

X

A

Characters: 2069 / 8000

The current TPF-5(343) Roadside Safety Research for MASH Implementation pooled fund study expires in 2023. Road to Zero has targeted a goal of zero deaths and serious injuries on our roadways. This strategic call to action and collaboration is built on the belief that not a single death is acceptable on our roadways. Every life matters.

Unfortunately, recent trends indicate a continued increase in highway fatalities. Data (2017-2019) from the Fatal Analysis Reporting System (FARS) indicates that 45% of fatalities on the nation's roadways are a result of roadway departure crashes. The FHWA has identified RwD Safety as one of three critical focus areas with the greatest potential to reduce highway fatalities using infrastructure-oriented improvements. As a result, RwD safety is an element of. Roadside safety devices are a key element of an effective roadway departure safety strategy. This includes development of both new and improved systems along with their proper implementation (selection and placement).

One of three main initiatives identified by the National Safety Council's Road to Zero Coalition to reduce roadway fatalities is "Advancing life-saving technology in vehicles and infrastructure." While advancements in vehicle design will be a significant part of the solution, it is an area exclusive to vehicle manufacturers to develop and implement. Conversely, roadway and roadside infrastructure is an area that can be directly impacted and improved through collaboration of researchers, transportation engineers, and designers. Given their

Scope of Work:

15

B

U

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X

X

A

Characters: 1080 / 8000

Representatives of participating states will be convened as a technical committee to identify common research needs, select and prioritize projects for funding, and oversee research and testing. Specific activities include the design, analysis, testing, and evaluation of crashworthy roadside safety devices, and the development of guidelines for the use, selection, and placement of these devices. Devices to be considered for research include bridge rails, guardrails, transitions, median barriers, portable concrete barriers, end treatments, crash cushions, culverts, breakaway support structures (e.g., sign supports, luminaire supports, mailboxes), and work zone traffic control devices. Research will also address the influence of roadside features such as driveways, slopes, ditches, shoulders, medians, and curbs on vehicle collision performance. Computer simulation, full-scale crash testing, analysis of real-world crash data, and cost effectiveness analysis are the primary tools that will be employed in these investigations. The identification, description, selection, and prioritization of research issues will be made by the technical committee on an annual basis, unless emerging issues require committee decisions in the interim.

Comments:

15

B

U

I

X

X

A

Characters: 712 / 8000

WSDOT will serve as the chair of the technical committee and will enter into an agreement with Texas Transportation Institute (TTI) to perform the research works associated with the projects selected by the technical committee. TTI will report back to the committee on a regular and as needed basis, seeking the committee's guidance when appropriate. TTI anticipates offering a reduced overhead rate for projects conducted under this pooled fund project at 35% of modified total direct costs. **At a minimum, participating states must commit \$65,000 per year for five years to participate in the pooled fund project. Those states that have already posted their [\$50k] commitments for 2023 as well as those considering committing for the current TPF-5(343) study may want to move their commitments to this new Phase 3 solicitation at the \$65k level.**

Title:

Type:

Select Document Type

Privacy:

Private

Public

Upload File:

(Maximum file size is 20 MB.)

Drop files here to upload

Or Specify URL:

Cancel

Add

No document attached.

Cancel

Save

Cancel

Save

Cancel

Save

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**Figure 15. Screenshot. An overview of how to edit the content of a solicitation on the TPF website.**

## Timeframe for Solicitations

A solicitation may remain posted on the TPF website for up to 1 yr. 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 TPF project to be initiated within 10 mo 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.



### NOTE

If the level of required commitments is not received within the 1-yr time frame of its initial posting, the TPF PM will withdraw the solicitation.

## CHAPTER 8. POSTING A COMMITMENT

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 TPF project when requested.



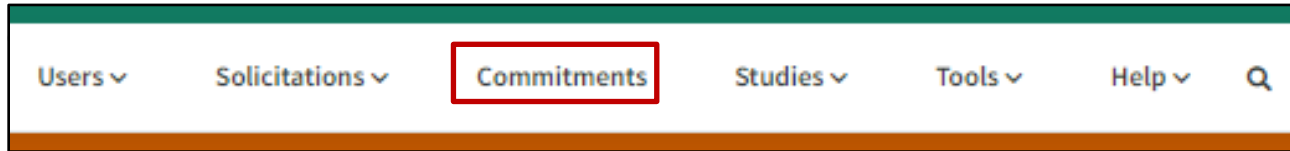
### NOTE

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,” or “lead agency contact.” When a State DOT is committing SPR-B funds, it is acknowledging that the project and requested funding are included in its work program.

## How To Post a Commitment

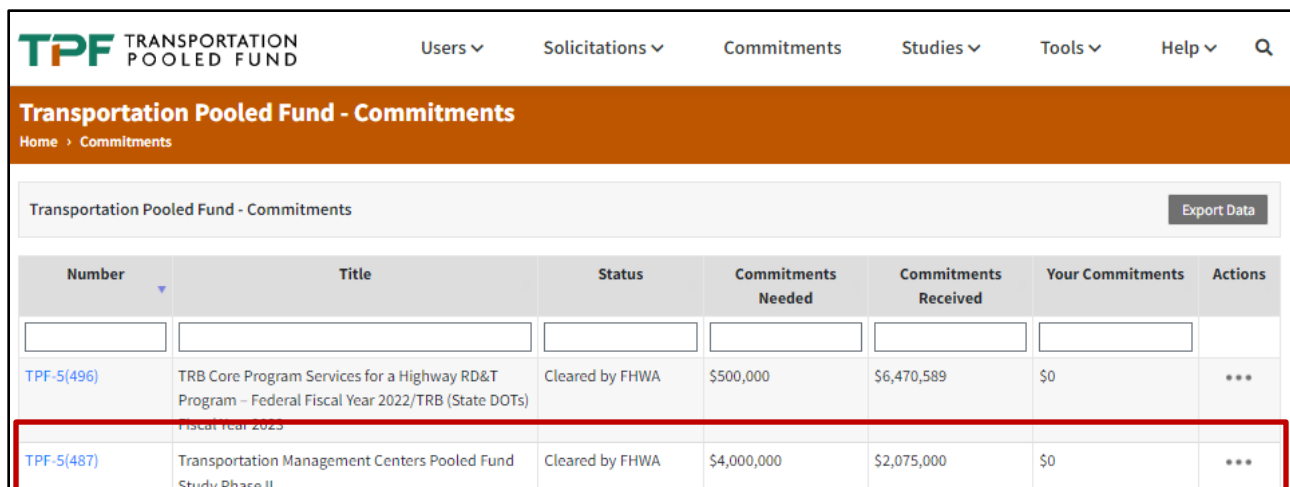
Click on the “Commitments” tab, as shown in Figure 17.



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**Figure 17. Screenshot. An overview of the first step in posting a commitment on the TPF website.**

Navigate to your selected TPF study or solicitations, as illustrated in Figure 18.

A screenshot of the 'Transportation Pooled Fund - Commitments' page. The page has an orange header with the TPF logo and navigation tabs. Below the header is a table with columns: Number, Title, Status, Commitments Needed, Commitments Received, Your Commitments, and Actions. The table contains two rows of data. The second row is highlighted with a red border.

Number	Title	Status	Commitments Needed	Commitments Received	Your Commitments	Actions
<a href="#">TPF-5(496)</a>	TRB Core Program Services for a Highway RD&T Program – Federal Fiscal Year 2022/TRB (State DOTs) Fiscal Year 2023	Cleared by FHWA	\$500,000	\$6,470,589	\$0	...
<a href="#">TPF-5(487)</a>	Transportation Management Centers Pooled Fund Study Phase II	Cleared by FHWA	\$4,000,000	\$2,075,000	\$0	...

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**Figure 18. Screenshot. An overview of the second step in posting a commitment on the TPF website.**

Click the three dots under “Actions” and select “Commit,” as shown in Figure 19.

Title	Status	Commitments Needed	Commitments Received	Your Commitments	Actions
odeling (BIM) for Infrastructure	Cleared by FHWA	\$1,230,000	\$1,650,000	\$90,000	...
way Operations Phase III Pooled Fund	Cleared by FHWA	\$425,000	\$1,450,000	\$25,000	...
nce New Pavement Technologies Pooled	Cleared by FHWA	\$2,050,000	\$560,000	\$0	...

...

Commit

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**Figure 19. Screenshot. An overview of the third step in posting a commitment on the TPF website.**

Figure 20 shows the screen when you click on “Commit” in the ellipsis.

**Transportation Pooled Fund - Commit Funds**

Home > Studies > Commit Funds

### Commit Funds

**Study Number:** TPF 5(489)  
**Title:** Safety Service Patrol Standardization and Management Practices  
**Objectives:** The primary objective of this PFS study will be to gain technical information related to SSP program management, standards associated with SSP response protocol and the implementation of traffic control, and references and guidance related to staffing, training, and resource allocations within SSP programs. The goals include: 1. Assemble best practices and lessons learned from existing programs 2. Develop guidance documents based on lessons learned from existing programs 3. Reference or create tools that will help agencies make informed program decisions such as route selection, staffing levels, and resource allocation  
**Lead Agency:** Federal Highway Administration  
**Considering Agency:** \*

### Contact Details

**Funding Contact:**   
**Technical Contact:**

[Manage TAC Members](#)

### Commitments

**Commitments Required:** \$800,000  
**Commitments Received:** \$1,300,000  
**Commitments:** \* Enter a commitment amount for at least one federal fiscal year.

Year (Federal FY) ⓘ	Amount	Source (if other than SP&R funds)
2021	\$ <input type="text"/>	<input type="text"/>
2022	\$ <input type="text"/>	<input type="text"/>
2023	\$ <input type="text"/>	<input type="text"/>
2024	\$ <input type="text"/>	<input type="text"/>
2025	\$ <input type="text"/>	<input type="text"/>

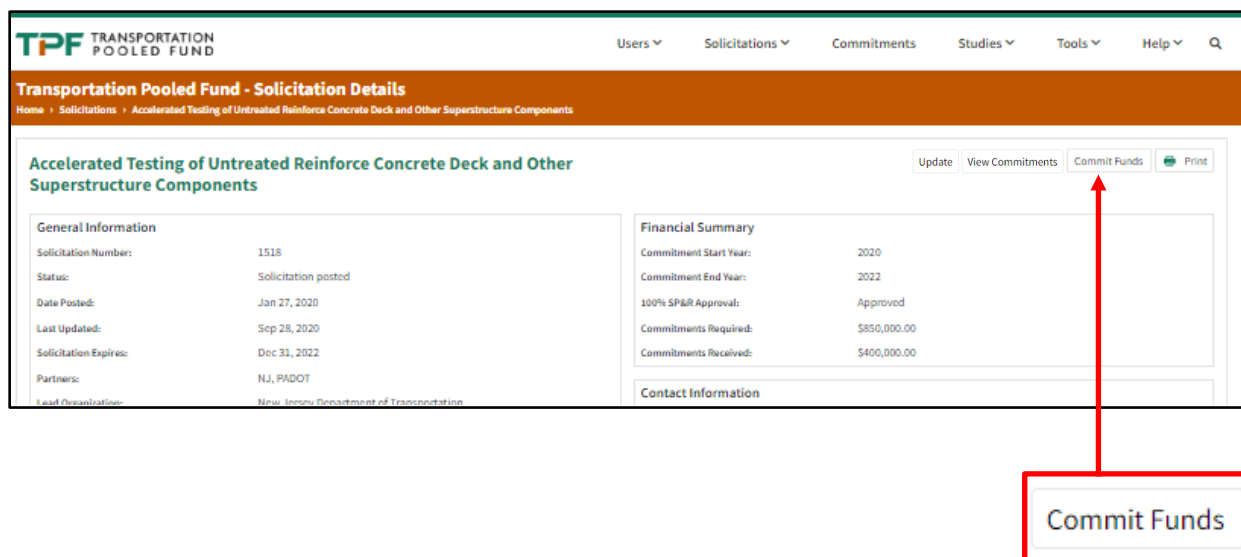
**Additional Comments:**

[Cancel](#) [Save](#)

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**Figure 20. Screenshot. An overview of the result of selecting “Commit” on the TPF website.**

You can also navigate to the TPF study or solicitation page and select “Commit Funds,” as seen in Figure 21. Please note that the option to commit funds will only appear if you are an authorized user and are logged into the system.



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**Figure 21. Screenshot. An overview of the “Commit Funds” screen on the TPF website.**

Once you’ve selected to commit funds, you will be taken to the page shown in Figure 22.

**Commit Funds**

Solicitation Number: 702

Title: UPDATE PRECIPITATION FREQUENCY ESTIMATES FOR DELAWARE, MARYLAND, NORTH CAROLINA AND VIRGINIA (NOAA ATLAS 14 VOLUME 13)

Objectives: The purpose of this project is to update precipitation frequency estimates for Delaware, Maryland, North Carolina and Virginia published in NOAA Atlas 14 Volume 2. Like previous NOAA Atlas 14 volumes, the estimates and associated bounds of 90% confidence intervals will be provided at 30 arc-sec resolution for durations of 5-minute through 60-day at average recurrence intervals (ARIs) of 1-year through 1,000-year. The study results will be published as NOAA Atlas 14 Volume 13, a wholly web based publication available at Precipitation Frequency Data Server (PFDS).

Lead Agency: Federal Highway Administration

Considering Agency: Montana Department of Transportation

**Contact Details**

Funding Contact\*: Sillick, Susan

Technical Contact\*: -- Select --

[Manage TAC Members](#)

**Commitments**

Commitments Required: \$1,096,000

Commitments Received: \$1,096,030

Commitments: \* Enter a commitment amount for at least one federal fiscal year.

Year (Federal FY) ☺	Amount	Source (if other than SP&R funds)
---------------------	--------	-----------------------------------

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**Figure 22. Screenshot. An overview of the result of selecting “Commit Funds” on the TPF website.**

On this page, shown in Figure 23, your agency will be automatically filled in for the “Partner Agency,” and your name will be selected for the “Funding Contact.” You can change the funding contact if you would like. You also need to select a “Technical Contact,” which will be the person responsible for interfacing with the study. This person could be the same person as the funding contact.

The screenshot displays a form with the following sections:

- Lead Agency:** Federal Highway Administration
- Considering Agency:** Montana Department of Transportation
- Contact Details:**
  - Funding Contact:\*** Sillick, Susan (selected from a dropdown menu)
  - Technical Contact:\*** -- Select -- (dropdown menu)

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**Figure 23. Screenshot. An overview of where to select a technical contact on the TPF website.**

Indicate your agency’s commitments for each FY accepting commitments. For “Source,” indicate which types of funds (i.e., State, SPR-B, non-Federal, and so on). Click “Save,” as illustrated in Figure 24.

The screenshot displays a form with the following sections:

- Commitments:**
  - Commitments Required: \$1,096,000
  - Commitments Received: \$1,096,030
  - Commitments: \* Enter a commitment amount for at least one federal fiscal year.
- Table:**

Year (Federal FY) ⓘ	Amount	Source (if other than SP&R funds)
2020	\$ <input type="text"/>	<input type="text"/>
2021	\$ <input type="text"/>	<input type="text"/>
2022	\$ <input type="text"/>	<input type="text"/>
- Additional Comments:**
- Buttons:** Cancel, Save

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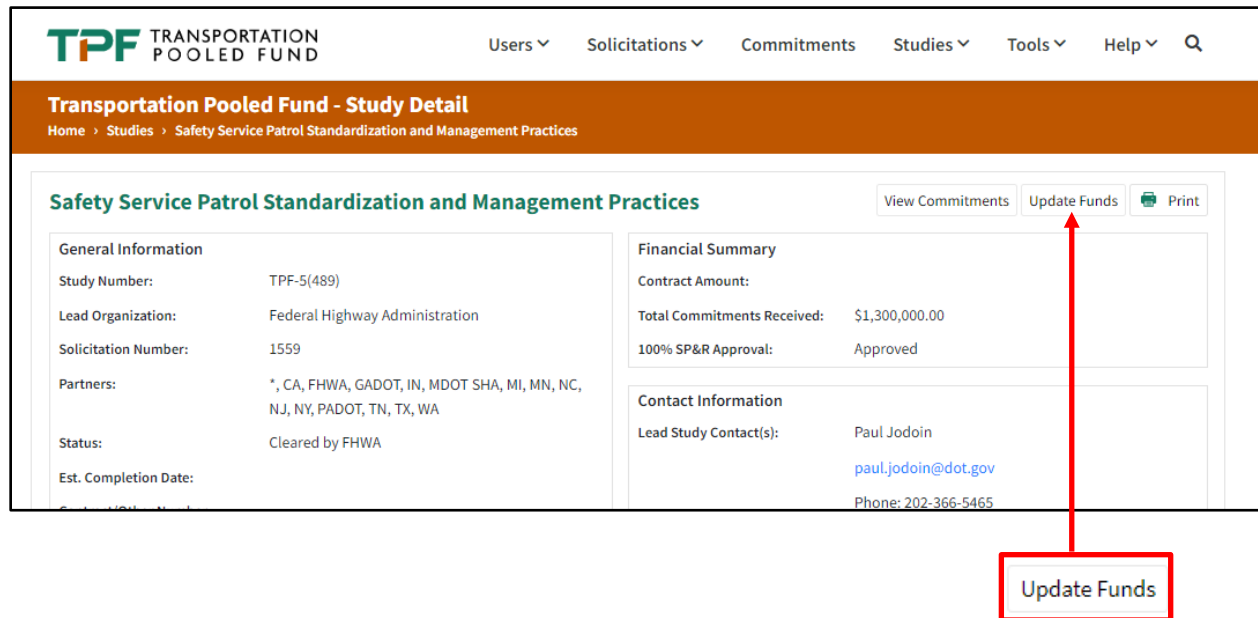
**Figure 24. Screenshot. An overview of where to indicate the fund source on the TPF website.**

The lead agency contact will receive an email notification that you have made a commitment to the solicitation or study. You will now be listed as a partner of the solicitation or study and will receive emails as updates are made.



## How To Monitor the Status of a Commitment

To update commitments, modify the technical contact, or both, click on the “Update Funds” button as shown in Figure 25.



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**Figure 25. Screenshot. An overview of where to update funds on the TPF website.**

Figure 26 is the first screenshot for entering or updating commitments, the technical contacts, or both. This screenshot also shows the “Manage TAC Members” button.

**Transportation Pooled Fund - Commit Funds**

Home > Studies > Commit Funds

### Commit Funds

**Study Number:** TPF-5(489)

**Title:** Safety Service Patrol Standardization and Management Practices

**Objectives:** The primary objective of this PFS study will be to gain technical information related to SSP program management, standards associated with SSP response protocol and the implementation of traffic control, and references and guidance related to staffing, training, and resource allocations within SSP programs. The goals include: 1. Assemble best practices and lessons learned from existing programs 2. Develop guidance documents based on lessons learned from existing programs 3. Reference or create tools that will help agencies make informed program decisions such as route selection, staffing levels, and resource allocation

**Lead Agency:** Federal Highway Administration

**Considering Agency:** \*

**Contact Details**

**Funding Contact:\*** Baskin, Kevin

**Technical Contact:\*** -- Select --

**Manage TAC Members**

**Commitments**

**Commitments Required:** \$800,000

**Commitments Received:** \$1,300,000

**Commitments:** \* Enter a commitment amount for at least one federal fiscal year.

Year (Federal FY) ②	Amount	Source (if other than SP&R funds)
2021	\$	
2022	\$	
2023	\$	

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**Figure 26. Screenshot. Where to enter or update commitments and technical contacts on the TPF website.**

Figure 27 is the second screenshot.

**Commitments**

Commitments Required: \$1,230,000

Commitments Received: \$1,650,000

Commitments: \* Enter a commitment amount for at least one federal fiscal year.

Year (Federal FY) ⓘ	Amount	Source (if other than SP&R funds)
2021	\$ <input type="text"/>	<input type="text"/>
2022	\$ 30000	<input type="text"/>
2023	\$ 30000	<input type="text"/>
2024	\$ 30000	<input type="text"/>
2025	\$ <input type="text"/>	<input type="text"/>
2026	\$ <input type="text"/>	<input type="text"/>

Additional Comments:

Cancel Save

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**Figure 27. Screenshot. Where to enter or update commitments on the TPF website.**

On this page, shown in Figure 28, your agency will be automatically filled in for the partner agency, and your name will be selected for the funding contact. You can change the funding contact if you would like. You also need to select a technical contact, which will be the person responsible for interfacing with the study. This person could be the same person as the funding contact.

**Lead Agency:** Iowa Department of Transportation

**Considering Agency:** Montana Department of Transportation

**Contact Details**

**Funding Contact:\*** Sillick, Susan

**Technical Contact:\*** Lane, Pat

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**Figure 28. Screenshot. Where to enter or update funding contacts on the TPF website.**

Indicate your agency's commitments for each FY accepting commitments. For "Source," indicate which types of funds (i.e., State, SPR-B, non-Federal, and so on).

Click “Save,” as shown in Figure 29.

**Commitments**

Commitments Required: \$1,230,000  
Commitments Received: \$1,650,000  
Commitments: \* Enter a commitment amount for at least one federal fiscal year.

Year (Federal FY) ⓘ	Amount	Source (if other than SP&R funds)
2021	\$ <input type="text"/>	<input type="text"/>
2022	\$ 30000	<input type="text"/>
2023	\$ 30000	<input type="text"/>
2024	\$ 30000	<input type="text"/>
2025	\$ <input type="text"/>	<input type="text"/>
2026	\$ <input type="text"/>	<input type="text"/>

Additional Comments:

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**Figure 29. Screenshot. Where to enter commitment amounts and sources on the TPF website.**

The lead agency contact will receive an email notification that you have made a commitment to the solicitation or study. You will now be listed as a partner of the solicitation or study and will receive emails as updates are made.

## How To View Commitments

To view your agency's commitments for a particular solicitation or study, you can select the option "View Commitments" in the "Actions" column on the commitments page shown in Figure 30.

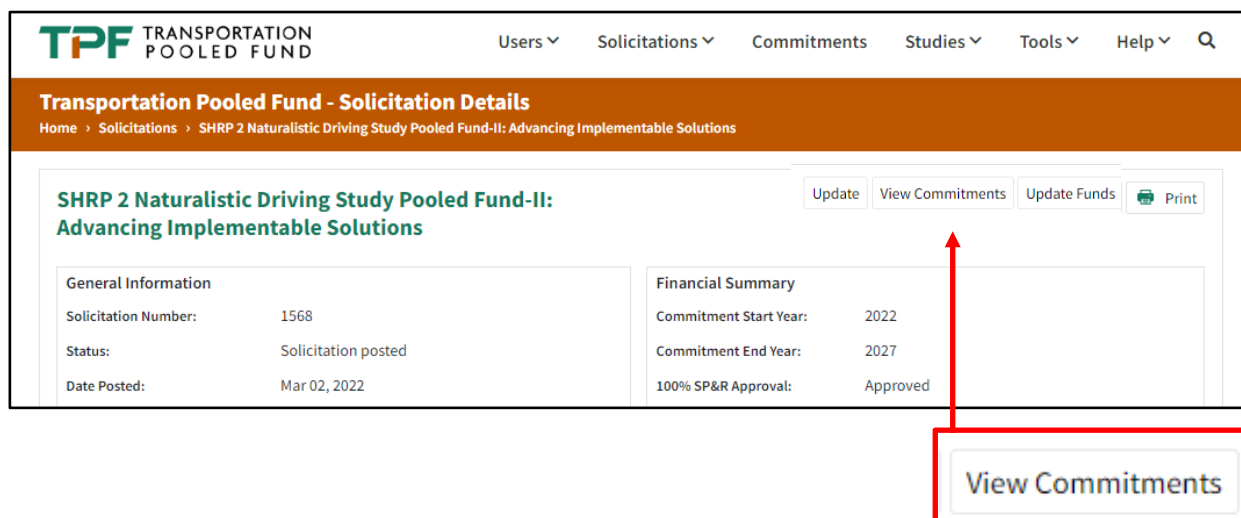


Number	Title	Status	Commitments Needed	Commitments Received	Your Commitments	Actions
TPF-5(496)	TRB Core Program Services for a Highway RD&T Program – Federal Fiscal Year 2022/TRB (State DOTs) Fiscal Year 2023	Cleared by FHWA	\$500,000	\$3,090,151	\$0	...
TPF-5(495)	2023 Technology Exchange on Low Volume Road Design, Construction and Maintenance	Cleared by FHWA	\$96,000	\$96,000	\$0	...
TPF-5(494)	Western States Rural Transportation	Cleared by FHWA	\$200,000	\$270,000	\$0	...

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**Figure 30. Screenshot. Where to view commitments on the TPF website.**

Alternatively, you can navigate to a study detail page and click the "View Commitments" button in the top right corner, as shown in Figure 31. Both these options will show commitments of all the organizations against a specific study or solicitation.



TPF TRANSPORTATION POOLED FUND

Users ▾ Solicitations ▾ Commitments ▾ Studies ▾ Tools ▾ Help ▾ Q

**Transportation Pooled Fund - Solicitation Details**

Home > Solicitations > SHRP 2 Naturalistic Driving Study Pooled Fund-II: Advancing Implementable Solutions

**SHRP 2 Naturalistic Driving Study Pooled Fund-II: Advancing Implementable Solutions**

Update View Commitments Update Funds Print

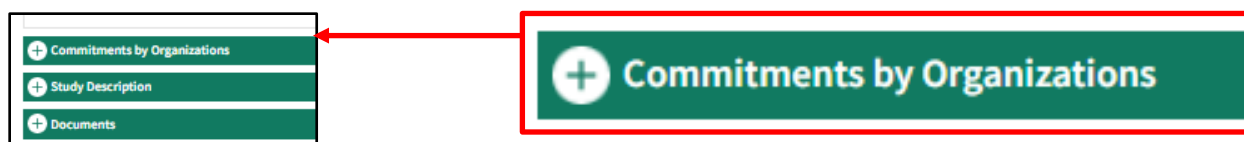
<b>General Information</b>	<b>Financial Summary</b>
Solicitation Number: 1568	Commitment Start Year: 2022
Status: Solicitation posted	Commitment End Year: 2027
Date Posted: Mar 02, 2022	100% SP&R Approval: Approved

**View Commitments**

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**Figure 31. Screenshot. Where to view commitments on a study detail page of the TPF website.**

These commitments are also available in the solicitation or study detail page in the green accordion titled "Commitments by Organization," shown in Figure 32.



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**Figure 32. Screenshot. The “Commitments by Organization” accordion menu on the TPF website.**

## Minimum Funding Contributions

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

When choosing to suggest a minimum contribution for new studies, lead agencies should keep in mind the project’s funding needs.

There may be partners interested in the research efforts but unable to contribute funds, which is allowable. Oftentimes these members are added as nonvoting TAC members and can learn from the research produced through the study.

## “In-Kind” Contributions

Although typical partner contributions are monetary, some projects may require other resource (e.g., equipment, facilities, test roadway) 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 project needs.

## 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 Part 18.24(a)(2) or 49 CFR Part 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 FHWA division administrator of the contributing agency must approve the use of third-party in-kind contributions in advance and cannot do so retroactively to the 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 9. SPR MATCH WAIVER

The normal match for SPR funds is at least 20 percent non-Federal funding, with maximum participation being 80 percent Federal funding. Section 505(b) (2) of 23 U.S.C. allows the U.S. Secretary of Transportation to waive the funds match requirement for a project administered under the TPF 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 to the associate administrator for planning and environment, for planning-related projects.

The receipt of the SPR waiver is not automatically granted. A State-led TPF study 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 Part 420.119(d)), it will forward the request to the TPF PM for processing and approval.

Regardless of whether the match waiver request is for SPR-A funds or SPR-B funds, the request should be sent to the TPF PM, who will route it for internal review accordingly.

For the activities listed in paragraphs 1–4 and 7, you would apply for an SPR-A waiver. For activities in paragraphs 5 and 6, you would apply for an SPR-B waiver.

1. Engineering and economic surveys and investigations.
2. Future highway program and local public transportation system plans and the plans for financing such programs and systems, including metropolitan and statewide plans under 23 U.S.C. 134 and 135.
3. Management system, plan, and process development and implementation under 23 U.S.C. 119, 148, 149, and 167.
4. Studies of the economy, safety, and convenience of surface transportation systems and the desirable regulation and equitable taxation of such systems.
5. Research, development, and technology transfer activities necessary in connection with the planning, design, construction, management, and maintenance of highway, public transportation, and intermodal transportation systems.
6. Study, research, and training on the engineering standards and construction materials for transportation systems described in paragraph 5, including the evaluation and accreditation of inspection and testing and the regulation and taxation of their use.
7. The conduct of activities relating to the planning of real-time monitoring elements.

## How To Obtain the 100-Percent SPR Waiver State-Led Projects

1. Submit a waiver request letter to the division research coordinator of the local FHWA division office that includes the following information:
  - The TPF solicitation number from the TPF website.
  - The official project title.
  - The lead agency identification.
  - The estimated number of partners that will be involved in the project.
  - The amount of funding requested to complete the project.

Sample language is provided in chapter 5.

Figure 47, a sample SPR waiver request letter from a lead State agency, is available in APPENDIX VI. SPR WAIVER REQUEST (STATE DOT-LED).

Upon receipt of the waiver request letter from the lead agency, the research and technology (R&T) contact in the FHWA division office will confirm that the proposed project is in the State's work program and is an appropriate use of SPR funding. The division research coordinator will forward a copy of the State's waiver request letter to the TPF PM, along with their endorsement to establish the study.



An email of the endorsement from division office staff to the TPF PM is sufficient.

### NOTE

Once the SPR waiver request has been received by the TPF PM, the following steps will be taken:

1. The TPF PM will consult with the FHWA director or assistant director in the area of expertise in 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 nonduplicative from a national perspective and provide his/her endorsement of the proposed research to the TPF PM.



3. Upon receipt of the FHWA technical liaison's endorsement, the TPF PM 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, as illustrated in Figure 49.
4. The timeline for this process is approximately 3 w.

When the waiver is approved, the following steps will be taken:

1. The TPF PM 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 email. 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 its information via email.

## **FHWA-Led Projects**

To obtain the SPR waiver the following steps must be taken:

1. The lead agency contact will submit a waiver request letter to the TPF PM. 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 TPF PM will review internally. After review, the TPF PM will then draft a memo from the FHWA associate administrator for research, development, and technology to the FHWA director of the 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 TPF PM 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.

Sample language is provided in chapter 5.

Figure 48, a sample SPR waiver request letter from a lead FHWA agency, is available in appendix VII.

# CHAPTER 10. 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 website. In response, the TPF PM will clear the solicitation and assign an official project number.



If sufficient funds have not been committed within a timeframe decided by the lead State, or FHWA, if an 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.

## TPF Study Approval

The assignment of a project number is the official action to indicate that the TPF project has been approved. The website solicitation status will indicate that FHWA has cleared the project. An automatic message will be sent to all 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 TAC should be established to discuss the planned research. Establishing the TAC is the lead agency’s responsibility. Please see Chapter 14. TAC 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 lead agency’s discretion. However, it should include the project number and title and indicate that the organization is willing to accept the responsibility to lead and administer the project. The letter should indicate the organization is willing to accept the transferred funds from partners that pledged their financial support to the project and to obligate, expend, and track the funding. At the discretion of the TAC, acceptance memos may be requested on an annual basis. Figure 50 and Figure 51, sample acceptance memos, are available in APPENDIX IX. SAMPLE ACCEPTANCE MEMO (STATE-LED) and APPENDIX X. SAMPLE ACCEPTANCE MEMO (FHWA-LED).

## 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 the local FHWA office. A copy of the signed acceptance letter is to be sent to

the TPF PM 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 FHWA 1575-C transfer requests.

### **FHWA-Led Project**

If FHWA is leading the project, the lead agency contact is to develop an acceptance letter that is written to the TPF PM from the FHWA director whose office has the lead role in managing the TPF project. Once the memo is signed, the lead agency contacts and the TPF PM 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 FHWA 1575-C transfer requests.

# CHAPTER 11. FUND TRANSFERS

When the solicitation period for a TPF project has closed and sufficient commitments have been received, the TPF PM will update its status on the TPF website to “cleared by FHWA.” 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 DOTs may transfer their Federal-aid funds to the lead agency of the TPF project by using FHWA transfer form FHWA 1575-C. An example of each transfer form can be found in APPENDIX II . TPF PROCESS FLOWCHART (FHWA LED). 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: Fund Transfers

Participating States that have committed Federal funding to a State-led TPF 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 email the approved transfer request, along with a copy of the project’s acceptance letter, to the FHWA headquarters Office of the Chief Financial Officer (CFO) for transferring the funds to the lead State in FHWA’s Fiscal Management Information System (FMIS). *Important notice: The transfer will be emailed to the CFO’s office at [FHWA\\_transfers@dot.gov](mailto:FHWA_transfers@dot.gov). The CFO’s 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 a Microsoft® Excel® spreadsheet. The Excel spreadsheet is updated on a biweekly 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 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 email) that the transfer has been processed.
6. The lead agency will control all funding and undertake the activities of the TPF project by using the appropriate acquisition method (e.g., contracts, task orders, interagency agreements) within the following 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 TPF project from an FHWA program office cannot be deobligated by the receiving State and transferred to another State for another TPF project. The FHWA issuing program office would first have to pull back the funds from the original State and project, 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: Fund Transfers

Requests to transfer Federal funding to an FHWA-led project must be submitted via 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 take the following steps:
  - a. Ensure that committed funds are available for transfer.
  - b. Verify the existence of the lead agency’s acceptance letter.
  - c. Sign the transfer form in the section “FHWA Division Administrator Concurrence.”
2. The financial manager will email the approved form FHWA 1575-C transfer request and acceptance to the FHWA headquarters CFO’s office for transfer to the correct FHWA program office. *Important notice: When preparing the email to the FHWA CFO’s office, please include the following addressees in the email 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 biweekly 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 TPF project. Funds will be transferred into an accounting string (e.g., 15X0100060). The allotment will be to the first three bytes of the budget program activity code (BPAC). For example, the BPAC for the Office of Infrastructure would be 050TPF5046. The first three numbers of the BPAC (050) will indicate the program office responsible for the TPF 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 email a copy of the advice of funds to the individuals who were included in the initial email to the Office of the Chief Financial Officer. (Please note step 2 of this process.)
6. The financial/program financial manager in the office of the FHWA-led TPF project is to formally request that the funds be placed into the Delphi eInvoicing System.
7. The advice of funds will include all supporting documentation, which allows the program office/project manager of the FHWA-led project to track contributions and to manage the contributions. After the funds are transferred to the program office of the FHWA-led project, the Office of Acquisition and Grants Management will award the funds on a contract/agreement, task order, and so on, and the funds will be obligated by Federal Aviation Administration (FAA) in Oklahoma City, OK.
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 technical representative (COTR), whichever is applicable, is responsible for monitoring the project's funding status and its availability.

## Monitoring and Tracking Funding Transfers

All funding transfers are tracked in the "Fiscal Year Funding Transfer Request" spreadsheet (available on the TPF website under "What's New") 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 FY of the funds that are being transferred, and the amount of funds being transferred. Additionally, the spreadsheet will indicate the dates FHWA and the Office of Budget and Finance received the transfer request, 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 Office of Budget has not received the request.*

This funding transfer spreadsheet will be posted in the “What’s New” section of the [TPF website](#).



Upon completion of the funding transfer, confirmation of funds received can be obtained via FMIS Business Objects.

### Multiple-Year Commitments

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

It is important to remember that Federal funds have an expiration date, meaning that 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 yr (e.g., FY 2013 funds would lapse at the end of FY 2016). An obligation limitation is only available for 1 yr. 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 12. NONFEDERAL PAYMENTS

Participating States and agencies that would like to contribute non-Federal funds to an FHWA-led study can be made via Pay.gov or by sending a check to FHWA.

Pay.gov is a system the U.S. Department of Treasury provides 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 DOTs 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 Automated Clearing House (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.



Pay.gov is *not* available for contributing funds to State-led TPF projects. State DOTs or private organizations interested in contributing non-Federal funds to a State-led TPF project must contact the lead agency to discuss the options that are available for making such a contribution.

## Pay.gov

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

1. Go to Pay.gov's FHWA agency page and select "Federal Highway Research Project Contribution Payment Form," as shown in Figure 33.

The screenshot displays the Pay.gov website interface. At the top, the Pay.gov logo is on the left, and links for "Sign In" and "Create an Account" are on the right. Below the header is a navigation bar with "Explore More Options", "Find an Agency", and "Online Help" links, followed by a search bar with a "Search" button. A yellow alert banner contains an "Alert Message:" with links to "Coronavirus (COVID-19) Updates" and "SBA and 1201 Borrower Payment Information". The main content area is titled "Transportation (DOT): Federal Highways Administration". It features two primary sections: "Department of Transportation Federal Highway Administration (FHWA) FOIA Payment" and "Federal Highway Research Project Contribution Payment Form". The FOIA section includes a description, form number (FHWA-FOIA-PAYGOV-1), and a "Continue" button. The Research Project section includes the form number (FHWA Research) and a "Continue" button, which is highlighted with a red rectangle. To the right of these sections is a "We're here to help!" sidebar with contact information, including availability hours, a "Send Us A Message" link, and a toll-free number (800-624-1373).

Source: U.S. Department of the Treasury, Bureau of the Fiscal Service.

**Figure 33. Screenshot. The "Federal Highway Research Project Contribution Payment Form" at Pay.gov.**

2. Complete the research contribution payment form and select “Continue to the Form,” as shown in Figure 34.

Source: U.S. Department of the Treasury, Bureau of the Fiscal Service.

**Figure 34. Screenshot. The research contribution payment form at pay.gov.**

3. When completing the form, take the following steps, using the terms defined in Table 1 (see blank form in APPENDIX X III. TPF PROGRAM TERMS):
  - a. Enter the partner agencies’ contact name and phone number.
  - b. Enter the project number.
  - c. For recipient, select “FHWA Pooled Funds.”
  - d. Enter the official study number, contribution amount, and FY of fund being sent.
  - e. The program office code should be specified in the acceptance memo for the study. If it is not, you can reach out to the lead agency contact or look up the office program code [here](#).

- f. For “Transfer to,” please include the TPF study name and number, office program code, and office BPAC code. This information is all available in the acceptance memo.
- g. At the bottom of the page, click on “PDF Preview” or “Continue.”

See the example form in Figure 35.

## Federal Highway Research Project Contribution Payment Form

1


2

3

4

5

Before You Begin
Complete Agency Form
Enter Payment Info
Review & Submit
Confirmation



U.S. Department of Transportation  
Federal Highway Administration (FHWA)

### Department of Transportation Federal Highway Administration (FHWA)

#### Federal Highway Research Project Contribution Payment Form

Please fill in the form completely and click Submit Data to make your payment.

\* Required Field

Contact Name \*

Contact Phone # \*

Project Number \*

Recipient \*

Official Project Name \*

Contribution Amount \*

FY of Funds or N/A \*

Program Code or N/A

Transfer To \*

Continue
View PDF

Source: U.S. Department of the Treasury, Bureau of the Fiscal Service.

**Figure 35. Screenshot. An example research project contribution payment form.**

**Table 1. Explanation of Fields for the “Federal Highway Research Project Contribution Payment Form.”**

<b>Field Name</b>	<b>Field Description</b>
<b>Contact Name:</b>	Enter the name of the organization or State.
<b>Contact Phone Number:</b>	Enter the name and telephone number of the person who should be notified if questions arise regarding the contribution.
<b>Project Number:</b>	Official project number (i.e., TPF-5(XXX)).
<b>Recipient:</b>	Select “FHWA Pooled Funds” from the dropdown menu.
<b>Official Project Name:</b>	Provide the official study title and pooled fund project number.
<b>Contribution Amount:</b>	Enter the amount of funds being sent via Pay.gov.
<b>FY of Funds or N/A:</b>	Provide the FY of the contribution fund. Enter a year in this field if a Federal agency is making the contribution. If a State, private entity, or other organization is making the contribution, please type “N/A” for “not applicable” in the box.”
<b>Program Code or N/A:</b>	Provide the program code if a Federal agency is making the contribution. If a State, private entity, or other organization is making the contribution, please type “N/A” for “not applicable” in the box.”
<b>Transfer to:</b>	Provide the TPF study number, lead agency office, routing code of the FHWA office where funds will be applied, and BPAC. <i>Note: This information can be obtained via the TPF project acceptance memo.</i>

Complete the payment information and select “Next,” as shown in Figure 36.

**Federal Highway Research Project Contribution Payment Form**

Progress: 1. Before You Begin (✓) 2. Complete Agency Form (✓) 3. Enter Payment Info (3) 4. Review & Submit 5. Confirmation

**Payment Information**

Payment Amount \$40,000.00

**\* I want to pay with my**

- ☐ Bank account (ACH)
- ☐ Amazon account
- ☐ PayPal account
- ☐ Debit or credit card

[Previous](#) [Return to Form](#) [Cancel](#) **Next**

We're here to help! +

Source: U.S. Department of the Treasury, Bureau of the Fiscal Service.

**Figure 36. Screenshot. An example research project contribution payment form.**

4. Enter payment information. Then select “Review and Submit Payment,” as shown in Figure 37.

**Federal Highway Research Project Contribution Payment Form**

Before You Begin Complete Agency Form **Enter Payment Info** Review & Submit Confirmation

Please provide the payment information below. Required fields are marked with an \*

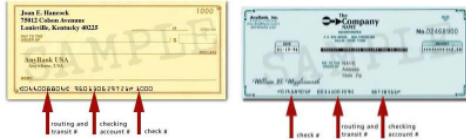
\* Payment Amount  
\$40,000.00

\* Payment Date (mm/dd/yyyy)  
[Date Picker]

**Earliest Payment Date** **Choose Payment Date**

\* Account Holder Name  
Contributor Contact

\* Select Account Type  
Select ...



\* Routing Number  
[Text Field]

\* Account Number  
[Text Field]

\* Confirm Account Number  
[Text Field]

[Previous](#) [Return to Form](#) [Cancel](#) **Review and Submit Payment**

Source: U.S. Department of the Treasury, Bureau of the Fiscal Service.

**Figure 37. Screenshot. An example showing where to review and submit payment.**



## Non-Federal Check Payment Form

### Procedures for Sending a Check to a TPF Project:

1. Advise the lead agency contact that a check will be sent.
2. Ask for the office code and TPF project number to include with the check.
3. Following is the form to complete with the instructions. *Send the form with the check!*

<b>TPF project number:</b> Click or tap here to enter text.		
<b>FHWA lead organization:</b> Click or tap here to enter text.		<b>FHWA lead organization code:</b> Click or tap here to enter text.
<b>FHWA lead contact:</b> Click or tap here to enter text.		<b>FHWA lead phone number:</b> Click or tap here to enter text.
<b>Would you like to receive an invoice?</b> <i>If yes, complete the contact information below to return the invoice/receipt of funds.</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Street address:</b> Click or tap here to enter text.		
<b>City:</b> Click or tap here to enter text.	<b>State:</b> Click or tap here to enter text.	<b>ZIP code:</b> Click or tap here to enter text.
<b>Email address:</b> Click or tap here to enter text.		<b>Phone number:</b> Click or tap here to enter text.

**Mail check payment to the following address for paper check conversion 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  
Headquarters Room 181  
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.

*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  
202-493-3166 · patricia.sergeson@dot.gov

# CHAPTER 13. 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 TPF Projects

### FHWA-Led Projects

FHWA has the authority to enter into agreements and 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 TPF project.

### State-Led Projects

State-led TPF studies are typically administered under contracts that are awarded in accordance with States' acquisition regulations and managed by the lead State DOT. Additionally, all Federal-aid requirements, including the "common rule" 49 CFR Part 18, will apply.

### Project Monitoring and Reporting

Active monitoring of all project elements is critical to the overall success and impact of the TPF 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 the investigator develops. State DOTs are to follow the FHWA approved Federal-Aid Program delivery process that is outlined in their manual.

### Quarterly Reports

On a calendar quarterly basis, the lead agency will provide project status and progress reports, as illustrated in Figure 53, Figure 54, Figure 55, and Figure 56. These quarterly reports are integral to successful progress communication with project partners and to inform 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 FHWA-managed projects, are due within 30 d of the end of the reporting period per 23 CFR Part 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 quarterly reports are due the following dates:

- April 30 (January–March).
- July 31 (April–June).
- October 31 (July–September).
- January 31 (October–December).

The quarterly report form is available for download on the TPF website’s [“Frequently Used Resources”](#) section. An example of a completed quarterly report form is provided in appendix XIV of this manual.

## **Financial Tracking TPF Studies**

### **Excel Funding Transfer Spreadsheet**

Each contributing State DOT or FHWA office may verify the status of a TPF transfer by checking the funding transfer spreadsheet that the FHWA Headquarters CFO’s Office provides and posts in the “What’s New” section of the TPF website. *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 TPF project. The steps to obtain this information are as follows:

1. Log into FMIS.
2. Select “Reports” from the main menu (FHWA – FMIS 5.0).
3. Select “Business Objects Ad hoc Reports” from the “report options” menu.
4. Select “fund transaction reports” under the title column on the new screen that appears in your web browser, “Business Objects Info View.”
5. Click on the item “Pooled Fund Transfers by State.”
6. You should now see the complete 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 entitled “prompts” will appear on your screen.
2. Click on the words “Enter Pooled Fund Study (e.g., 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. 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,” as shown in Figure 45, should be emailed to the TPF PM. The spreadsheet identifies all partners and how much each partner contributed, as well as all obligations, expenditures, and remaining funds (i.e., undelivered orders (UDO)).

## 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 and improved products, and so on. Where applicable, technology innovation sessions should be scheduled for the investigator to demonstrate, explain, or provide instruction on the project deliverables. The TAC members should pursue opportunities to showcase the project findings, recommendations, and conclusions. 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 that the lead agency proposes (e.g., a short multipage report, or flyer), should provide concise and useful information on the study, and should 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.
- A review of current practices.

- An in-depth review of the procedures and processes used to conduct the project.
- Conclusions and recommendations.
- References.
- A bibliography.
- 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 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 TAC members' direction, 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 project's nature and the advisability of broader based distribution. The TAC members will need to consider issues of fiduciary fairness and responsibility in this decision. Because these projects virtually always use Federal or at least public funds, any limitations on report distribution, 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 American Association of State Highway and Transportation Officials (AASHTO) standing committee and to the relevant Transportation Research Board (TRB) committee or subcommittee. In order to comply with 23 CFR Part 420.209(4), final report information should be entered into Transportation Research Information Service (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 lead agency should bear the cost of putting the full text of the report online.) The same distribution policies used for routine SPR-B final reports apply to the TPF studies, which includes ensuring that the key depository libraries receive copies of the reports.

## **Research Implementation**

The TPF 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 TPF project. Followup implementation strategy should identify implementation at the end of the research, and, at the discretion of the TAC members, track near-term (1 yr) and long-term (3–5 yr) program investment effects.

# CHAPTER 14. TAC

Each project partner may appoint a technical expert to serve on the TAC. The TAC will serve for the project's duration.

## Roles of the TAC

The committee's roles may include the following:

- Selecting the best qualified researchers to conduct the project.
- Reviewing project progress reports and annual reports.
- Accepting 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 d of the vacancy occurring.

## TAC Participation

TAC members can participate in all project-related meetings and briefings. When the need to travel arises, please be advised that the appropriate use of SPR funding is required. The following are examples of eligible and ineligible SPR travel and training:

## 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®. *Because bridge management system development is eligible for SPR funds, travel and training necessary to perform the SPR-funded work would be eligible.*
2. A principal investigator is working on an SPR-funded research study and attends a conference where technical information that would benefit the study's performance is being presented or makes a presentation on the SPR study at the annual TRB meeting or other meeting.

## SPR-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 that 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 attending such meetings *if attendance is necessary to perform the SPR funded work.*

## SPR Funds for Technology Transfer-Related Travel

Technology transfer means those activities that lead to user adoption of a new technique or product 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 (i.e., 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, for example, 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 to a meeting of a technical nature, unless the purpose is to conduct a previously approved SPR technology transfer activity or to 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.
- 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 the committee adopts. 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 kickoff meeting/discussion. At this point, the project monitoring and reporting process starts.



## CHAPTER 15. 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 must complete current contracts, pay the final invoice, post a final report, and provide the “closeout funding spreadsheet” to the TPF PM. Any remaining funds would need to be returned to the partners of the study via form FHWA 1575-C. The new project would need to be established as an original solicitation, and partners could make commitments to the new solicitation.

# CHAPTER 16. PROJECT CLOSEOUT PROCEDURES (STATE-LED)

The State-led project closeout procedures are as follows:

1. The lead agency will log onto the TPF website and complete the following steps:
  - a. Post the project's final report on the TPF website.
  - b. Update the project's status on the TPF website as "objectives fulfilled."
2. The lead agency will confirm that all project-related bills have been paid and that no additional invoices will be submitted.
3. The lead agency will 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 UDO (leftover funds). An example of a closeout funding spreadsheet is available for review in the "tutorial/help" section under "pooled fund training webinars archive" on the TPF website's toolbar. Additional information about how to compute the data for the final funding spreadsheet is available in Chapter 17. Project Closeout Procedures (FHWA led).
4. The lead agency will 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 11 of this manual to complete the funding transfer process.
5. The lead agency will send notification to the TPF PM, along with an electronic copy of the closeout funding spreadsheet, stating that the work on the project is completed and that it can be identified as "closed" on the TPF website. An email is sufficient.
6. The director of the Office of Corporate Research, Technology, and Innovation Management will issue an official closeout memo upon receipt of the closeout funding spreadsheet. 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 will officially close.

# CHAPTER 17. PROJECT CLOSEOUT PROCEDURES (FHWA LED)

The FHWA-led project closeout procedures are as follows:

1. The lead agency will ensure that the COTR works with the contracting officer to close all awards and will confirm that all project-related bills have been paid and that no additional invoices will be submitted.
2. The lead agency will provide the TPF PM with a copy of the certification that all awards have been closed.
3. The lead agency will log onto the TPF website and complete the following steps:
  - a. Upload the project's final report.
  - b. Change the status of the project to "objectives fulfilled" on the TPF website.
4. The lead agency will 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 UDO (leftover funds). An example of a closeout funding spreadsheet is available for review in the in the "tutorial/help" section under "pooled fund training webinars archive" on the TPF website's toolbar. Additional information about how to compute the data for the final funding spreadsheet is available in Chapter 17. Project Closeout Procedures (FHWA led).
5. The lead agency will 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 11 of this manual to complete the funding transfer process.
6. The lead agency will send notification to the TPF PM, along with an electronic copy of the closeout funding spreadsheet stating that that the work on the project is completed and that it can be identified as "closed" on the TPF website. An email is sufficient.

7. The director of the Office of Corporate Research, Technology, and Innovation Management will issue an official closeout memo upon receipt of the final funding spreadsheet. 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 will officially close.

# CHAPTER 18. 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. The funds should be returned to partners per the percentage they contributed. For example, if a partner contributed 20 percent of the total project budget, they should receive 20 percent of the remaining funds.

## Closeout Funding Spreadsheet Definitions

**Program code:** the source of Federal funding contributed to the project.

**Funds transferred to project by partners:** the amount of funding transferred to the TPF project via 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 with 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 percentage per partner:** the expense per partner as a percentage.

**Undelivered orders (UDO)—unexpended funds:** the remaining balance of funds after all invoices have been paid.

**UDO—unexpended funds to be returned to partners:** should be the same as the UDO column.

## CHAPTER 19. TPF EXCELLENCE AWARD

Figure 38 shows a timeline for the TPF Excellence Award, which will recognize outstanding TPF studies that have made significant contributions toward advancing national research efforts in the areas of safety, economic growth, equity, and/or transformative climate solutions. The award will highlight the importance of meaningful collaboration and partnership in transportation research. Administered through a partnership between FHWA and AASHTO, the biennial TPF Excellence Award will recognize one FHWA-led TPF study and one State DOT-led study.



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**Figure 38. Illustration. A timeline for the TPF Excellence Award’s implementation.**

### Who Can Nominate a TPF Study?

Any participant in the TPF program can submit a TPF study nomination for the TPF Excellence Award.

### Where Will the Awards Be Presented?

The awards will be presented at the annual summer AASHTO Research Advisory Committee meeting.

### How and When Should Nominations Be Submitted?

Nominations can be submitted via email to Tricia Sergeson at [patricia.sergeson@dot.gov](mailto:patricia.sergeson@dot.gov).

Nominations should be limited to two pages and follow the nomination template, which will be available on the [TPF website](#) (along with other supporting material). A panel of judges, selected for each award cycle, will review the submitted nominations.

### Criteria for Submission

Nominations can be submitted for TPF studies that meet the following qualifications:

- The nominated TPF study must be completed and have a posted final report by June 30 of the year submitted.

- The submission must follow the nomination template.
- The results from the nominated TPF study must have led to measurable benefits for the transportation industry.
- The nominated TPF study must address a demonstrated need or problem related to the transportation industry.

Other criteria to be considered include the following:

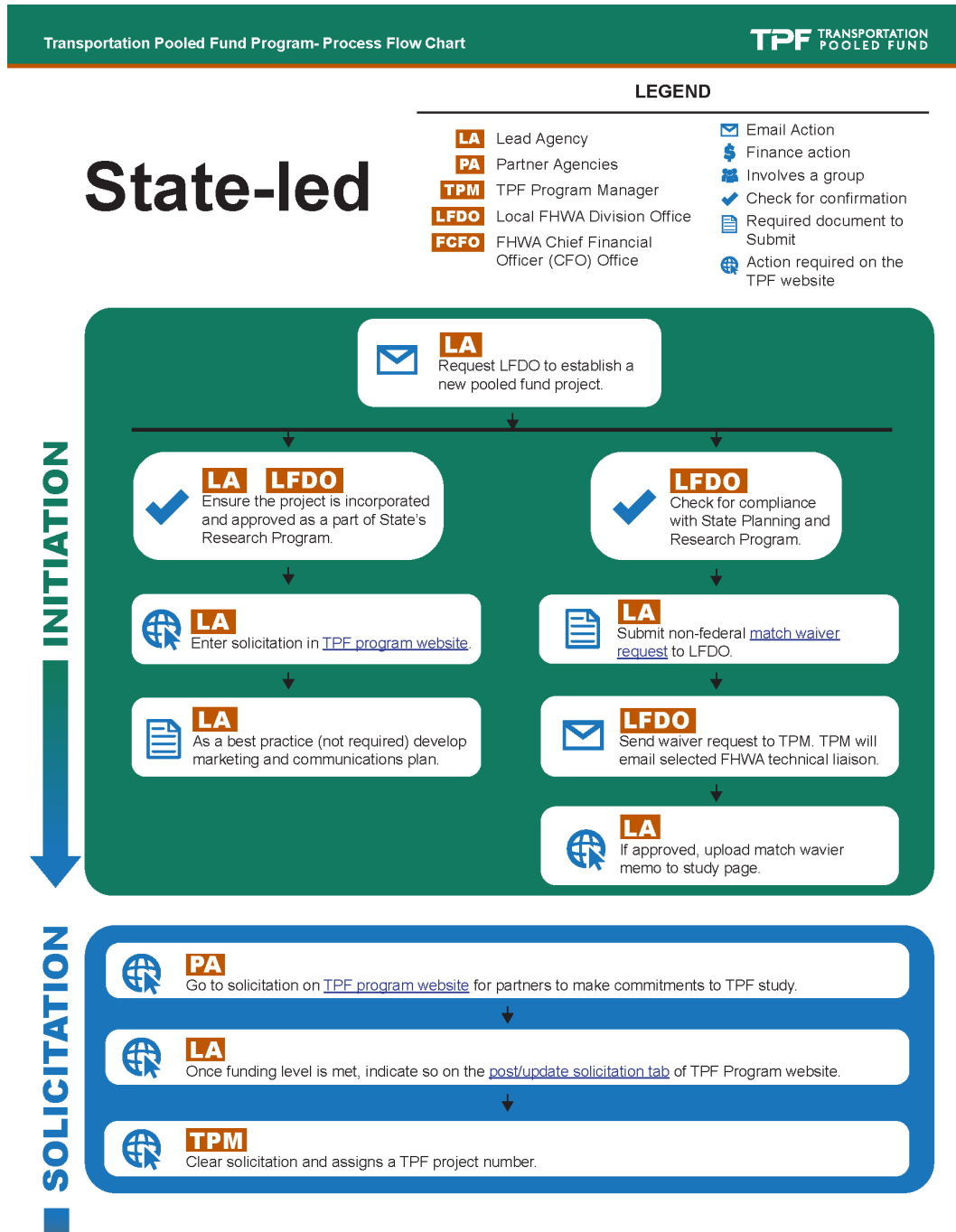
- Demonstrates strong collaboration between study participants.
- Illustrates how the research adds value to the transportation industry.
- Describes the research's utility to transportation partners.

Highlight the great work achieved through the TPF Program and gain national recognition by submitting a nomination!

### **Have Additional Questions?**

If you have any questions about the TPF Excellence Award, please contact the TPF PM.

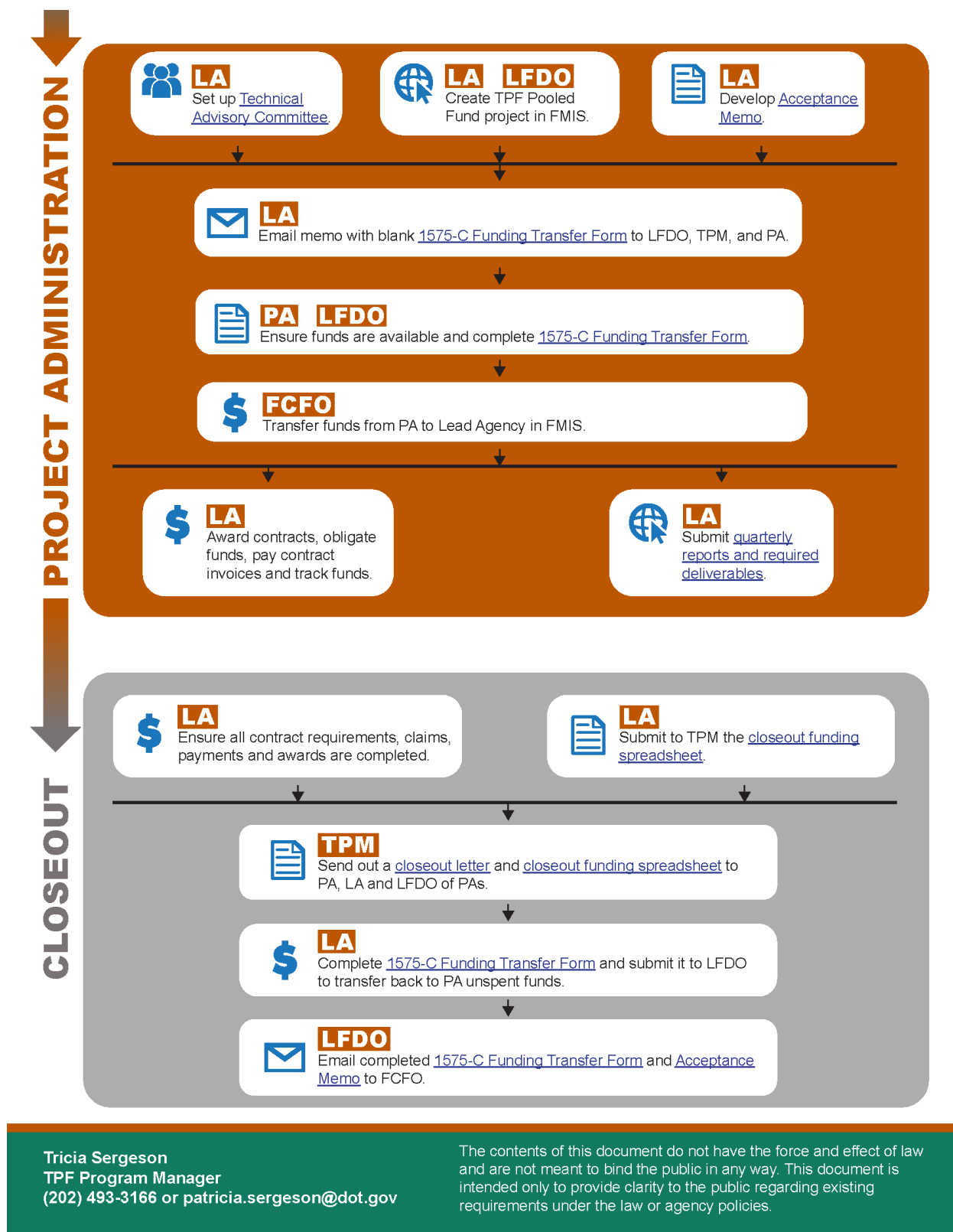
# APPENDIX I. TPF PROCESS FLOWCHART (STATE LED)



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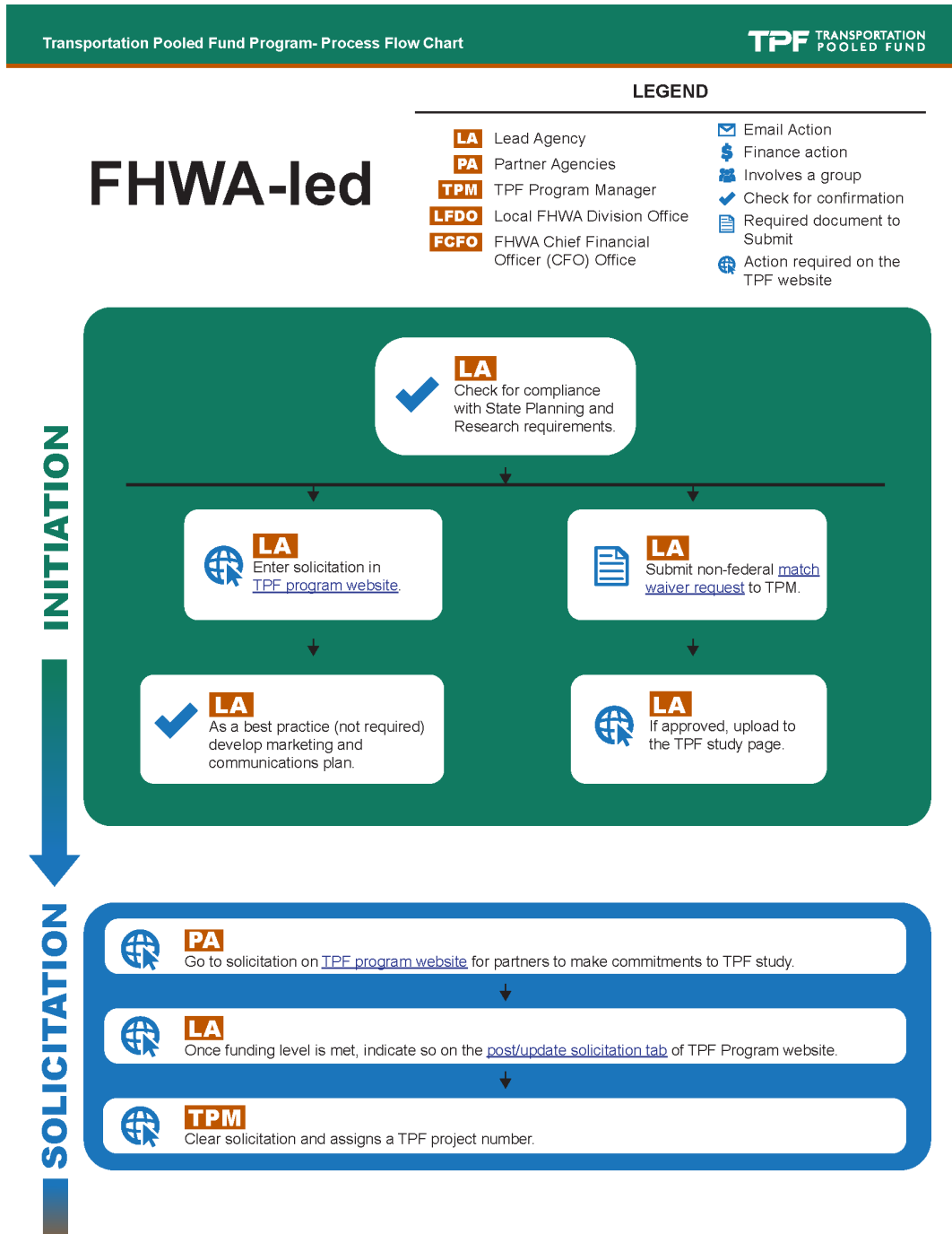
Figure 39. Screenshot. The top half of a flowchart for the State-led TPF process.





**Figure 40. Screenshot. The bottom half of a flowchart for the State-led TPF process.**

# APPENDIX II . TPF PROCESS FLOWCHART (FHWA LED)



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Figure 41. Screenshot. The top half of a flowchart for the FHWA-led TPF process.

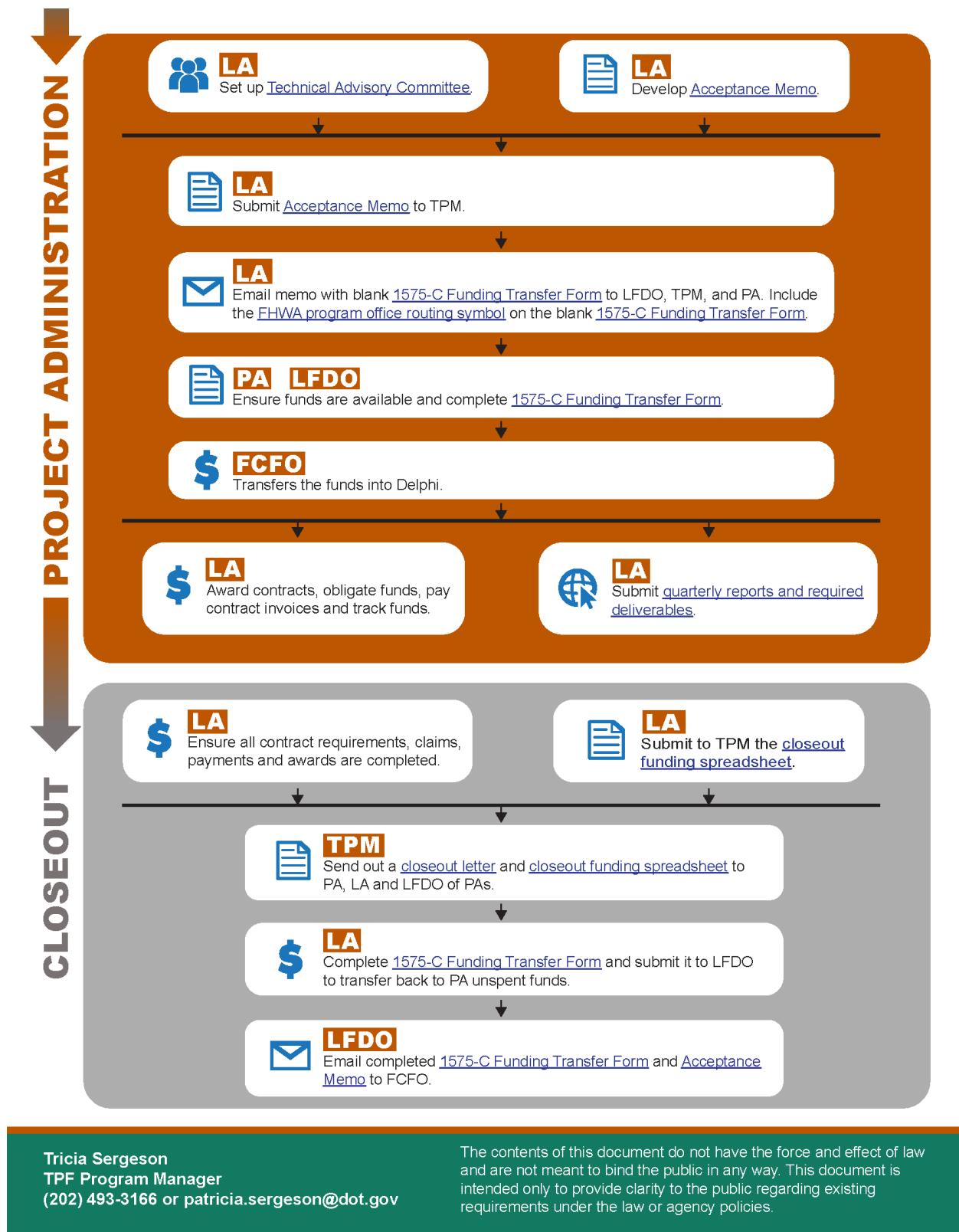


Figure 42. Screenshot. The bottom half of a flowchart for the FHWA-led TPF process.

# APPENDIX III. TPF CHECKLIST

## Transportation Pooled Fund Program

Leveraging resources to achieve common research goals.

**TPF** TRANSPORTATION  
POOLED FUND

### Checklist Overview

#### Steps in the Process

##### Initiation

- ☐ If the Study is State-led, the lead agency makes a request to the local Federal Highway Administration (FHWA) division office to establish a new pooled fund project. The FHWA division office then checks for compliance with the State Planning and Research Program (SPR). If the project is FHWA-led, the lead agency sends the request to the Transportation Pooled Fund (TPF) Program manager.
- ☐ If the Project is State-led, the lead agency and the local FHWA division research coordinator ensure that the project is incorporated and approved as part of the State's research work program for State-led TPF studies.
- ☐ The lead agency enters the solicitation into the [TPF Program website](#). The lead agency develops a plan for how best to market the study to solicit partner interest.
- ☐ If the project is State-led, the lead agency submits a [waiver request letter](#), containing the solicitation number and the request to use 100 percent SPR funds, to the local FHWA division office. The local FHWA division office then sends the waiver request letter to the TPF Program manager. If the project is FHWA-led, the lead agency submits the waiver request letter to the TPF Program manager. After review, the TPF Program manager will coordinate with the FHWA Associate Administrator delegated the authority to make waiver determinations and send an email to the lead agency with waiver determination. If approved the lead agency should upload the match waiver approval memo to the TPF study webpage.

##### Solicitation

- ☐ Partner agencies go to the solicitation on the [TPF Program website](#) and make their commitments. At this stage, the commitment is just a pledge to transfer funds once the funding level is met, not an actual obligation of funds.
- ☐ Once the funding level is met, the lead agency indicates on the [post/update solicitation tab](#) of the TPF Program website that sufficient commitments have been received. The TPF Program manager then clears the solicitation and assigns a TPF project number. The TPF Program manager sends an email to the lead agency informing them of the next steps.

##### Project Administration

- ☐ The lead agency contact sets up a [technical advisory committee \(TAC\)](#) to give technical support to the project. Usually, each contributing partner provides a TAC representative/member. FHWA assigns a technical liaison to the project.
- ☐ If the study is State-led, the lead agency works with the local FHWA division office to create a TPF Program project in the Financial Management Information System (FMIS) for State-led TPF studies.

Tricia Sergeson  
TPF Program Manager  
(202) 493-3166  
[patricia.sergeson@dot.gov](mailto:patricia.sergeson@dot.gov)

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Figure 43. Screenshot. The top half of the TPF checklist.

## Checklist Overview

### Steps in the Process

#### Project Administration (continued)

- ☐ The lead agency prepares an [acceptance memorandum](#), agreeing to accept funding transfers from partner agencies. The lead agency emails the acceptance memo, along with a link to or blank [1575-C Funding Transfer Form](#), to the local FHWA division office, the TPF Program manager, and the funding contacts at partner agencies. The lead agency uploads acceptance memo to the TPF study page. If the TPF study is FHWA-led, the lead agency should include the FHWA program [office routing symbol](#) on the blank [1575-C Funding Transfer Form](#).
- ☐ Partner agencies, in conjunction with the local FHWA division office finance manager, ensure that funds are available and complete the 1575-C Funding Transfer Form. The FHWA division office finance manager emails the completed 1575-C Funding Transfer Form, along with the acceptance memo to the FHWA chief financial officer's (CFO's) office at [FHWA\\_Transfers@dot.gov](mailto:FHWA_Transfers@dot.gov) and cc's the lead agency.
- ☐ If the project is State-led, the CFO's office transfers the funds from the partner agencies to the lead State in FMIS. If the project is FHWA-led, the CFO's office transfers the funds into Delphi. The lead agency now has the funds for the project to use just as if they were the agency's own research funds.
- ☐ The lead agency awards contracts, obligates funds, pays contract invoices, and tracks funds to ensure proper accountability and balancing of obligations, expenditures, and fund balances.
- ☐ The lead agency contact submits quarterly progress reports, and final deliverables to the TPF Program website.

#### Close Out

- ☐ At the end of the project, the lead agency ensures that all deliverables have been submitted and all awards closed. The lead agency changes TPF study "status" to objectives fulfilled.
- ☐ The lead agency completes and submits to the TPF Program manager the [closeout funding spreadsheet](#) to account for all obligations, expenditures, and any undelivered orders (UDO).
- ☐ The TPF Program manager prepares and sends out a closeout memo and the closeout funding spreadsheet to all partner agencies and local FHWA division offices of the lead and partner agencies. The TPF Program manager changes the status to closed. The lead agency closes the project in FMIS (if State DOT-led) or Delphi (if FHWA-led).
- ☐ The lead agency contact completes a 1575-C Funding Transfer Form and submits it to the local FHWA division office to transfer back to participant agencies any leftover funds (i.e., UDOs) based on their contribution percentage.

Disclaimer: The contents of this document do not have the force and effect of the law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

Tricia Sergeson  
TPF Program Manager  
(202) 493-3166  
[patricia.sergeson@dot.gov](mailto:patricia.sergeson@dot.gov)

## APPENDIX IV. CLOSEOUT FUNDING SPREADSHEET

Project No.: TPF-5(000)											
Project Manager: John Doe											
as of DATE											
Final											
State	\$ Committed on Website	Program Code (e.g., L560)	Originally Obligated in FMIS	Currently Obligated in FMIS	Contribution Percentage	Invoice Amount  \$376,193.71	Total Expenditures Per State	UDO	Actual Expenditure Distribution	Variance Over/ (Under)	Actual Expense %
CALIFORNIA	-	Q560	100,000.00	100,000.00	25.00%	94,048.42	94,048.42	5,951.58	94,048.42	-	25.00%
CONNECTICUT	-	Q560	45,000.00	45,000.00	11.25%	42,321.78	42,321.78	2,678.22	42,321.78	-	11.25%
DISTRICT OF COLUMBI	-	Q560	20,000.00	20,000.23	5.00%	18,809.69	18,809.69	1,190.54	18,809.69	-	5.00%
IDAHO	-	Q560	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
ILLINOIS	-	Q560	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
MASSACHUSETTS	-	Q560	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
MONTANA	-	Q560	40,000.00	40,000.00	10.00%	37,619.37	37,619.37	2,380.63	37,619.37	-	10.00%
NEBRASKA	-	Q560	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
NEVADA	-	Q560	10,000.00	10,000.00	2.50%	9,404.84	9,404.84	595.16	9,404.84	-	2.50%
NEW JERSEY	-	860	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
NEW MEXICO	-	Q560	15,000.00	15,000.00	3.75%	14,107.26	14,107.26	892.74	14,107.26	-	3.75%
NORTH CAROLINA	-	Q560	20,000.00	20,000.00	5.00%	18,809.69	18,809.69	1,190.31	18,809.69	-	5.00%
PENNSYLVANIA	-	L56E	0.00	13,024.21	0.00%	13,024.21	13,024.21	-	13,024.21	-	3.46%
PENNSYLVANIA	-	Q560	50,000.00	34,000.00	12.50%	34,000.00	34,000.00	-	34,000.00	-	9.04%
	-		\$400,000.00	\$397,024.44	100.00%	\$376,193.71	\$376,193.71	\$20,830.73	\$ 376,193.71	-	100.00%
Note:											

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Figure 45. Screenshot. The closeout funding spreadsheet.

# APPENDIX V. FHWA 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:

Transfer to State:

OR

Transfer to Other:

Transfer Name

Request Title

Contact: Email

Phone

Tracking Numbers	
Requestor	FHWA

**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>TOTAL FROM</b>	

*From/To out of balance by:*

	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.

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

Signature

Select a date

Date of Approval

Title of Approving Official

**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

Signature

Select a date

Date of Approval

Title of Approving Official

Print Form

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

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Figure 46. Screenshot. Form FHWA 1575-C.

# APPENDIX VI. SPR WAIVER REQUEST (STATE DOT-LED)



Transportation Building  
310 Maple Park Avenue S.E.  
P.O. Box 47300  
Olympia, WA 98504-7300  
360-705-7000  
TTY: 1-800-833-6388  
[www.wsdot.wa.gov](http://www.wsdot.wa.gov)

January 31, 2022

Shin-Che Huang  
Federal Highway Administration  
711 S. Capitol Way, Suite 501  
Mailstop 40943  
Olympia, Washington 98501

RE: Pooled Fund 100 Percent SP&R Waiver Request – Solicitation # 1567

Dear Mr. Huang:

The Washington State Department of Transportation (WSDOT) would like the Federal Highway Administration (FHWA) approval to establish a pooled fund study using 100 percent SP&R funding for:

Solicitation # 1567 – Roadside Safety Pooled Fund – Phase 3

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 360-705-7975 or [paintef@wsdot.wa.gov](mailto:paintef@wsdot.wa.gov)

Sincerely,

A handwritten signature in black ink that reads 'Fheejay Painter'.

Fheejay Painter  
Business Manager, Research and Library Services

cc: Patricia Sergeson, FHWA  
Tonya Jones, FHWA  
Rick Judd, FHWA

© 2022 Washington State DOT.

**Figure 47. Screenshot. SPR waiver request for State DOT-led projects.**



# APPENDIX VII. SPR WAIVER REQUEST (FHWA-LED)



## Memorandum

6300 Georgetown Pike  
McLean, VA 22101

Subject: **ACTION:** Pooled Fund 100 Percent  
SP&R Waiver Request – SHRP 2  
Naturalistic Driving Study Pooled  
Fund II: Advancing Implementable  
Solutions (Solicitation No. 1568)

Date: 4 March 2022

From: Brian Cronin  
Director Office Safety and Operations  
Research and Development  
McLean, VA

BRIAN P CRONIN  
Digitally signed by BRIAN P  
CRONIN  
Date: 2022.03.04 08:11:59 -05'00'

In Reply Refer To:  
HRSO-01

To: Ms. Tricia Sergeson  
Transportation Pooled Fund Program  
Manager, HRTM-10  
McLean, VA

Dear Ms. Sergeson,

The Federal Highway Administration (FHWA), Office of Safety and Operations Research and Development would like to establish a follow-on pooled fund study to TPF 5(361) using 100 percent SP&R funding. This request is for the solicitation titled: SHRP 2 Naturalistic Driving Study Pooled Fund II: Advancing Implementable Solutions” (Solicitation 1568).

The FHWA, Office of Safety and Operations Research and Development estimates approximately 10-15 state DOTs will participate in this study with FHWA as the lead agency. We anticipate that most of the participating state DOTs will use SP&R funding. The FHWA Lead and Technical Liaison for the study is Charles Fay from the Office of Safety and Operations Research and Development.

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 (202) 493-3269, Brian.Cronin@dot.gov.

© Source: FHWA.

Figure 48. Screenshot. SPR waiver request for FHWA-led projects.

# APPENDIX VIII. SPR WAIVER APPROVAL MEMO



U.S. Department  
of Transportation  
Federal Highway  
Administration

## Memorandum

6300 Georgetown Pike  
McLean, VA 22101

Subject: **INFORMATION:** Transportation Pooled  
Fund (TPF) Solicitation #1563“Transportation  
Management Centers Pooled Fund Study Phase  
II”

Date:

From: Kelly Regal, Ph.D.  
Associate Administrator for Research,  
Development, and Technology  
McLean, VA 22101

GERALDINE  
KELLY REGAL

Digitally signed by  
GERALDINE KELLY REGAL  
Date: 2021.11.09  
15:27:34 -05'00'

In Reply, Refer To:  
HRTM-10

Prepared By: Tricia Sergeson, PMP  
TPF Program Manager, Office of Corporate  
Research, Technology, and Innovation  
Management  
McLean, VA 22101

To: Brian Cronin  
Director, Office of Operations R&D  
(HRDO-1)  
McLean, VA, 22101

This memorandum is in response to the November 5, 2021 email from Jon Obenberger of your staff, requesting a waiver of the non-Federal funding match for State Planning and Research-Subpart B (SP&R-Subpart B) funds for TPF project solicitation number 1563, “Transportation Management Centers Pooled Fund Study Phase II.” We understand that the Federal Highway Administration (FHWA) will be the lead agency and Jon Obenberger will be the lead contact person for this project.

The study meets the criteria for use of SP&R-Subpart B funds used for research and development studies without non-Federal matching funds. The approval status will be reflected on the TPF 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 lead agency contact should notify Tricia Sergeson via email at [patricia.sergeson@dot.gov](mailto:patricia.sergeson@dot.gov) and Masha Shelton via email at [masha.shelton\\_ctr@dot.gov](mailto:masha.shelton_ctr@dot.gov) when the contract is signed. Electronic copies of the quarterly and final reports and other relevant study documents are posted on the TPF website. By doing so, the lead agency will be fulfilling its obligation to provide information to its partners on the status of the project.

You may contact Tricia Sergeson if you have questions or need further assistance.

Source: FHWA.

**Figure 49. Screenshot. SPR waiver approval memo.**

# APPENDIX IX. SAMPLE ACCEPTANCE MEMO (STATE-LED)



[July 12, 2021]

Mr. Timothy Marshall  
Iowa Division Administrator  
Federal Highway Administration  
105 6<sup>th</sup> Street  
Ames, IA 50010

RE: Integration of New Traffic Signal Actuation Concepts using Enhanced Detector Information

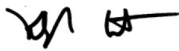
Dear Mr. Marshall:

The Iowa Department of Transportation is the lead state for pooled fund study TPF-5(483) "Integration of New Traffic Signal Actuation Concepts using Enhanced Detector Information."

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

The Iowa Department of Transportation requests participating agencies cc: [transfer\\_research@iowadot.us](mailto:transfer_research@iowadot.us), along with the Finance Manager and Finance Specialist from the FHWA Iowa Division Office, on the funding transfer submission request to FHWA.


Sincerely,



Khyle Clute, P.E.  
SPR Research Engineer  
Iowa Department of Transportation – Research & Analytics Bureau  
Iowa County Engineers Association Service Bureau

cc: Brian Worrel, Research Program Manager, Iowa DOT  
Tricia Sergeson, Transportation Pooled Fund Manager, FHWA  
Jill Stark, Transportation Pooled Fund Manager (Acting), FHWA  
Masha Shelton, Administrative Assistant, FHWA

 | [515-239-1412]

 | [contact.research@iowadot.us](mailto:contact.research@iowadot.us)  
 | [www.iowadot.gov](http://www.iowadot.gov)

 Address:  
[800 Lincoln Way, Ames, IA 50010]

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**Figure 50. Screenshot. Sample acceptance memo for State-led projects.**

# APPENDIX X. SAMPLE ACCEPTANCE MEMO (FHWA-LED)



## Memorandum

Subject: **INFORMATION:** Lead Agency for Pooled Fund Study **TPF-5(489) Safety Service Patrol Standardization and Management Practices** Date: 12/7/2021

From: Mark Kehrli **KEHRLI** Digitally signed by MARK RICHARD KEHRLI  
Date: 2021.12.06 16:48:06 -05'00' In Reply Refer To: Paul Jodoin  
Director, Office of Transportation Operations, Federal Highway Administration  
Office of Operations HOTO-1

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(489) Safety Service Patrol Standardization and Management Practices**. The FHWA Office of Operations 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 "Office of Transportation Operations, HOTO-1, BPAC 070". We will also inform participating States and agencies that non-federal contributions to the subject study can be made via [pay.gov](https://www.pay.gov) and refer them to review Chapter 11 of the TPF Program Procedures Manual (updated April, 2021) available on the TPF Website.

The lead agency coordinator for this pooled fund study, Paul Jodoin, can be contacted at 202-366-5465 or [Paul.Jodoin@dot.gov](mailto:Paul.Jodoin@dot.gov).

Cc: Paul Jodoin

Source: FHWA.

**Figure 51. Screenshot. Sample acceptance memo for FHWA-led projects.**

# APPENDIX XI. QUARTERLY REPORT TEMPLATE

## TRANSPORTATION POOLED FUND PROGRAM QUARTERLY PROGRESS REPORT

Lead agency (FHWA or State DOT): \_\_\_\_\_

### INSTRUCTIONS:

Lead agency contacts 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; and a concise discussion (two or three 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 number:</b> (i.e., SPR-2(XXX), SPR-3(XXX) or TPF-5(XXX)) Click or tap here to enter text.		<b>Transportation Pooled Fund Program—report period:</b> <input 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 1–December 31)	
<b>TPF study number and title:</b> Click or tap here to enter text.			
<b>Lead agency contact:</b> Click or tap here to enter text.	<b>Lead agency phone number:</b> Click or tap here to enter text.	<b>Lead agency email:</b> Click or tap here to enter text.	
<b>Lead agency project identification:</b> Click or tap here to enter text.	<b>Other project identification (i.e., contract number):</b> Click or tap here to enter text.	<b>Project start date:</b> Click or tap to enter a date.	
<b>Original project start date:</b> Click or tap to enter a date.	<b>Original project end date:</b> Click or tap to enter a date.	<b>If extension has been requested, updated project end date:</b> Click or tap to enter a date.	

### Project schedule status:

<input type="checkbox"/> On schedule	<input type="checkbox"/> On revised schedule	<input type="checkbox"/> Ahead of schedule	<input type="checkbox"/> Behind schedule
--------------------------------------	--	--	--

### Overall project statistics:

Total project budget	Total funds expended this quarter	Percentage of work completed to date
Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

**Project description:**

**Progress this quarter**

**(includes meetings, work plan status, contract status, significant progress, and so on):**

**Anticipated work next quarter:**

**Significant results:**

**Circumstance affecting project or budget: (Please describe any challenges encountered or anticipated that might affect the completion of the project within the time, scope556 and fiscal constraints set forth in the agreement, along with recommended solutions to those problems).**



**Potential implementation:**

## APPENDIX XII. PAY.GOV FORM

### Federal Highway Research Project Contribution Payment Form

✓


2

3

4

5

Before You BeginComplete Agency FormEnter Payment InfoReview & SubmitConfirmation



**Department of Transportation  
Federal Highway Administration  
(FHWA)**

**Federal Highway Research Project Contribution Payment Form**

Please fill in the form completely and click Submit Data to make your payment.

\* Required Field

Contact Name \*

Contributor Contact

Contact Phone # \*

(333) 333-3333

Project Number \*

TPF-5 (470)

Recipient \*

FHWA Pooled Funds

Official Project Name \*

Office of Transportation Operations

Contribution Amount \*

\$40,000.00

FY of Funds or N/A \*

2022

Program Code or N/A

N/a

Transfer To \*

TPF-5 (470), Office of Operations, HOTO-1, BPAC 070

Continue

View PDF

Source: U.S. Department of the Treasury, Bureau of Fiscal Service.

Figure 52. Screenshot. The Pay.gov form.

## APPENDIX XIII. TPF PROGRAM TERMS

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

TPF PM—Transportation Pooled Fund program manager

RAC—Research Advisory Committee

RASPS—Rapid Approval and 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

100-percent SPR funds—The normal match for SPR funds is 80-percent Federal and 20-percent non-Federal funding, but FHWA has the authority to approve the use of 100-percent Federal SPR funding for TPF 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 a 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 FY.

**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.

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

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

**Obligation**—The process of formally assigning eligible Federal funds to a project or 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 TPF website. 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 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 TPF Program. The duration of a project may be fixed or indefinite.

**Project canceled**—The lead agency has canceled the project.

**Project number**—The number FHWA assigned to the project and by which the project is referenced in FMIS.

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

**Request for proposals**—A document the lead agency issues to invite 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 the technical advisory committee developed.

Solicitation—The process whereby a sponsoring agency proposes a project through the TPF website to find project partners that will contribute funding.

Solicitation posted—The sponsoring organization has completed the problem statement, posting the solicitation on the website.

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 1-yr posting period.

Statement of work—A statement (2–3 pages in length) the lead agency drafts to outline research activities to be undertaken, estimated budget needs, and a timeline of research. It is sometimes also referred to as a proposal; it is posted on the TPF 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 XIV. 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%

TPF Program Standard Quarterly Reporting Format – 7/2011

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**Figure 53. Screenshot. The first part of the TPF quarterly progress report.**

**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.

TPF Program Standard Quarterly Reporting Format – 7/2011

© 2022 NASEM.

**Figure 54. Screenshot. The second part of the TPF quarterly progress report.**

**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.

TPF Program Standard Quarterly Reporting Format – 7/2011

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**Figure 55. Screenshot. The third part of the TPF quarterly progress report.**



**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.

TPF Program Standard Quarterly Reporting Format – 7/2011

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**Figure 56. Screenshot. The fourth part of the TPF quarterly progress report.**