



***OTC Research, Education, and Outreach Support (OTC-REOS)
Request for Proposals Solicitation
FY09.1 OTC Funding Competition***

<http://www.oktc.org>

**OTC Target Awards Notification Date: Wednesday, May 20, 2009
Target Contract Start Date: Monday, June 1, 2009**

Eligible Lead Applicants: The University of Oklahoma, Langston University, and Oklahoma State University

This Solicitation may be amended by the OTC; notification will be on the OTC web site. It is the responsibility of the applicant to review any such amendments and make necessary changes in the application to meet amended solicitation requirements.

Proposal preparation workshop dates and locations are available on the OTC web site. This solicitation is available on the OTC web site.

*The Intent to Apply forms and the Proposals are Only Received at
The Oklahoma Center for the Advancement
of Science and Technology (OCAST)*

**755 Research Parkway, Suite 110
Oklahoma City, OK 73104
Office: (405) 524-1357; 1-866-265-2215, FAX (405) 319-8426**

Intent Form Deadline: 5:00 p.m., Monday, February 16, 2009
(An Intent to Apply form must be filed for each proposal by the above deadline to be eligible to submit.)
Application Deadline: 5:00 p.m., Wednesday, March 18, 2009

OTC CONTACT INFORMATION:

Tony Dark P.E., Executive Director (918) 527-3275 tony.dark@okstate.edu

OCAST CONTACT INFORMATION:

Arnulf P. Hagen, Ph.D., Consultant (405) 326-4675 aphagen@ocast.state.ok.us

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Oklahoma Transportation Center (OTC)
OTC Research, Education, and Outreach Support (OTC-REOS)
FY09.1 OTC FUNDING COMPETITION
Request for Proposals (RFP)

OTC PROGRAM OVERVIEW

In the recent SAEFETEA-LU legislation, the Oklahoma Transportation Center (OTC) was designated as a national University Transportation Center (UTC). The OTC is pleased to announce that the Year 2 UTC funding has been secured. The OTC now seeks to fund meritorious proposals for projects that will advance the Strategic Plan of the OTC (available at <http://www.oktc.org>).

PROPOSAL TOPICS

Proposals must be submitted in one of the following areas: research, education, outreach, or diversity. Normally, proposals will have a primary focus on one of these areas. However, preference will be given to proposals that leverage the primary focus into one or more of the other areas. Preference will also be given to projects that will produce significant results in the first year. **It is important to note that ALL proposals must explain how the proposed project will advance the diversity goals of the OTC.**

A. RESEARCH

Proposals focused on research must address one or more of the following four areas:

Bridges – Structural Health Monitoring, Repair and Retrofit Alternatives.

Topics include:

Management, monitoring and life extension of bridge and foundation systems, including bridge-vehicle interactions.

Alternatives to bridge replacement, including retrofit and repair methods. Actions and methods to mediate structural load limitations, and increase traffic capacity.

Pavements – Research will focus on developing innovative, economical and implementable technologies.

Topics include:

Design, construction, maintenance and performance monitoring of pavement systems.

Cost effective implementation of mechanistic design guides.

Rehabilitation and recycling.

Innovative/improved materials (concrete, asphalt, soil, composites, and recycled materials).

Intermodal Freight Logistics – Efficient and secure movement of freight.

Topics Include:

Understanding and modeling freight volume and mix, including origin-destination paths and mode choices.

Freight flows in the national highway systems including economic forecasting models.

Intermodal freight analysis to determine potential intermodal points.

Modeling and analysis of current conditions leading to improvements in the public transportation infrastructure.

Safety and Security – Developing a system for coordinated efforts to deal with emergencies.

Topics include:

Infrastructure hardening assessment, emergency response preparedness and training.

Advancement of decision support tools for risk assessment, management and recovery.

Safety and security through enhanced universal mobility.

B. EDUCATION, OUTREACH, AND TECHNOLOGY TRANSFER

Projects will be considered in the following areas:

Development of a technology program for Land Surveying with an emphasis on mathematical skills and legal and historical background necessary for land surveying.

Development of an undergraduate degree program in Transportation Management with an emphasis on Surveying, Safety, Security, and Hazardous Materials.

Development of graduate programs in areas that is strategic to OTC such as a Rehabilitation Counseling Program that addresses transportation-related disabilities, and drugs or alcohol use and transportation issues; or a Physical Therapy Program with a focus on transportation related injuries particularly those involving youth, disadvantaged and elderly.

Development of a multi-disciplinary graduate degree program with an emphasis on transportation problems and issues.

Upgrading existing courses and the development of new courses important to the research and educational mission of the OTC in areas such as pavements and bridges, repair and retrofit of existing structures, transportation materials, urban transportation network analysis, and transportation and supply chain management.

Facilitated experiential learning through such programs as Summer Internship, Bridge Squad, Roadway Squad, and Summer Transportation Institute.

Development of an aggressive technology transfer plan that includes such elements as short courses, seminars, workshops, conferences, and joint activities with transportation agencies, industry, trade organizations and other regional and national transportation centers.

C. DIVERSITY

The OTC expects to recruit, train and retain a diverse student population that is representative of the changing population in the United States. Also, the OTC expects to become a leading UTC involving African Americans, Native Americans and other under-represented groups in transportation research and education.

Proposals will be considered that address:

Early Engagement in transportation careers,

Recruiting to programs (undergraduate and graduate) that address transportation professions,

Transition to college life for students majoring in transportation related areas,

Retention in and graduation from transportation oriented programs, and

Enhanced activities for transportation related programs for graduate and undergraduate students.

FUNDING LEVELS AND LENGTH OF FUNDING

Research proposals may request up to \$100,000/year of OTC support. Education, Outreach, Technology Transfer and Diversity proposals may request up to \$50,000/year. Proposals involving more than one OTC institutions may request a higher level of OTC support (up to \$150,000/year for research proposals, and up to \$75,000/year for education, outreach, technology transfer, and diversity proposals).

Short duration projects may last up to one year and will normally focus on one specific outcome or deliverable.

Multi-year projects may last up to three years and will normally address OTC's broad program goals. In the case of multi-year projects, funding beyond the first year is subject to satisfactory progress on the project, submission of all required reports, and the availability of funds.

MATCHING REQUIREMENTS FOR FUNDING

General Requirements

Each project must show qualified matching funds equal to or greater than the amount requested from the OTC. Ideally, the matching funds will come from newly developed sources.

However, funds expended since **October 1, 2006** through the end of the project may be used as match when they meet the requirements listed below.

As established in the federal grant regulations issued by the Office of Management and Budget (OMB), matching funds may be cash or in-kind. However, all matching funds must be fully documented and carefully accounted for.

Match funds may come from

- (1) any private source such as a company or a foundation,
- (2) any state agency including those from other states and other countries,
- (3) a limited number of federal accounts, which include SPR funds.

Note: In order for federal funding to qualify as matching funding, federal funds must come from accounts under sections 503, 504(b), or 505; Title 23 of the United States Code. Caution must be exercised in using state funds as matching since many sources of state funds are actually federal flow through funds. Questions regarding allowed sources of government matching funds may be addressed to Ms. Suzette Lavoie (OSU) at 405-744-5957 (suzette.lavoie@okstate.edu).

Documentation of the original source of all matching funds must be included in the proposal.

The above guidelines led to considerable existing sources of potential matching funds being identified

at each of the three OTC institutions. PIs are encouraged to consult with their respective research offices to determine what existing sources of funding might be used as match. Care must be exercised to ensure that the matching funds are not double counted.

In addition to identifying matching funds from an allowed source, each proposal must demonstrate that the matching funds and the OTC funds will be expended in a manner that will create a unified project. This may be demonstrated in one of two ways:

1. The OTC funds and the matching funds will be expended during the course of the proposed OTC project to support the project activities, or
2. The activities supported by one source of funding (OTC or match) are a natural extension or a complement to the activities supported by the other type funding.

The following examples are included as an illustration:

Type 1. examples – match used to co-fund this OTC project

1. A company provides a cash match to the PI during the course of the proposed project.
2. A PI has secured SPR funds that will co-fund the project.
3. Industry researchers work on their share of the proposed project at the company using company money while the PIs work on campus using the OTC funds.
4. A PI wins an OCAST OARS award for a project that is identical to the proposed OTC study. The OTC funds serve as match for the OARS project and vice versa.
5. A company provides services and materials to the PI for use in the OTC project.
6. A new faculty member has start-up funds that can be used to co-fund the project.

Type 2. examples – match leads to an expanded project

1. A company is supporting (or has supported since October 1, 2006) a project focused on its newly developed paving materials. The proposed OTC project will expand the scope of the industry sponsored work by examining other materials and by performing tests on all of the materials that were not within the scope of the original, industry sponsored work.
2. An applied project sponsored with SPR funds has raised significant fundamental issues that the OTC project will explore.
3. A project sponsored by the American Heart Association (AHA) implies (or implied) that worker safety was impaired when employees worked 24-hour shifts during an ice storm. The proposed OTC project would use heart monitors developed in the AHA project to affirm or deny the safety implications as well as to develop work-time guidelines for ODOT or OTA employees.
4. A Diversity project will augment and enhance an existing program that promotes diversity in STEM fields in general by addressing issues that are of particular concern when attracting members of underrepresented groups into transportation fields.

The above examples are presented to encourage “out-of-the-box” thinking by potential OTC researchers. This topic will be discussed further at the proposal preparation workshops. In addition, the OTC campus leadership team is available to answer questions concerning match.

Alan Tree, Oklahoma State University, HYPERLINK "mailto:tree@okstate.edu" tree@okstate.edu
Musharraf Zaman, The University of Oklahoma, HYPERLINK "mailto:zaman@ou.edu" zaman@ou.edu
Dennis Howard, Langston University, HYPERLINK "mailto:dvhoward@lunet.edu" dvhoward@lunet.edu

APPLICANT ELIGIBILITY

The lead applicant organization for this competition must be Langston University, Oklahoma State University, or The University of Oklahoma. The PI must be a full-time employee of one of these institutions.

PREVIOUS RECIPIENTS

Any previous recipient, PI or Co-PI, with a delinquent technical report on an OTC funded project at the time of submission is not eligible to submit a new proposal. Any PI or Co-PI with a delinquent technical report at the time of review is not eligible for review. If a PI or Co-PI has delinquent report(s) on a previously funded project at the time of the award, OTC will not issue a contract until the report(s) have been submitted. If the delinquent report(s) are not submitted within 60 days of the award date, OTC will nullify the award.

DISCLAIMER

This solicitation is intended for informational purposes and reflects current planning; it does not obligate OTC to make any specific number of awards. Amendments to this RFP will be posted on the official OTC web site. All awards under the OTC program are contingent upon the availability of funds.

EVALUATION CRITERIA

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

Merit of the project (40%)

The prospects that the project will produce significant results;
The creativity and inventiveness of the proposed project;
The degree to which the proposal reflects an understanding of the state-of-the-art in the subject area and addresses an important issue for Oklahoma or for the Nation;
The degree to which the primary focus is leveraged into one or more areas
The degree to which OTC funds will be leveraged beyond the required match.

Ability to perform the project (30%)

The quality and probability of success of the plans;
The appropriateness of the proposed techniques, methods, and processes;
The qualifications of the personnel;
The adequacy of the existing and/or proposed resources, including facilities;
The appropriateness of the budget and the quality of the match;
The appropriateness of proposed time schedule.

Potential for short- and long-term impact (30%)

The proposal meets broad OTC program goals.

The proposal meets the needs of government, industry, and other key OTC constituencies.
The degree to which undergraduate and graduate students will be prepared for careers in the transportation industry.

The degree to which the project will increase human resource diversity in the transportation industry.
The degree to which the project will establish or strengthen ties among the OTC partner universities.
The degree to which the project will establish or strengthen ties between OTC and key constituencies including agencies of the state government and federal government, industry, and other UTCs.

REVIEW PROCESS

All proposals seeking OTC funds will be peer reviewed according to the evaluation criteria in the RFP. All reviewers will be approved by the OTC Research Committee or the OTC Education and Outreach Committee. As stated in the Strategic Plan a majority of the reviewers will reside outside the State of Oklahoma.

The Oklahoma Center for the Advancement of Science and Technology (OCAST) will manage the review process under contract with the OTC. However, the program goals and review criteria are set by the OTC.

The reviewers will rank those proposals that are deemed meritorious. Meritorious proposals will be presented to the OTC Executive Board for funding approval. The OTC *intends* to fund the highest ranked proposal in each area (research, education, outreach, and diversity). The Executive Board will decide how far down the rankings to fund, but may not reorder the rankings.

The lead PI will receive a copy of the reviews' comments.

INTELLECTUAL PROPERTY RIGHTS

All issues related to intellectual property rights will be the responsibility of the submitting organization and will be subject to applicable state and federal laws and the OTC Memorandum of Understanding between the three partner universities.

SUBMISSION REQUIREMENTS

All materials must be submitted to the OCAST Office:

OCAST

OTC Program

755 Research Parkway, Suite 110

Oklahoma City, OK 73104

1. Intent to Apply form

Only those who have submitted the required Intent to Apply form by the Intent form deadline are eligible to submit a proposal. After the Intent form deadline, OCAST will assign a Project Number and e-mail that number to the PI. Each applicant is required to place the Project Number on the top right corner box of the proposal.

Statement of Intent may be faxed to (405) 319-8426 to meet the deadline. The original intent, with signatures must be mailed to the address above. The PI is responsible to ensure that the Statement of Intent is received by OCAST by the deadline. The OCAST fax machine may be overloaded or otherwise inoperable close to the deadline. Intents will not be accepted by e-mail.

Statement of Intent Form Deadline: 5:00 P.M., Monday, February 16, 2009.

2. Proposal Materials

The proposal must be received at the OCAST address above before the deadline. This solicitation with editable forms is available online at HYPERLINK "http://oktc.org/OTCv3/" <http://www.oktc.org> Online tools are optional and are not required to prepare a proposal. **Proposals will not be accepted via facsimile or e-mail.** No Supplemental material related to the proposal will be accepted after the deadline except at the request of OCAST. OCAST or the OTC may return proposals that are judged to be incomplete or inappropriately completed, without review. An individual may submit up to two proposals as Principal Investigator. However, there is no limit on the number of proposals that may be submitted by an individual as Co-Investigator in a competition.

Proposal Submission Deadline: 5:00 P.M., Wednesday, March 18, 2009

Important Note Concerning Intent to Apply form and Proposal Deadlines.

An Intent to Apply or a Proposal that has been logged into a commercial delivery service with "delivery guaranteed" before 5:00 PM on the day of the applicable deadline will be accepted if the PI can provide acceptable documentation that the Intent to Apply or the Proposal was provided to the delivery service with delivery to the address above guaranteed prior to the applicable deadline date and time. OCAST recommends that all documents be submitted to OCAST several days prior to the deadlines. **NO INTENT TO APPLY FORMS OR PROPOSALS WILL BE ACCEPTED AFTER THE DEADLINES. NO EXCEPTIONS WILL BE MADE.**

REQUIRED MATERIALS

Each OTC proposal must include two signed originals of the entire proposal and a CD containing two files. The first file is an electronic copy of the entire proposal as a single file using the Adobe Acrobat™ (.pdf). This file must be named OTCREOS9.1-XX-PI Last Name.pdf, where XX is the Project Number received from OCAST upon submission of the Intent to Apply forms (e.g., OTCREOS9.1-15-Hagen.pdf). The second file on the CD is a MS Word file (.doc) containing the Cover Page forms (Items A-K). This file must be named OTCREOS9.1-XX-A-K-PI Last Name.doc (e.g., OTCREOS9.1-15-A-K-Hagen.doc). For identification purpose, the CD must be marked as OTCREOS9.1-XX-PI Last Name (e.g., OTCREOS9.1-15-Hagen) by a permanent marker or a printed label. A proposal may be returned without reviews if these instructions are not followed.

2 originals (paper)	Entire proposal with institutional endorsement
1 CD with 2 files	First file containing the entire proposal in pdf format, as noted above.
	Second file containing the Cover Page forms (Items A-J) in MS Word, as noted above.

PREPARATION INSTRUCTIONS

The instructions below must be carefully followed. Proposals that are difficult to read, exceed page limits, violate format requirements, or omit required sections may be returned without review.

General

1. All proposal materials must be prepared on 8½ x 11-inch white paper with 1.0 inch margins on all four sides.
2. Acceptable fonts and font sizes include Arial, Helvetica, Palatino, and Georgia in 10 point font or larger; and Times New Roman and Computer Modern in 11 point font or larger. The font size for inserted symbols or equations must be selected to best match the text of the proposal.
3. Do not use binders or notebooks, rubber bands or regular paper clips. OTC recommends a black binder clip or a staple in the left corner.
4. Material must not be appended in an effort to circumvent the page limitations.
5. Number all pages.

Required Proposal Sections

Each proposal must include the following sections in the order indicated. If a section is not applicable it must be included, but denoted “Not Applicable.”

I. Cover Page Form (Items A-K)

Use the Cover Page form provided. The Cover Page is public information.

II. Summary (1 page maximum)

The summary must be a self-contained document, suitable for publication that explains the activities that will result if the project is funded, the expected results, and the impact of those results. The Summary must be prepared in simple text format with no graphics, equations and tables. One must get a clear view of the proposed project from the summary. The Summary is public information.

III. Table of Contents (reviewers prefer this to not exceed 1 page)

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

IV. Project Description (10 pages maximum)

The Project Description must be broken into sections (e.g., Introduction, Background, Research Plan, etc.) as appropriate for the type of project (i.e., research, education, outreach, or diversity) being proposed. In general, the Project Description will include sections with headings that:

- identify the problem or issue to be addressed and include a justification for OTC to fund work in this area;
- explain the relationship of the proposed project to past or current efforts in the area of the proposed project;
- outline the activities that would be conducted and/or the methods to be used, including

identifying the facilities or equipment that will be needed;

- indicate the expected results and the significance/impact of those results; and
- explain the how the project addresses broad OTC goals, including diversifying the pool of transportation professionals.

In addressing the impact of the proposed work, the proposal must cite the significance of the project to key OTC constituencies and to national transportation issues. **ALL proposals must explain how the proposed project will advance the diversity goals of the OTC.**

V. Results of Past OTC Support (3 pages maximum, no more than one page per project)

If the PI or Co-PIs have previously received OTC funding, the project must be identified by title, funding amount, and project period. The outcome of the project and the significance of the project must be explained. If the project continued or was augmented by non-OTC funds, the PIs must explain how the OTC funding led to these other sources of funds. If the PI and Co-PIs have received OTC funding for more than three projects, the three projects most closely related to the proposed project must be described.

VI. Matching Funding (2 pages maximum)

Proposals must cite the source of the matching funds and explain how the matching funds and the OTC funds will be expended to create a unified project (see earlier discussion under MATCHING REQUIREMENTS FOR FUNDING). This section must also identify the manner in which OTC funds will be leveraged beyond the required matching funding.

VII. Prospects for Future Funding (1 page maximum)

Proposals must explain how funding the proposed project would enhance the capacity of Oklahoma to compete for federal funds or make the services of the partner OTC institutions more attractive to industry.

VIII. References (no page limit)

References must be inserted into the proposal to meet the highest standards of scholarship, but may be cited in any generally accepted format. Each reference must be complete including title, source, page number, etc. Comments or quotations must not be inserted into the Reference Section in an attempt to circumvent page limitations.

IX. Senior Personnel (2 pages maximum for each PI and Co-PI)

A two-page vita must be included for the PI and each Co-PI that includes their education, appointments, activities relevant to this proposal, awards, and up to ten publications (up to five most relevant publications and up to five other significant publications). Vitae for other project personnel must be included only if they have extraordinary credentials that would bear on the review of the proposal.

X. Budget, Budget Footnotes, and Budget Justification (no page limit)

The budget must be prepared in the format prescribed by the Research and Innovative Technology Administration (RITA) for UTCs. The RITA budget form and Budget Justification instructions can be down loaded from the OTC web site (<http://www.oktc.org>). A budget must be submitted for each for each year of support requested and a cumulative budget, with all sources of matching funds clearly detailed by budget line item (see Budget forms).

Full F&A may be charged by each of the partner institutions, with one exception. In accordance with the OTC MOU, partner institutions may not charge F&A when subcontracting between partner institutions.

PIs who plan to propose subcontracts to entities other than the partner universities or who plan to propose international travel must receive prior approval from OTC.

No equipment exceeding \$5,000 may be requested in this round of UTC funding.

Equipment may be used as match, upon prior approval by RITA. Proposals containing equipment as match must provide justification to allow OTC to seek approval from RITA for the equipment match. If the equipment match is denied by RITA, the budget will be reduced by an equivalent amount or an alternative allowable source of matching funds will need to be provided.

RELEASE OF INFORMATION

OCAST is subject to the Open Meetings Act and the Open Records Act. However, information submitted to or compiled by OCAST with respect to marketing plans, financial statements, trade secrets, research concepts, methods or products, or any other proprietary information is confidential. OTC or OCAST may use the contents from the Intent to Apply, proposal summary and executive summaries from progress and final reports for publication without obtaining permission from the applicant or applicant organization.

REGULATORY ISSUES

The PIs institution shall be responsible for assuring and documenting compliance with all State and Federal requirements including, but not limited to, vertebrate animals, recombinant DNA, radioactive substances, narcotics and other controlled substances, export controlled technologies, and/or biological hazards, which require special approval or license, before being issued a contract for any portion of the project funded by OTC. The PIs institution will make these records available to OTC as requested.

FINANCIAL RECORDS

The PIs institution(s) will be responsible for maintaining records and accounts that properly document expenditures and other pertinent matters of all project funds. All such records and accounts shall be made available on demand by OTC for inspection and used in carrying out its responsibilities for administration of the funds.

Applicant organizations must provide the specified documentation of matching expenditures to OTC with each Request for Payment. At no time shall the amount invoiced from OTC exceed the amount of documented matching funds expended. Failure to document the required matching amount could result in a decrease in the OTC funding amount and/or a termination of all subsequent OTC funding.

Complying with the audit policy of OTC and, as OTC deems necessary, permitting authorized representatives of OTC and the federal government full access, and the right to fully examine, all project records and accounts at reasonable times. The Contractor, or designated fiscal agent, shall provide OTC timely copies of reports on any audits that include funds received from OTC. The Contractor, at OTC's request, shall provide OTC with an independent audit report of all funds expended on each OTC contract in which the amount of OTC funds are awarded. In the event an audit results in the determination that the Contractor, or designated fiscal agent, has expended contract funds on unallowable costs, the Contractor, or designated fiscal agent, shall reimburse OTC in full for all such costs.

PERFORMANCE EVALUATION

Acceptance of an OTC award obligates the PI to submit quarterly progress report and annual progress report (for multi-year projects) 30 days prior to the ending date of each contract period. For one-year projects or for the final year of multiple-year projects, a final report must be submitted no later than 60 days after the end of the final contract period. Continued funding is contingent upon submission of the required reports.

Annual project performance will be evaluated by the OTC Research Committee or the OTC Education and Outreach Committee. **Continued funding of multiyear projects is contingent upon satisfactory annual performance evaluations that verify that the PI is complying with the terms of the contracts and achieving project objectives.** Late submission of an annual progress report may result in a break between contract periods or project termination.

Evaluation of the UTC Program requires the periodic collection of information from investigators and contractors during and beyond the contract period(s). The PI and Co-PIs must provide OTC with the requested information during and after the funding period. This information may include, but is not limited to, Impact Survey, Site Visits, and Reverse Site Visits where the PI may be required to present his or her funded project related information to OTC staff, the OTC Executive Board, the FHWA, and other interested parties. The PI or designee must present a research summary (poster or oral presentation) at the annual ODOT-OTC Research Day.

PROPOSAL PREPARATION WORKSHOPS

Proposal preparation workshops are presented by OTC and OCAST at no charge; however, attendees must bring a copy of this solicitation to the workshop. The half-day workshops cover specifics of the solicitation with an emphasis on the rules and procedures associated with preparing a proposal.

The workshops will be held in Langston, Norman, and Stillwater; dates and locations will be announced at **HYPERLINK** "<http://www.oktc.org>" <http://www.oktc.org> prior to the workshop.

This is the last page of the Request for Proposals