

# **Transportation Pooled Fund Procedures Manual**

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

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

## Chapter 2 – Legislative and Regulatory Requirement

The State Planning and Research Program (SP&R) is authorized by Title 23, USC, and is regulated under [23 CFR Part 420](#). The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) requires that States set aside 2 percent of the apportionments they receive from the Interstate Maintenance, National Highway System, Surface Transportation, Highway Bridge, Congestion Mitigation and Air Quality Improvement, and Equity Bonus programs for State planning and research activities. Of this amount, States must allocate 25 percent for research, development, and technology. These activities involve research on new areas of knowledge; adapting findings to practical applications by developing new technologies; and the transfer of these technologies, including the process of dissemination, demonstration, training, and adoption of innovations by users.

[49 CFR Part 18](#) is the common rule for the U.S. Department of Transportation. The Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments establishes uniform administrative rules for the U.S. Department of Transportation's grants and cooperative agreements and sub-awards to State, local and Indian tribal governments. Section 505 of Title 23 United States Code provides guidance on what activities are eligible for SPR funding. Section 505(b)(2) allows the U.S. Secretary of Transportation to waive the funds match requirement for a project administered under the Transportation Pooled Fund mechanism. The authority to waive the funds match requirement has been delegated to the FHWA Associate Administrator for Research, Development and Technology. To improve the financial accountability of TPF projects, the lead agency will have all funds transferred to them and will be responsible for project financing (obligating funds, tracking expenses, paying invoices, and returning unused funds to participating entities). The transfer authority in Title 23 USC 104(k) as amended by the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), P.L. 109-59 Section 1108, allows for a simplified TPF program fiscal management. It enables a TPF project's lead agency to be responsible and control all associated funds from inception through final closeout. Three methods are available for transferring committed (pledged) funds to a lead agency: (1) Direct transfers of Federal funds via the transfer forms FHWA 1575 (State-to-State transfers) or FHWA 1576 (State to FHWA transfers); (2) PAY.GOV (a system provided by the U.S. Department of Treasury to make secure electronic payments to Federal Government Agencies). **Please Note: PAY.gov is only available to contribute non-Federal funding to an FHWA-led project; or 3) Payment contributions (via check) directly to the lead State.** More details on the transfer of funds are covered in [Chapter 11](#).

## **Chapter 3 – Program Requirements**

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

1. TPF studies must be sponsored by either a State DOT or the FHWA.
2. To qualify as a TPF study, more than one State DOT and/or the FHWA, as well as another agency such as a municipality, metropolitan planning organization, college/university or a private company must find the subject important enough to pledge funds or other resources to conduct the research, planning, and technology innovation activity.
  - a. Local and regional transportation agencies, private industry, foundations, and colleges/universities may partner with any or all of the lead agencies to conduct pooled fund projects. However, they may not lead or solicit the initiation of a study.
3. The proposed study must be documented in the State’s work program. If the subject matter has been previously studied, new information that will complement or advance previous investigations of the subject matter should be provided.

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

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

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

The participation of a foreign government in a pooled fund project is welcomed and considered on a case-by-case basis. However, contributions to pooled fund studies by such partners may be limited by the rules and regulations of the lead agency and Federal Highway Administration (FHWA). For States that allow foreign government or private organization participation, the contribution should not be at a level that would affect or even appear to affect the outcome of the research, conference, etc., that is the intended product of the project. Similarly, foreign government or private organization contributions to an FHWA-led project will be considered on a case-by-case basis in consultation with the FHWA Office of Chief Counsel and/or Office of International Programs.

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. The contracting laws and regulations of the lead agency will govern the project delivery process including such things as consultant selection, contract management, and reporting. 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 pooled fund website to provide broad availability of the reports. Furthermore, study information maintained on the pooled fund website is to be regularly reviewed and updated by the lead agency to ensure that the information provided is current. Additional information regarding project management requirements is provided in [Chapter 12](#).



## Chapter 4 – Transportation Pooled Fund Website

The enhanced Transportation Pooled Fund (TPF) web site ([www.pooledfund.org](http://www.pooledfund.org)) was funded under the NCHRP Project 20-82, “New Generation Transportation Pooled Fund Website.” Use of the web site is required and is considered to be the central communication tool for tracking the status of pooled fund studies and permits: online project solicitations and commitments by project partners, the posting of work plans, progress reports, final report/deliverables, implementation activities, and other relevant information.

The TPF web site includes:

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

Interactive Features include:

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

### Authorized User Access

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

The approval of additional authorized users from a State DOT is at the discretion of the AASHTO RAC member from that State. The current list of AASHTO RAC members can be

found at the following link: <http://research.transportation.org/Pages/RACRoster.aspx>. The different levels of user roles are discussed below. If you are unable to identify the AASHTO RAC member for your State DOT, please contact the Transportation Pooled Fund Program Manager (PFPM) for assistance.

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

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

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

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

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

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

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

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

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

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

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

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

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

**Lead Agency Contact** - The lead agency employee who is primarily responsible for administering the study.

**Lead Agency Facilitator** – Assists the Lead Agency with managing the solicitation or study.

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

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

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

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

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

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

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

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

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

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

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

**Closed** - FHWA has reimbursed the lead agency for all expenses associated with the study and it is officially closed..

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

**Document types:**

- Work Plan
- Request for Proposals
- Quarterly Progress Report
- Annual Report

- Memorandum
- Report
- Final Report
- Study Summary
- Follow-up Questionnaire

## Chapter 5 – Establishing a Pooled Fund Project

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

### State-led

1. To establish a pooled fund project, the lead agency is to ensure that the proposed project is in the State's work program.
2. It is suggested, but not required, that the lead agency develop a project proposal that would include the following information:
  - Identification of the lead agency for the proposed project.
  - A detailed description of the specific research activities to be undertaken
  - The total estimated costs as well as the requested contribution (per participant, per fiscal year)
  - The estimated duration of the project.
3. Submit a request to establish the pooled fund project to your local FHWA Division office for processing and approval. *Note: If the primary source of funding for the project will be State, Planning and Research (SP&R) and the lead agency is interested in requesting the waiver for the use of 100% SP&R funding, this should be mentioned in the request to establish the project.*
  - a. The lead agency will be notified of the waiver request's approval via an automated message that is generated by the TPF website. The duration of this process is approximately 2-3 weeks.

Sample language to request the SP&R waiver is as follows:

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

*Motorcycle crashes have increased dramatically for the past decade in the United States. Motorcycle rider fatalities rose 127 percent between 1997 and 2006. During the same time, fatality numbers and rates for passenger car crashes dropped. In 2006 and 2007, motorcycle rider fatalities surpassed pedestrian fatalities, comprising more than 10 percent of the total motor vehicle related fatalities. In 2006, motorcycle crash-related fatalities (4,810) increased by*

*over 5 percent from 2005, making motorcycle rider fatalities a significant contributor to the slight overall increase that year in the national highway fatality rate. In 2007, while overall motor vehicle related fatalities decreased almost 4 percent from 2006, motorcycle crash-related fatalities (5,154) increased by 7 percent. The objective of this transportation pooled fund study is to provide additional funding to help support the Crash Causation Study in the collection of data from additional motorcycle crashes. “*

4. The project manager is to post the pooled fund solicitation on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)). *The lead agency may post the solicitation online while the request for the SP&R waiver is being processed.*
  - a. The project manager is to monitor the status of their pooled fund solicitation and indicate when the sufficient level of funding commitments has been received by changing the commitments received indicator on the TPF website to “YES” when appropriate. In response, an automated message will be generated by the TPF website and sent to the PFPM. The PFPM will clear the pooled fund solicitation and assign an official study number with the number prefix, TPF-5[XXX]).
5. Upon receipt of the official study number, the project manager is to develop an acceptance memo that formally acknowledges their willingness to accept funding, lead and manage the pooled fund project. The acceptance memo, along with the transfer form FHWA-1575 (State-to-State transfer), is to be used by the project partners to formally transfer their committed funding to the designated lead agency. *Note: When completing form FHWA-1575, please ensure that the top of the form is entitled “State-to-State Pooled Fund Project.” If not, please click on the drop down arrow (located on the right side of the form title) to select the appropriate form from the list.*

### **FHWA-Led**

1. The project manager is to post the pooled fund solicitation on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)).
2. It is suggested, but not required, that a project proposal be developed 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
  - The total estimated costs as well as the requested contribution (per participant, per fiscal year)
  - The estimated duration of the project.

3. Submit a request to establish the pooled fund project to the PFPM for processing and approval. This request may be via e-mail. *Note: If the primary source of funding for the project will be State, Planning and Research and the lead agency is interested in requesting the waiver for the use of 100% SP&R funding, this should be mentioned in the request to establish the project.*

Sample language to request the waiver is available in the State-led section of this chapter.

- a. The lead agency will be notified of the waiver request approval via an automated message that is generated by the TPF website. The duration of this process is approximately 2-3 weeks.
4. The project manager is to monitor the status of their pooled fund solicitation and indicate when the sufficient level of funding commitments has been received by changing the commitments received indicator on the TPF website to “YES” when appropriate. Once a sufficient level of funding commitments has been received, the PFPM will clear the pooled fund solicitation and assign an official study number (i.e., TPF-5[XXX]).
5. The project manager is to develop an acceptance memo that formally acknowledges their willingness to accept the funds for use on the project. The acceptance memo, along with the transfer form FHWA-1576, will be used by the project partners to formally transfer their committed funding to the designated project manager’s office in FHWA.



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

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

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

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

After logging onto the TPF website,

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

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

To upload a document to a pooled fund solicitation:

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

## How to Update a Pooled Fund Solicitation

To update a solicitation:

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

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

### **Timeframe for Solicitations**

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

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

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

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

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

### **State DOTs**

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

### **FHWA Project Partners**

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

### **How to Post a Pooled Fund Commitment Online**

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

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

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

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

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

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

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

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

### **Minimum Funding Contributions**

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

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

### **“In-Kind” Contributions**

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

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

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

## Chapter 8 – 100 Percent SP&R Waiver Requests/Approvals

*Note: If the SP&R waiver is requested, it must be approved prior to the assignment of an official project number.*

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

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

### How to Obtain the 100 Percent SP&R Waiver

#### *State-led projects*

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

If the primary source of funding for the project will be State, Planning and Research and the lead agency is interested in requesting the waiver for the use of 100% SP&R funding, this should be mentioned in the request to establish the project. Sample language is provided in Chapter 5.

**A sample SP&R waiver request from a lead State agency is available in Appendix 2.**



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

**Once the SP&R waiver request has been received by the PFPM:**

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

**When the waiver is approved:**

1. The PFPM will update the status of the SP&R 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 memo approving the SP&R waiver will be sent to the FHWA Division Administrator of the lead State, as well as the FHWA R&T Contact via e-mail.
3. The R&T Contact in the FHWA Division office is to forward a copy of the approved SP&R waiver memo to the lead agency for their information via e-mail.

### ***FHWA-led projects***

To obtain the SP&R waiver:

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

## Chapter 9 – Project Approval

### Sufficient Commitments Received

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

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

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

### Acceptance Memo

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 memo” 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 memo is at the discretion of the lead agency. However, it should include the project number, title, and indicate that the organization is willing to accept the responsibility to lead and administer the project, and also to accept the transferred funds from partners that pledged their financial support to the project. At the discretion of the TAC, acceptance memos may be requested on an annual basis. Sample acceptance memos are available in Appendix III.

- **State-led Project**

If the project is being led by a State DOT, the acceptance memo is to be written to the Division Administrator in their local FHWA office. A copy of the signed acceptance memo is to be sent to the PFPM for the official record. Additionally, **the lead agency is to upload a copy of the acceptance memo to the pooled fund project description on the TPF website.**

- **FHWA-led Project**

If the project is being led by the FHWA, the Lead Agency Contact or Lead Agency Facilitator is to develop an acceptance memo that is written to the PFPM from the FHWA Director whose office has the lead role in managing the pooled fund project. Once the memo is signed, the Lead Agency Contact or Lead Agency Facilitator is to upload a copy of the acceptance memo to the project description on the TPF website. The PFPM will retain a copy of the acceptance memo in the official project file.

## Chapter 10 –Transferring Pooled Funds

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

### How to Transfer Pooled Fund Contributions

State DOT’s may transfer their Federal-aid funds (typically State Planning and Research program funds) to the lead agency of the pooled fund project, using FHWA transfer forms— FHWA-1575 (State-to-State transfers) or FHWA-1576 (State-to-FHWA transfers). An example of each transfer form can be found in Appendix 1.

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

Participating States committing Federal funding to a State-led pooled fund project through the TPF website ([www.pooledfund.org](http://www.pooledfund.org)) must submit a transfer request form FHWA 1575, and a copy of the lead agency acceptance memo, to their local FHWA Division Office for processing. 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 memo for the project, and sign the transfer form in the section “FHWA Division Administrator Concurrence.”
2. The FHWA Division office will electronically transmit the approved transfer request, along with a copy of the project’s acceptance memo, to the FHWA Headquarters Budget Office (HCF-10) for processing. **Important Notice: When preparing the e-mail to HCF-10, please include the following addressee’s in the e-mail distribution:**
  - a. **Financial Manager in the receiving lead State’s FHWA Division office. \*\*Please refer to the list of financial staff contacts in the FHWA Division offices, in the Tools section of the TPF website, to obtain the name and e-mail address of this individual.**
  - b. **Lead Agency Contact (This information is available in the acceptance memo, as well as the project description on the TPF website).**
  - c. **PFPM ([FHWAPooledFund@dot.gov](mailto:FHWAPooledFund@dot.gov))**
3. The FHWA Headquarters Budget Office will document the receipt of the transfer request from the Division Office and track the status of the transfer request via an Excel

spreadsheet. The Excel spreadsheet is updated on a weekly basis (Monday) and available in the authorized user section of the TPF website ([www.pooledfund.org](http://www.pooledfund.org)), under “Tools.”

4. The FHWA Headquarters Budget Office will forward the transfer request to the Fiscal Management Information System (FMIS) team for further processing.
5. The FMIS Team will document each transfer request on a FMIS L18A report.
6. At the completion of the funding transfer process, the FHWA Budget office is to notify (via e-mail) its concurrence to the individuals identified in the original e-mail distribution.
7. The Lead Agency will control all funding and undertake the activities of the pooled fund project using the appropriate acquisition method (contracts, task orders, inter-agency agreements, etc.) within this process:
  - The Lead Agency is to obligate the funds that were transferred into FMIS.
  - The Lead Agency has the right to refuse to accept the funds by choosing not to accept the funding commitment.
8. 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).**

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

Requests to transfer Federal (e.g., SP&R) funding to an FHWA-led project must be submitted via a transfer request form FHWA 1576, along with a copy of the acceptance memo, to their local FHWA Division Office for processing. The details of this process are as follows:

1. The Financial Manager in the local FHWA Division Office or Headquarters office will a) ensure that committed funds are available for transfer; b) verify the existence of the lead agency’s acceptance memo; and c) sign the transfer form in the section “FHWA Division Administrator Concurrence.”
2. The Financial Manager will electronically transmit the approved transfer request and acceptance memo to the FHWA Headquarters Budget Office (HCF-10) for further processing. **Important Notice: When preparing the e-mail to HCF-10, please include the following addressees in the e-mail distribution:**
  - a. **Financial Manager in the Program Office that’s leading the project. \*\*Please refer to the acceptance memo to obtain the name of this individual.**

- b. **Lead Agency Contact (Please refer to the acceptance memo to obtain the name of this individual).**
  - c. **PFPM ([FHWAPooledFund@dot.gov](mailto:FHWAPooledFund@dot.gov))**
3. The FHWA Headquarters Budget Office will document the receipt of the transfer request and track the status via an Excel spreadsheet. **The Excel spreadsheet is updated on a weekly basis (Monday) and available in the authorized section of the TPF website ([www.pooledfund.org](http://www.pooledfund.org)), under “Tools.”**
  4. The FHWA Headquarters Budget Office will forward the transfer request to the Financial Management (FMIS) team for processing.
  5. The FMIS Team will execute the transfer requests in FMIS, and the funds will be transferred to the appropriate FHWA program office.
  6. Once the FMIS team has completed the transfer process, the Budget Office will issue an advice of funds for the pooled fund project. Funds will be transferred into an accounting string (example: 15X0100060). The allotment will be to the first three bytes of the BPAC (Budget Program Activity Code). For example, the BPAC for the Office of Infrastructure would be **050**TPF5046. The first three numbers of the BPAC (**050**) will indicate the program office responsible for the pooled fund project. The last four numbers (i.e., 5046) will designate the project number.
  7. At the conclusion of the funding transfer, the Budget office will e-mail a copy of the advice of funds to the individuals that were included in the initial e-mail to HCF-10.  
\*\*Please note step 2 of this process.
  8. The Financial/Program Financial Manager in the office of the FHWA-led pooled fund project is to formally request that the funds be placed into Delphi.
  9. The advice of funds will include all supporting documentation. This allows the Program Office/Project Manager of the FHWA-led project to track contributions, and manage the character of participant contributions. The character is the type of funds contributed, such as H560 = SAFETEA-LU Extension Funds.
  10. After the funds are transferred to the program office of the FHWA-led project, the Office of Acquisition Management will award the funds on a contract/agreement, task order, etc., and the funds will be obligated by FAA in Oklahoma City (FAA/OKC).
  11. The funds will be solely tracked and monitored in the Delphi accounting system. Similar to any other Federal contract, the project manager and/or COTR (whichever is

applicable) is responsible for monitoring the status of the funding of the project and its availability.

## **Monitoring and Tracking Funding Transfers**

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

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

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

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

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

It is important to remember that Federal funds have an expiration date. Meaning, at some point the funds and their availability for use will expire. Federal funds transferred to a lead agency will consist of contract authority, and an equivalent amount of obligation authority/limitation. Apportioned contract authority is available for 4 years (example: FY 2012 funds would lapse at the end of FY 2016). An obligation limitation is only available for 1 year. At the project closeout the lead agency would return any unused contract authority and an equivalent amount of current year limitation. For further information please refer to the FHWA publication “*Financing Federal-Aid Highways*” (FHWA-PL-07-017): <http://www.fhwa.dot.gov/reports/financingfederalaid/>. Non-Federal funds contributed to FHWA-led projects do not have an obligation limitation. \*\*\****When participating entities transfer funds, the obligation authority and obligation limitation are also transferred to the lead agency.***



## Chapter 11 - PAY.gov

PAY.gov is a system provided by the U.S. Department of Treasury, to make secure electronic payments to Federal government agencies. As of November 2008, this system replaced the use of the FHWA lockbox. Within the TPF Program, State DOT's and private organizations that are interested in contributing non-federal funds to an FHWA-led project may do so at the PAY.gov website using either credit card or ACH debit transfer. PAY.gov imposes transaction limits of \$49,999.99 per credit card payment and \$99,999,999.99 for ACH debit transfer allowing the contributing organization payment flexibility to meet their needs.

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

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

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

1. Go the homepage, [www.PAY.gov](http://www.PAY.gov)
2. See the section "Find Public Forms" on the left side of the screen.

**In quotes** type the words "**FHWA Pooled Funds**" or **is now to be called** Department of Transportation Federal Highway Administration (FHWA), Federal Highway Research Project Contribution Payment Form

3. In the blank box and press enter.

Click on the listing "Federal Highway Pooled Funds." Department of Transportation

Federal Highway Administration (FHWA), Federal Highway Research Project Contribution Payment Form

4. Fill out the form, "Federal Highway Pooled Fund Request Payment" t Department of Transportation, Federal Highway Administration (FHWA), Federal Highway Research Project Contribution Payment Form
5. To complete the electronic transfer.

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

<b>Field Name:</b>	Field Description
<b>Contact Name:</b>	Name of the organization
<b>Contact Phone Number:</b>	Please include the name and telephone number of the person that should be notified if questions arise regarding the contribution.
<b>Project #:</b>	Official project number (i.e., TPF-5(XXX), SPR-3(XXX))
<b>State:</b>	Contributing State DOT or organization, Select "FHWA Pooled Funds" from Drop Down Menu
<b>Official Project Name:</b>	Official study title
<b>Contribution Amount:</b>	Amount of funds being sent via PAY.gov
<b>FY of Funds:</b>	This field is primarily used by a Federal agency. If contribution is being made by a State or private organization, please type in the box " <b>Not Applicable</b> "
<b>Program Code or N/A:</b>	This field is primarily used by a Federal agency. If contribution is being made by a State or private organization, please type in the box " <b>Not Applicable</b> "
<b>Transfer to:</b>	Routing code of FHWA office where funds will be applied. <i>Note: This information can be obtained via the pooled fund project acceptance memo</i>

## **Chapter 12 – Project Management**

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

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

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

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

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

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

### **Project Monitoring and Reporting**

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

#### **Quarterly Reports**

On a calendar quarter basis, the lead agency will provide project status and progress reports. These quarterly reports are integral to successful communication with project partners about progress within the project and to communicate with the transportation community at large about research in progress. The progress reports will include project and funding status information and any preliminary findings. The lead agency should also include a review of tasks completed in the previous quarter and a plan of tasks to be completed in the upcoming quarter. All progress report information, including reports on projects managed by FHWA, are due within 30 days of the end

of the reporting period (per 23 CFR 420.117(c) ). A copy of the quarterly report is to be uploaded to the project description on the TPF website. Quarterly reports that are posted on the TPF website may be password protected if the information is of a confidential nature.

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

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

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

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

### State-led Projects

1. If the quarterly report is not posted **within 2-weeks** of its due date. The R&T Contact will be asked to provide assistance with obtaining the report for posting to the TPF website.
2. If the quarterly report is not posted **within 30 days** of its due date, the FHWA Division Administrator for the lead agency will be notified of the State’s failure to submit the quarterly report on time. The FHWA Division Administrator will be asked to provide assistance with obtaining the report for posting to the TPF website.
3. If the quarterly report is not posted **within 60 days** of its due date, a pending cancellation notice will be issued to the lead State. This notice will indicate that the project will be cancelled from participation in the Transportation Pooled Fund Program 30-days from the date of the notification, if the quarterly report is not posted to the TPF website.
4. If the quarterly report is not posted **within 90 days of its due date and 30 days** from the date the pending cancellation notice was issued, the project will be officially cancelled from participation in the Transportation Pooled Fund Program. The PFPM will issue a cancellation notice, which will include instructions to the lead agency to return any remaining funds in the project, to its partners via the transfer form FHWA-1575.

## FHWA-led Projects

1. If the quarterly report is not posted on the TPF website **within 2-weeks** of its due date. The Team Leader or Office Director will be asked to provide assistance with ensuring the quarterly report is received and posted to the TPF website.
2. If the quarterly report is not posted on the TPF website **within 30 days** of its due date, the Project Manager's Office Director or Associate Administrator (whichever is appropriate) will be notified of the Project Manager's failure to submit the quarterly report on time. The Office Director or Associate Administrator will be asked to provide assistance with obtaining the report from the Project Manager for posting to the TPF website.
3. If the quarterly report is not posted on the TPF website **within 60 days** of its due date, a pending cancellation notice will be issued to the Manager of the FHWA-lead project. This notice will indicate that the project will be cancelled from participation in the Transportation Pooled Fund Program 30-days from the date of the notification, if the quarterly report is not posted to the TPF website.
4. If the quarterly report is not posted on the TPF website **within 90 days of its due date and 30 days** from the date the pending cancellation notice was issued, the project will be officially cancelled from participation in the Transportation Pooled Fund Program. The PFPM will issue an official cancellation notice, which will include instructions to the Manager of the FHWA-led project and Financial Manager to return any remaining funds in the project, to its partners via the transfer forms FHWA-1575 or Authority to Obligate Memo (whichever is applicable).

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

### **Excel Funding Transfer Spreadsheet – Updated Weekly (Monday)**

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

## **FMIS Business Objects**

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

1. Log into FMIS
2. From the main menu (FHWA – FMIS 4.0), select “Reports”
3. From the “Report Options” menu, select “Business Objects Ad hoc Reports.”
4. A new screen will appear in your web browser, for “Business Objects Infoview.” Under the “Title” column, please select “Fund Control Transaction Reports.”
5. Click on the item “Pooled Fund Transfers by State”
6. You should now see complete the list of pooled fund transfers by State.

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

1. Click on “Refresh Data” located on the right side of the top tool bar. A new box will appear on your screen entitled “Prompts.”
2. Click on the words “Enter Pooled Fund study (ex: TPF5(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.

## **Fiscal Management Information System (FMIS) – Updated Biweekly**

A report detailing the financial tracking of an active State-led project from the FHWA’s Fiscal Management Information System (FMIS) is posted bi-weekly on the authorized user section of the TPF Program website, under “Tools” and “Current Reports”.

## **Financial Activity of FHWA-led Projects that are Managed at the Turner-Fairbank Highway Research Center (TFHRC) – Updated Weekly (Monday)**

A report in the format of an Excel spreadsheet that details the financial activity of active FHWA-led projects managed at the Turner-Fairbank Highway Research Center (TFHRC) will be available to the Project Manager as a resource on a weekly (Monday) basis. Projects are separated via tabs and located at the bottom of the spreadsheet.

**Please Note: The Project Manager is expected to maintain solid records (i.e., copies of invoices and contract numbers) of the financial activities that are associated with their project. The Project Manager should use the aforementioned report to obtain a “ballpark” figure as to the level of funding that is available.**

The report will be maintained on the shared directory: R:\Pooled Fund Financial Information and include the following information:

1. Pooled Fund Project Number
2. The Pooled Fund Project Title (as listed on the TPF website)
3. Project Manager Name
4. Office Code
5. Advice # (Budget Document) (*This information will include a link to the actual SF370 Advice Document*)
6. Funds transferred from FMIS (*contribution levels per State, per transfer*)
7. Total Funding (*includes current year with the remaining balance (i.e., carryover) included as lump sum. Please Note: This process will be repeated each fiscal year.*)
8. PR transactions/commitments applied against the applicable pooled fund balances

## **Guidelines for Project Completion**

An orderly and planned wrap up of the project is necessary to increase the implementation potential of the project findings, conclusions, or recommendations. The three key elements of successful completion are the delivery of useful and usable products, a final report with an easily understandable executive summary, and final payment to the investigator.

## **Deliverables Received**

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

## **Final Report and Summary**

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

## **Product Distribution**

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

## **Report and Summary Distribution**

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

## **Research Implementation**

The Transportation Pooled Fund Program is primarily an applied research, planning, and technology innovation funding and contracting mechanism. Definable and measurable



implementation is crucial to overall program viability. An implementation plan should be part of the pooled fund project. Follow-up implementation strategy should identify implementation at the end of the research, and, at the discretion of the TAC members, track near-term (1 year) and long-term (3 to 5 years) effects of program investments.

## Chapter 13 - Technical Advisory Committee (TAC)

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

### Roles of the TAC

The roles of the committee may include:

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

### Vacancy in TAC Membership

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

### TAC Participation

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

### Examples of SPR Eligible Travel and Training

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

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

The head of the State's planning or research units or other similar management personnel who are not actually performing specific eligible SP&R work may not charge their salaries to SP&R 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 SP&R funds. Similarly, attendance at AASHTO committee meetings which would generally benefit multiple activities would be an indirect cost benefit, but employees who are working on an SP&R funded activity may charge the cost of attendance at such meetings **if attendance is necessary to perform the SP&R funded work.**

## **Use of SP&R Funds for Technology Transfer Related Travel**

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

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

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

## **Work Statement Development**

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

## **Investigator/Contractor Selection**

The lead agency will use the plan of work to initiate the investigator selection process. In

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

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

## Chapter 14 – Transfer of Funds between Projects

Requests to transfer a portion of funds to another project will be considered for approval on a case-by-case basis, and if the work within the gaining project is similar in scope.

The lead agency must complete the following actions for consideration:

1. Consult with the project's Technical Advisory Committee (TAC) members to ensure that they are all in agreement with transferring a portion of funds to the gaining project. ***Note: The TAC's decision to use a portion of funding is to be unanimous.***
  - a. The indication of an agreement may be in the form of individual e-mails from each TAC member, or a formal agreement that is signed by each TAC member.
  - b. The project manager should maintain this information on file for record keeping purposes.
2. Develop a formal request that includes a detailed explanation as to why this action would be beneficial, an in depth description of the project that will receive a portion of the pooled funds, as well as confirmation that the decision to transfer a portion of funds to another project was unanimous.
3. Submit the request to the PFPM via the R&T contact in their local FHWA Division office.
  - a. The R&T Contact is to review the request and indicate whether or not her/she endorses the action.
  - b. The R&T Contact is to submit the lead agency's request with their comments (if any) and endorsement to the PFPM for further consideration and approval.
  - c. **\*\*Managers of FHWA-led projects may submit their requests directly to the PFPM for consideration.**
4. The PFPM will consider each request on its own merit. If necessary, the FHWA Office of Chief Counsel and/or Office of International Programs may be consulted to consider the appropriateness of the request.
5. The PFPM will notify the lead agency of the final decision via e-mail. A courtesy copy of the message will be sent to the R&T contact and/or Financial Manager in their local FHWA Division or Program office.

6. If approved, the lead agency is to complete a transfer form FHWA 1575 or FHWA 1576 (whichever is applicable) to transfer funds into the gaining project. The same process as regular funding transfers should be followed.

## Chapter 15 – Transfer of Lead Agency Role

The process to transfer the lead agency role to another State DOT or FHWA office is as follows:

1. The outgoing lead agency must identify a State DOT or FHWA office that is willing to assume the lead agency role.
2. The outgoing lead agency is to complete a funding reconciliation to determine the amount remaining within the project.
3. The outgoing lead agency of a pooled fund project is to develop a letter or memo to the PFPM, via the R&T Contact in their local FHWA Division office, requesting the transfer of the lead agency role. The request must specify the reason for the transfer of lead agency role, identify which State DOT or FHWA office (including contact information) that has agreed to assume the lead role, and indicate the level of funding that is remaining in the pooled fund project and would be transferred.

***Note: Requests to transfer the lead agency role of an FHWA-led project to another FHWA office or State DOT, may be sent directly to the PFPM for consideration.***

4. The PFPM will consider the request and upon approval, update the lead agency status of the pooled fund project on the TPF website ([www.pooledfund.org](http://www.pooledfund.org)).
5. The PFPM will provide a response to the outgoing lead agency's request via memorandum. The memorandum will be sent to the outgoing lead agency, via the R&T Contact in their local FHWA Division office (if applicable), with a cc: to the appropriate FHWA Financial Manager.
  - a. A separate memorandum regarding the approval of the lead agency transfer request will be sent by e-mail to each of the project's partners via the R&T contact in their local FHWA Division office. A copy of this notification will also be provided to the Financial Managers in the local FHWA Division office of each participating State DOT.
6. The incoming lead agency is to develop a new acceptance memo for the project and ensure that it is posted with the project description on the TPF website.
7. Upon receipt of the notification from the PFPM that their request to transfer the lead agency role has been approved, the ongoing lead agency is to complete a transfer form (FHWA 1575 for State-to-State Transfers; or FHWA 1576 for State-to-FHWA Transfers) for each project partner, returning their remaining share of the funds that were contributed to the project.

8. Upon receipt of the funds, each participating State is to complete a new transfer form FHWA 1575, and submit it to their local FHWA Division for signature approval and further processing. This action will be emphasized in the approval memo from the PFPM in step 4.
9. The FHWA Division office is to review and sign the transfer form, then submit it to the FHWA Budget office (HCF-10) for further processing. The status of a funds transfer can be obtained via an Excel spreadsheet that is updated on a weekly (Monday) basis and posted on the TPF website in the authorized user section. For more information regarding the transfer process, please see [Chapter 10](#).
10. At the conclusion of processing the transfer request by the FHWA Budget Office, the funds will be made available to the incoming lead agency for use on the project. If the funding transfer spreadsheet indicates that the transfer is complete, Plea conduct a search in FMIS Business Objects for specific project information.



## **Chapter 16 – Submitting Invoices for Payment**

At the time of this manual's printing, all pooled fund projects were undergoing reconciliation to ensure the accuracy of the funding balance. Upon completion of the reconciliation process, contributing organization will be asked to deobligate their funds in FMIS and then transfer those same funds back to the lead agency of the project, via the appropriate transfer form (FHWA 1575 or 1576). This new transfer system will enable the lead agency to know exactly how much money has been obligated to the project and how much has been invoiced/paid. Additional information regarding the transfer process can be found in [Chapter 10](#). The following information includes the invoice process before and after each project is reconciled:

### **State-led Projects – Post Reconciliation**

#### **RASPS or Current Billing**

At the conclusion of the reconciliation and transfer process, invoices for State-led projects can be paid through RASPS or the current bill.

### **State-led Projects – Pre-Reconciliation**

#### **PR-20 Voucher**

If the State-led project and its funds have not yet been reconciled and transferred to the lead agency, the invoice process is as follows:

1. The lead State is to submit a pooled fund payment request via a form PR-20, "Voucher for Work Performed under Provisions of the Federal-Aid and Federal Highway Acts, As Amended" and any supporting documentation via their local FHWA Division Office for payment.
2. The FHWA Financial Manager (the Division) will receive the form PR-20 and supporting documentation and a single pooled fund payment request should be processed per the form PR-20.
3. The Division will verify the availability of funds in both the FMIS and Delphi (funds certification), assuring that an adequate UDO balance is available to cover the requested payment.

- a. This verification is performed for each project number and program code to be charged. In FMIS, funds certification is checked by running a M85A report **and** a M23A report.
  - b. In Delphi, funds certification is checked by running a PO Summary under the PO number (27XX {ORG code} [Project number] {Program code}). Additionally, the FHWA Financial Manager must sign the form PR-20 voucher.
4. The Division will scan the form PR-20, the State's invoice and "Payment Request/Funds Certification Form" attaching a PDF copy of all of these documents into an email request to FAA/OKC [**email address:** [9-AMC-AMZ-FHWA-RASPS/AMC/FAA@FAA.gov](mailto:9-AMC-AMZ-FHWA-RASPS/AMC/FAA@FAA.gov) ]. In the email, the Division will indicate that the form PR-20 is a pooled fund request for payment and that along with the Division Program Manager; the FHWA PFPM is an approving official for the PR-20. ***Please Note: The PFPM's signature on the form PR-20 is not meant to confirm the accuracy or approval of funds certification, but rather satisfactory program progress for the indicated period of work performed. The accuracy and approval of funds certification for State-led pooled fund projects is the responsibility of the Financial Manager in the FHWA Division office of the lead State DOT.***
  5. Assuming the submission is properly completed; the FAA/OKC will log the invoice and forward the request to the PFPM for signature.
  6. The PFPM will review the requested payment and if necessary, direct any questions about the supporting documentation, quarterly reports, etc., to the R&T Contact in the Division Office. The PFPM will sign the voucher (citing satisfactory program progress) and route the invoice via email back to the ESC technician that requested the approval for payment.
  7. Once approved, the invoice is entered by FAA/OKC in Delphi with the Lead State as the Supplier. Using the accounting strings on the Payment Request/Funds Certification Sheet (payment request sheet), the invoice is paid as an unmatched payment (meaning that instead of being matched to an obligation, the payment is directly charged to a line of accounting). The number of invoice distributions is determined by the number of States funding the payment. For Example: If 5 states' unexpended obligations are funding an invoice, then 5 distributions to the invoice would be entered using the lines of accounting on the payment request sheet.
  8. Expenditures are posted to the Delphi system against the PO's/accounting strings listed on the payment request sheet; ***expenditures in the FMIS are updated in the same manner that RASPS payments are handled.*** The process of moving (or matching) the

unmatched Delphi expenditures to the Delphi obligations involves entering a reclass invoice batch. The reclass invoice batch would be entered. ESC would enter 1 negative invoice for the amount of the invoice entered in step 7 above. This invoice would have the same number of distributions and use the same lines of accounting as the payment invoice. The only difference is that the distributions would be negative. An offset entry to this negative invoice would be made by creating positive invoices matched to the obligations, i.e. if the expenditures needed to be spread to 5 States, and then ESC would enter 5 positive invoices. These positive invoices must equal the amount of the negative invoice. Once processed (validated/swept) in Accounts Payable, both Delphi and FMIS would reflect the expenditures on the projects/obligations

### **FHWA-led Projects**

When invoices are received by the FHWA accounts payable office, they will contact the project manager to confirm that the expense is correct. The project manager must designate which accounting string listed on the contract should be applied to the current invoice. ***Note: Funds will be applied on a first in first out basis if no other direction is provided.***

The FHWA will then pay the invoice (which are matched to the original purchase order fund cite) and update the project expenditures in Delphi. ***Note: It is the responsibility of the Lead Agency to apply the expenditures pro-rata against all of the contributing States and track remaining balances in its own records.***

## Chapter 17 – Project Closeout Procedures (State-led)

### **Old Procedures**

*The following process should be followed by the lead agency if the funds within the pooled fund project were submitted under the old pooled fund procedures (i.e., obligated in FMIS).*

The lead agency will:

1. Log onto the TPF website and, a) post the project’s final report and b) change the status of the project to “objectives fulfilled.”
2. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
3. Compile the financial records related to the project that outline its expenditures. It is important that the lead agency is prepared to present this information to the FHWA Office of the CFO (OCFO) upon request.
4. Upon receipt of the final funding reconciliation spreadsheet from the OCFO, confirm that the information is correct.

An official closeout memo and funding spreadsheet will be issued by Debra Elston, Director; Office of Corporate Research, Technology and Innovation Management indicating that the project is officially closed, as well as the amount of funds (if any) that may be deobligated by each project partner. Both documents will be uploaded to the project description online.

The project officially now officially closed.

### **New Procedures**

*The following process should be followed by the lead agency if the funds within the pooled fund project were submitted under the new pooled fund transfer procedures (i.e., transferred to the lead agency via a transfer form FHWA-1575 or FHWA-1576).*

The lead agency will:

1. Log onto the TPF website and, a) post the project’s final report on the TPF website and, b) update its status on the TPF website as “objectives fulfilled.”

2. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
3. Complete a funding reconciliation of the project's financial records that outline the receipt of funds from each project partner, expenditures and unobligated balances. The results of the funding reconciliation are to be outlined in the format that is used by the FHWA Office of the CFO. An example of a final funding spreadsheet is available for review in the in the "Forms" section of the TPF website's toolbar. Additional information as to how to compute the data for the final funding spreadsheet is available in [Chapter 19](#).
4. Prepare a separate transfer form FHWA-1575 or FHWA-1576 to return any remaining funds listed in the UDO section of the final funding spreadsheet, to each project partner.
  - a. The forms are to be provided to your FHWA Financial Manager for signature approval.
  - b. The Financial Manager is to follow the steps outlined in [Chapter 10](#) of this manual to complete the funding transfer process.
5. Send notification to the PFPM, along with an electronic copy of the final funding spreadsheet, stating that that the work on the project is completed and it can be identified as "closed" on the TPF website. An e-mail is sufficient.
6. Upon receipt of the final funding spreadsheet, an official close out memo will be issued from Debra Elston, Director; Office of Corporate Research, Technology and Innovation Management. The memo will indicate that any remaining funds listed in the UDO column of the final funding spreadsheet will be returned to the project partner via the transfer process.
7. The project is now officially closed.

## Chapter 18 – Project Closeout Procedures (FHWA-led)

### Old Procedures

*If the funds within the pooled fund project were submitted under the old pooled fund procedures (i.e., obligated in FMIS), the lead agency is to:*

1. Ensure that the COTR works with the contracting officer to close all awards. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
2. Provide the PFPM with a copy of the certification that all awards have been closed.
3. Log onto the TPF website and, a) upload the project’s final report and b) change the status of the project to “objectives fulfilled” on the TPF website.
4. Compile the financial records related to the project that outline its expenditures. Be prepared to present this information to the FHWA Office of the CFO (OCFO) upon request.
5. Upon receipt of the final funding reconciliation spreadsheet from the OCFO, please work with the designated Financial Manager and confirm that the information is correct. Please provide a copy of the confirmation that the spreadsheet is correct to the PFPM.
6. An official closeout memo and funding spreadsheet will be issued by Debra Elston, Director; Office of Corporate Research, Technology and Innovation Management indicating that the project is officially closed, as well as the amount of funds (if any) that may be deobligated by each project partner. Both documents will be uploaded to the project description on the TPF website.
7. The project is now officially closed.

### New Procedures

*If the funds within the pooled fund project were submitted under the new pooled fund transfer procedures (i.e., transferred to the lead agency via a transfer form FHWA-1576), the lead agency is to:*

1. Ensure that the COTR works with the contracting officer to close all awards. Confirm that all project-related bills have been paid and no additional invoices will be submitted.
2. Provide the PFPM with a copy of the certification that all awards have been closed.

3. Log onto the TPF website and a) upload the project's final report and b) change the status of the project to "objectives fulfilled" on the TPF website.
4. Complete a funding reconciliation of the project's financial records that outlines the receipt of funds from each project partner, expenditures and unobligated balances. The results of the funding reconciliation are to be outlined in the format that is used by the FHWA Office of the CFO. An example of a final funding spreadsheet is available for review in the in the "Forms" section of the TPF website's toolbar. Additional information as to how to compute the data for the final funding spreadsheet is available below in [Chapter 19](#).
5. Prepare a separate transfer form FHWA-1575 or Authority to Obligate Memo (if applicable to FHWA Program offices) to return any remaining funds listed in the UDO section of the final funding spreadsheet, to each project partner.
  - a. The forms are to be provided to your FHWA Financial Manager for funds certification.
  - b. The Financial Manager is to follow the steps outlined in [Chapter 10](#) of this manual to complete the funding transfer process.
6. Send notification to the PFPM, along with an electronic copy of the final funding spreadsheet, stating that that the work on the project is completed and it can be identified as "closed" on the TPF website. An e-mail is sufficient.
7. Upon receipt of the final funding spreadsheet, an official close out memo will be issued from Debra Elston, Director; Office of Corporate Research, Technology and Innovation Management. The memo will indicate that any remaining funds listed in the UDO column of the final funding spreadsheet will be returned to the project partner via the transfer process.
8. The project is now officially closed.

## Chapter 19 - How to Compute Data for Final Funding Spreadsheet

The following information is provide as a resource prepare a projects final funding spreadsheet.

Obtain fiscal information with regard to funding expenditures, including:

1. Funding commitments posted on the TPF website.
2. Funding transfer forms:
  - a. Program code of funds submitted.
  - b. Amount transferred
3. PAY.gov contributions (if applicable).

### **Final Funding Spreadsheet Definitions**

- \$ Committed on Website: Funding that was posted on the TPF website as a funding commitment (pledge).
- Program Code: Source of Federal funding contributed to the TPF website.
- Funds Transferred: Amount of funding transferred to pooled fund project via the transfer form FHWA-1575 or FHWA-1576; or Authority to Obligate Memo (if applicable to FHWA-led projects).
- Invoiced Amount: The Amount of funding contribution that was used toward the work on the project.
- Total Expenditures per State: The total amount of the funding contribution that was expended on the project, per State.
- UDO: The remaining balance from the initial contribution.
- Actual Expenditure Distribution: The invoiced amount of the project, per State.
- Variance Over/Under %: The difference between the actual and estimated cost of the project.
- Actual Expense %: The percentage of funding expenditures, per State



## **Formula for Preparing Final Funding Spreadsheet Information**

- Contribution Percentage:  $\text{Funds Transferred} \div \text{Total Amount Transferred}$
- Invoiced Amount:  $\text{Total Invoiced Amount} \times \text{Contribution Percentage}$
- UDO:  $\text{Funds Transferred} - \text{Total Expenditures/State}$
- Actual Expenditure Distribution:  $\text{Invoiced Amount}$
- Variance Over/Under %:  $\text{Actual Expenditure Distribution} - \text{Total Expenditures/State}$
- Actual Expense %:  $\text{Actual Expenditure Distribution} \div \text{Total Amount of Actual Expense Distributions}$

Project No.: TPF-5(XXX)  
 Project Manager: John Doe

Final Funding Spreadsheet for TPF-5(XXX)

Project Partner	\$ Committed on	Program Code (e.g., L560)	Funds Transferred	Contribution Percentage	Invoiced Amount	Total Expenditures Per State	UDO	Actual Expenditure Distribution	Variance Over/Under %	Actual Expense %
					\$90,000.00					
CALIFORNIA	0.00	H560	25,000.00	22.80%	20,520.96	20,520.96	4,479.04	20,520.96	0.00	22.80%
KANSAS	0.00	L560	15,000.00	13.68%	12,312.58	12,312.58	2,687.42	12,312.58	0.00	13.68%
KANSAS	0.00	H560	19,822.00	18.08%	16,270.66	16,270.66	3,551.34	16,270.66	0.00	18.08%
KANSAS	0.00	L560	19,822.00	18.08%	16,270.66	16,270.66	3,551.34	16,270.66	0.00	18.08%
TEXAS	0.00	H560	10,000.00	9.12%	8,208.38	8,208.38	1,791.62	8,208.38	0.00	9.12%
WASHINGTON	0.00	H560	20,000.00	18.24%	16,416.77	16,416.77	3,583.23	16,416.77	0.00	18.24%
TOTAL	\$0.00		\$109,644.00	100.00%	\$90,000.00	\$90,000.00	\$19,644.00	\$90,000.00	\$0.00	100.00%

**Comments:**

\$109,644 was advised to FHWA's Office of Research, Development and Technology via the pooled fund transfer process. To support the work of TPF-5(XXX), \$90,000 of the transferred funding was obligated to the FHWA's Interagency Agreement (IAA) with the Cold Region Research & Engineering Lab (IAA #: DTFHXX-04-X-1234), leaving a remaining balance or \$19,644. The remaining balance in the UDO column will be returned to the designated project partner, via the pooled fund transfer process. The status of the funding transfer may be viewed via the TPF Program website ([www.pooledfund.org](http://www.pooledfund.org)), under the heading: "What's New"

Total Amount Transferred to FHWA: \$109,644.00  
 Received \$74,822.00 late in FY 07  
 Received \$34,822.00 in FY 08

## Appendix I: OCFO Memo and Instructions

Subject: **INFORMATION: Fund Transfers to Other Agencies  
and Among Title 23 Programs**

Date: July 19, 2007

From: A. Thomas Park  
Chief Financial Officer



Reply to  
Attn. of: HCFM-1

To: Associate Administrators  
Chief Counsel  
Directors of Field Services  
Federal Lands Highway Division Engineers  
Resource Center Director  
Division Administrators

The provisions contained in sections 1108, 1119(b), 1935 and 1936 of Public Law 109-59, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) expanded the transferability of funds to other agencies and among programs. This memorandum consolidates processes and procedures for the following types of transfers:

- (1) between the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA);
- (2) from a State to FHWA or to another State;
- (3) between programs;
- (4) to other Federal agencies; and
- (5) between designated projects.

To minimize the risk of Federal funds being designated as inactive, transfers should only be made when the funds are ready to be obligated by the receiving agency. As a general rule, obligation authority shall be transferred in the same manner and amount as the funds for projects that are transferred, in accordance with title 23 United States Code (U.S.C.) 104 (k)(4), as amended by section 1108 of SAFETEA-LU. An exception to this treatment occurs when a State chooses to pay the Federal share directly to another Federal agency and claim reimbursement from FHWA. (See "Transfers From a State to a Federal Agency Other Than FHWA or FTA" below.) An approved transfer of funds does not relieve the State's requirement to provide the non-Federal share for the costs of a project.

To facilitate the timely processing of all transfers, the State should use the attached FHWA transfer request form (Attachment 1) to identify appropriate information about fund type and amount, the entity receiving funds, necessary project detail, and other applicable certifications and requirements. Each

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section below outlines the specific requirements for different types of transfer requests. The Division Office should review, concur, and submit the scanned transfer request by e-mail to the Office of Budget to ensure timely processing, appropriate coordination among Headquarters program offices, and subsequent Division Office notification when all actions have been completed.

***(1) TRANSFERS BETWEEN FHWA AND FTA.***

As amended by section 1108 of SAFETEA-LU, 23 U.S.C. 104(k)(1) provides that title 23 funds made available for transit projects or for transportation planning may be transferred to FTA and administered under the provisions of chapter 53 of title 49, United States Code. Similarly, 23 U.S.C. 104(k)(2) provides that chapter 53, title 49 funds made available for highway projects or transportation planning may be transferred to and administered by FHWA. Comparable, but not identical, transfer provisions enacted with the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 are included in 49 U.S.C. 5334(h):

“(h) Transfer of Amounts and Non-Government Share.--(1) Amounts made available for a mass transportation project under title 23 shall be transferred to and administered by the Secretary of Transportation under this chapter. Amounts made available for a highway project under this chapter shall be transferred to and administered by the Secretary under title 23.”

The transfer between FHWA and FTA is optional under the provisions of 23 U.S.C. 104 but is required under 49 U.S.C. 5334(h). The later enacted legislative provisions in 23 U.S.C. 104 govern transfers of title 23 funds.

Attachment 2 identifies (a) title 23 funds with transit eligibility that may be transferred to FTA, (b) FHWA funds with no transit eligibility that may be transferred to other title 23 programs with such eligibility, and (c) title 49 funds that have highway eligibility. Any unobligated title 23 funds transferred to FTA that are later transferred back to the FHWA will be reviewed on a case-by-case basis to determine the remaining period of funding availability.

***(2) FROM A STATE TO FHWA OR FROM A STATE TO ANOTHER STATE.***

As amended by section 1108 of SAFETEA-LU, 23 U.S.C. 104(k)(3) provides that a State may transfer funds apportioned or allocated under title 23, to another State or to the FHWA, with their concurrence, to finance a project eligible for assistance with those funds. In addition to facilitating transfers of funds for pool-funded planning or research studies, this provision permits transfers between States and to FHWA for other purposes. Pool-funded transfers will continue to be coordinated with the Office of Financial Services.

Funds apportioned or allocated to a State for the Surface Transportation Program (STP) and attributed to an urbanized area of a State with a population of over 200,000 individuals under 23 U.S.C. 133(d)(3), may be transferred to FHWA only if the metropolitan planning organization designated for the area concurs, in writing, with the transfer request form.

For a transfer under 23 U.S.C. 104(k)(3), the State should submit a completed FHWA transfer request form to the FHWA Division Office for review and concurrence. If the project being undertaken meets the requirements of title 23, the request will be forwarded to the Office of Budget for coordination of action.

For transfers to either FHWA, or to another State, the Office of Budget will coordinate with the FMIS Team to reduce the unobligated balance(s) of the applicable program funds of the State requesting the transfer. The FMIS Team will withdraw an equivalent amount of obligation authority from that State in FMIS.

If the transfer is from a State to FHWA, the Division Office will follow the "lock box" process for transmittal of any State funds submitted to the FHWA for the payment of the non-Federal share. If the transfer is to another State, the Office of Budget will coordinate with the FMIS Team to withdraw the obligation authority from FMIS and allocate the funds and obligation authority to the other State. The affected Division Office(s) will be notified when the transaction is completed.

After completion of the project, the receiving FHWA Division or Headquarters program office will coordinate with the Office of Budget to facilitate the return of any remaining contract authority and obligation authority to the State that transferred the funds following final payment. Any funds that are released shall be credited back to the same category of funds from which the funds were transferred. The Office of Budget will coordinate the return of any obligation authority with the affected Division Office to mitigate the risk of lapsing of the obligation authority.

For non-traditional projects for which the State DOT does not have the expertise to administer, and is either unable or unwilling to remain accountable by making a sub-grant to a sub-recipient; and an appropriate Federal agency does not have the necessary contracting authority with which to directly undertake the project, the State DOT may request a transfer to FHWA under the authority of 23 U.S.C. 104(k)(3). If the Division Office chooses not to administer the project, it will work with an appropriate Federal agency to provide oversight of the grant funding and project and provide the grant assistance to an entity eligible for assistance under the law. The FHWA Division Office will negotiate with the grantor Federal agency to ensure that applicable Federal requirements are carried out, and memorialize the framework under which the project or activity will be carried out. Generally, a transfer allocation will be established with the Federal agency receiving the funds and overseeing the grant activity (please contact the Office of Budget for details to effect such an allocation). For those Federal agencies unable to accept transfer allocations, but willing to administer grant funds on behalf of FHWA, the FHWA will enter into an inter/intra-agency agreement under the provisions of the Economy Act (please contact the Office of Acquisition Management for details).

### ***(3) TRANSFERS BETWEEN TITLE 23 PROGRAMS.***

As amended by section 1401(a)(3)(B) of SAFETEA-LU, 23 U.S.C. 126, Uniform Transferability of Federal-aid Highway Funds, provides for the transfers between the following programs:

- National Highway System
- Congestion Mitigation and Air Quality Improvement
- Surface Transportation Program
- Interstate Maintenance
- Highway Safety Improvement Program
- Highway Bridge Program
- Recreational Trails

Additionally, 23 U.S.C. 104(g), outlines a State's options for transferring apportioned Highway Bridge Program or Rail-Highway Crossing funds. There are several provisions that permit transfers above 50 percent or that limit transfers to less than 50 percent. Attachment 2 includes transfer provisions for specific programs.

To request a transfer under either 23 U.S.C. 104(g) or 23 U.S.C. 126, the State should submit a completed FHWA transfer request form to the FHWA Division Office indicating the type and amount of funds to be transferred. The Division Office must determine if the requested transfer is within the allowable limits as described in attached provisions, indicate concurrence with the State's request, and submit the request to the Office of Budget for coordination of action. The FMIS Team will process transfers in FMIS.

**5**

If there are questions concerning these provisions, please contact Dale Gray at (202) 366-0978 or Dave Bruce at (202) 366-0368, or via e-mail at [dale.gray@dot.gov](mailto:dale.gray@dot.gov) or [david.bruce@dot.gov](mailto:david.bruce@dot.gov). For questions concerning specific transfer requests, please contact the Office of Budget.

**Attachments (2)**

### FHWA TRANSFER REQUEST

Type of Transfer Request: Between Programs - Fund to Fund

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/or obligation authority be transferred as shown.

SAMPLE FHWA 1575

Requesting Agency: <u>New York</u>	Transfer to State: <u>Washington</u>	Name: <u>Amy N. York</u> Title: <u>Research Director, NYSDOT</u> Telephone: <u>(914) 236-5796</u> Email: <u>amy.york@state.ny.gov</u>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center;">Tracking Numbers</th> </tr> <tr> <td style="width: 50%; text-align: center;">State</td> <td style="width: 50%; text-align: center;">FHWA/OCFO</td> </tr> <tr> <td style="height: 20px;"> </td> <td style="height: 20px;"> </td> </tr> </table>	Tracking Numbers		State	FHWA/OCFO		
Tracking Numbers									
State	FHWA/OCFO								

Item #	Description of Fund - From	Fiscal Year	Program Code	Demo ID or Urban Area Code	Amount	From Item #	Description of Fund - To	Program Code	Demo ID or Urban Area Code	Amount	
1	Statewide Planning and Research Funds	2010	L560		\$60,000.00	1	Statewide Planning and Research	L560		\$60,000.00	
TOTAL FROM					\$60,000.00	TOTAL TRANSFER					\$60,000.00

Enter Item # (above) and Project Description, Urban Area or other additional information  
 Transfer funds for Pooled Fund Project TPF-5(XXX), "Title of Pooled Fund Project."  
 \*\*\*Include the full name and e-mail address of Individual(s) that should be notified upon completion of the funding transfer.

For State-to-State transfer of funds and limitation

Has the State entered into an agreement with the agency indicated above to receive, obligate, expend and manage these funds for specified project(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
---	---	--

STATE TRANSPORTATION DEPARTMENT

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.

Jane Doe \_\_\_\_\_ 7/18/2008 \_\_\_\_\_  
 Title of Approving Official Date of Approval

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 program funds.

Jane Doe \_\_\_\_\_ 7/23/2008 \_\_\_\_\_  
 Title of Approving Official Date of Approval

## FHWA TRANSFER REQUEST

Type of Transfer Request: Funds to a DOT Agency or Federal Department

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.

SAMPLE FHWA 1576

Requesting Agency: Virginia Department of Transportation

Transfer Request Contact: Name George Mason  
 Title Research Director, VDOT  
 Telephone (804) 653-2517  
 Email george.mason@state.virginia.gov

Tracking Numbers	
State	FHWA

Item #	Description of Fund - From	Fiscal Year	Program Code	Demo ID or Urban Area Code	Amount
1	Statewide Planning and Research	2009	L560		\$54,625.20
2	Statewide Planning and Research	2010	H560		\$45,374.80
3					
4					
5					
6					
7					
8					
9					
10					
<b>TOTAL FROM</b>					<b>\$100,000.00</b>

From Item #	Description of Entity - To	Amount
1	SP&R-HRDI-10	\$54,625.20
2	SP&R-HRDI-10	\$45,374.80
<b>TOTAL TRANSFER</b>		<b>\$100,000.00</b>

Enter item # (above), Project Description, Urban Area or other additional information  
 Transfer funds for Pooled Fund Project TPF-5(XXX), "Title of Pooled Fund Project."  
 Financial Manager in FHWA Program Office: Chris Shehade, 202-493-3179  
 BPAC #: "This number will be provided by Financial Manager, and is available on the acceptance memo."

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  No

OCFO Comments

STATE DEPARTMENT OF TRANSPORTATION

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

FHWA DIVISION ADMINISTRATOR CONCURRENCE

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

Jane Doe 4/1/2010  
Research Director, VDOT Date of Approval  
Title of Approving Official

Jane Doe 4/1/2010  
Division Administrator Date of Approval  
Title of Approving Official



## INSTRUCTIONS FOR FHWA TRANSFER REQUEST

The worksheet is designed to reduce paperwork by allowing multiple transfer requests to be submitted simultaneously. Signatures on the transfer request by authorized officials of both the State transportation department and FHWA Division Office indicating approval of the movement of contract authority and/or obligation authority eliminates the need for separate letters to be submitted to headquarters.

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### Completion of General Information Section

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#### Type of Transfer Request:

Determine the type of transfer request. Choose either worksheet "FHWA to FLH or Other Agency" (FHWA-1576) or "Within State or to Other State" (FHWA-1575).

On worksheet *Within State or to Other State*, select type of transfer from the drop down menu:

- Between Programs – Fund to Fund
- Between Projects – Demo to Demo Project
- Between Projects – Special Limitation
- State to State – Non-Pooled Funded (including Demos)
- State to State – Pooled Fund Project

No selection is required on *Funds to a DOT Agency or Federal Department* worksheet.

#### Requesting Agency:

Enter the State name.

#### Transfer to State:

Enter the name of the State which should receive the transfer only if Type of Transfer is:

- State to State - Non-Pooled Fund (including Demos) or
- State to State - Pooled Fund.

#### Transfer Request Contact:

Each field is REQUIRED. Enter name (first and last), position title, telephone number (including area code) and e-mail address of the person who should be contacted concerning the transfer request.

#### Tracking Numbers:

Enter the State tracking number, if applicable. The FHWA/OCFO field is for use by the OCFO. Do not enter data in this field.

---

### Completion of "Transfer From" Details

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#### Item # and Description of Fund - From:

Enter the program fund(s) to be transferred. Refer to FMIS report T51A for name of program fund. The report is accessible from Reports – Pre-Published Monthly.

An asterisk (\*) beside a program description indicates that more information is required. Complete the additional information field (limited to 1150 characters) and attach supplementary sheets if more room is needed for explanatory notes.

\* For Bridge Program, indicate the percentage indicator of the fund. For example, 85% On System.

\* For High Priority Projects, enter the description of the project as itemized in the public law.

\* For SP&R program funds transferred to another State for administration of a pooled fund project, enter the title of the pooled fund project. (Note that other funds such as NHS, STP, EB can also be transferred for a pooled funded project.)

\* For STP program funds, indicate the suballocation. For example, Optional Safety. If the funds are apportioned for obligation in a designated urban area, enter the name of the urban area.

\* For Transportation Improvement Projects, enter the description of the project as itemized in the public law.

----- For each Item #, complete the four items on the row as applicable. -----

**Fiscal Year**

Enter the fiscal year of the fund. Requests may be delayed or rejected if submitted without the fiscal year of the fund to be transferred.

**Program Code**

Enter the four-character FMIS program code of the program fund to be transferred. Fund codes established for obligation through Delphi cannot be transferred through these means.

**Demo ID or Urban Area Code**

Demo ID or Urban Area Code is required for certain fund transfers. Enter the 5-character Demo ID or the 3-digit urban area code.

**Amount**

Enter the dollar amount of funds to be transferred.

An equal amount of limitation, where applicable, will be transferred. For transfer of limitation only of demonstration projects, the Type of Transfer Request selected must be "Between Projects – Special Limitation". Use the Transfer of Funds Worksheet to determine the percentage of total apportionment and determine eligibility for transfer.

**Total From:**

This field is automatically calculated. It is the total amount of funds to be transferred.

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Completion of "Transfer To" Details

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**From Item # and Description of Fund or Entity - To:**

Enter the Item # from left-hand (From) side. The "From" Item # can be used more than once if funds from one fund are to be transferred to more than one fund or entity on the right-hand ("To") side.

An asterisk (\*) beside a fund description indicates that more information is required. Complete the additional information field and attach supplementary sheets if more room is needed for explanatory notes.

\* For Bridge Program, indicate the percentage indicator of the fund. For example, 85% On System.

\* For High Priority Projects, enter the description of the project as itemized in the public law.

\* For SP&R program funds transferred to another State for administration of a pooled fund project, enter the title of the pooled fund project. (Note that other funds such as NHS, STP, EB can also be transferred for a pooled funded project.)

\* For STP program funds, indicate the suballocation. For example, Optional Safety. If the funds are apportioned for obligation in a designated urban area, enter the name of the urban area.

\* For Transportation Improvement Projects, enter the description of the project as itemized in the public law.

When transferring funds to FHWA - Federal Lands Highway, a Department of Transportation agency or another federal department, the name of the entity must be provided under Description of Entity – To on FHWA-1576. Do not enter a project name or other information here. Use the Comments section for explanatory notes.

When transferring funds to a FHWA Headquarters Program Office for administration of a pooled fund project, the complete name of the Program Office must be entered in the Description of Entity – To field. The following information must be provided in the additional comments section:

- the three-digit Budget, Program, Accounting Code (BPAC) that identifies the Program Office;
- the pooled fund study number (ex: TPF-5(013)); and
- the title of the study.

**Program Code**

Enter the four-character FMIS program code of the program fund to receive transferred funds. Fund codes established for obligation through Delphi cannot be transferred through these means.

**Demo ID or Urban Area Code**

Demo ID or Urban Area Code is required for certain fund transfers. Enter the 5-character Demo ID or the 3-digit urban area code.

**Amount**

Enter the dollar amount of funds to be received by the program.

**Total Transfer:**

This field is automatically calculated from entries in the Amount column.

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**Approvals and Submission**

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The transfer request must be signed by authorized representatives of both the State transportation department and the FHWA Division Office. Signatures, titles of approving officials and dates of approval are REQUIRED.

Completed transfer requests should be sent electronically to the OCFO - Office of Budget (e-mail HCF-10).

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**Authority to Collect Information**

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This collection of information is required to obtain benefits and will be used to process fund transfers to other agencies and among Title 23 programs. Sections 1108, 1119(b), 1935, and 1936 of Public Law 109-59, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) expanded the transferability of funds to other agencies and among programs. This information collection will ensure the States requests are accurately executed and the requests are allowable by law. Public reporting burden is estimated to average one half hour per response, including the time for reviewing instructions searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Please note that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this collection is 2125-XXXX (OMB will provide the #). *Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Highway Administration, 1200 New Jersey Ave., SE, Washington, DC 20590. Expiration date: (OMB will provide the date#)*

## Appendix II: SP&R Waiver Memo (Approval) and SP&R Waiver Request



# Memorandum

6300 Georgetown Pike  
McLean, VA 22101

Subject: **INFORMATION:** Pooled Fund Solicitation  
#1318 "Design and Analysis Procedures for  
Asphalt Mixtures Containing High-RAP  
Contents and /or RAS"

Date: DEC - 9 2011

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

In Reply Refer To:  
HRTM-10

To: Charles W. Bolinger  
Division Administrator (HDA-LA)  
Baton Rouge, LA

This is in response to the October 19 e-mail from Jamie Setze of your staff, requesting the waiver of the non-Federal funding match for State Planning and Research (SP&R) funds for pooled fund solicitation 1318, "Design and Analysis Procedure for Asphalt Mixtures Containing High-RAP Contents and/or RAS." We understand that the Louisiana Department of Transportation will be the lead agency for this project.

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

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

Jack Youtcheff, Team Leader, Pavement and Materials Team, Office of Infrastructure R&D, will be the Federal Highway Administration Technical Liaison for this study. Dr. Youtcheff, can be reached via phone at (202) 493-3090 or e-mail: [Jack.Youtcheff@dot.gov](mailto:Jack.Youtcheff@dot.gov). We hope that Dr. Youtcheff will have the opportunity to participate in the study activities as a technical resource to the project.

You may contact Ms. Lisa Williams, Office of Corporate Research, Technology, and Innovation Management at 202-493-3375, if you have any questions or need further assistance.



*Research, Technology Transfer, Education & Training*



September 7, 2011

Ms. Debra S. Elston  
Director, Office of Corporate Research,  
Technology and Innovation Management  
Turner-Fairbank Highway Research Center  
6300 Georgetown Pike  
McLean, Virginia 22101-2296

SUBJ: Request for State Planning & Research Waiver of Match for the Support of Proposed Pooled Fund Study: Design and Analysis Procedures for Asphalt Mixtures Containing High-RAP Contents and/or RAS

Through: Mr. Jamie Setze, FHWA-LA

Dear Ms. Elston: *DEB*

The RAC Region II has developed the prospectus for the subject pooled fund study through the Southeast Transportation Consortium. With the increasing cost of asphalt, coupled with the scarcity of quality aggregates and the pressing need to preserve the environment, highway agencies and owners are continually searching for methods to decrease material costs and maximize their benefits with no compromise in performance. The use of high RAP contents in asphalt mixtures has the potential of reducing material costs without sacrificing performance, while also maintaining environmental sustainability.

The objective of the proposed study is to 1) establish mechanistic test criteria for asphalt mixtures (warm and hot) containing high-RAP content and/or reclaimed asphalt shingles (RAS); and 2) propose asphalt mixture specifications that incorporate the mechanistic test criteria based on the results of the study.

To date, we have about ten states from both within and outside the Southeast Transportation Consortium who have expressed interest in this study. So that the states may use 100 percent State Planning and Research (SPR) funds for the conduct of this study, we are requesting you to approve a waiver of the requirement that states provide matching state funds.

A copy of the prospectus is attached. If you have any questions or need additional information, please contact me.

Sincerely

Harold R. Paul, P.E.  
Director

cc: RAC Region II members  
Mr. Mark Morvant  
Dr. Louay Mohammad  
Ms. Lisa Williams, FHWA HQ

4101 Gourrier Avenue • Baton Rouge, Louisiana 70808 • (225) 767-9131 phone • (225) 767-9108 fax  
Sponsored jointly by the Louisiana Department of Transportation and Development and Louisiana State University

**VI. COST** - \$28,000/year for each participating state

**VII. DURATION** – 36 months

**Scope of the Study**

It is anticipated that two field projects from each participating state will be included. Each project will consist of a conventional mixture and a mixture containing high RAP content and/or RAS. Thus, a total of four mixtures will be evaluated.

Each participating state is expected to provide the followings:

- JMF (mixture design information);
- Sufficient loose mixture (conventional mix, RAP mix, RAP and/or RAS sources) for physical and mechanical tests;
- Field cores

LTRC or NCAT laboratory will perform the following:

Testing and Analysis (4 mixtures described above)

Extractions and PG Grading, 4 mixes and 2 RAP stockpiles (w/ GPC)  
Recovered Aggregate Properties  
Semi-circular bend test, SCB  
Overlay tester test, OT  
Energy Ratio Test  
Beam Fatigue Test  
Pseudo visco-elastic continuum damage, SVECD

Data Analysis and preparation of Final Report

Total per state cost of project: \$84,000k (\$28,000 each year for 3 years)

**Contacts:**

**Dr. Louay Mohammad, LTRC;**  
Randy West, NCAT  
Chris Abadie, LADOTD

## Appendix III: Sample Acceptance Memo's (FHWA & State)



# Memorandum

6300 Georgetown Pike  
McLean, VA 22101-2296

Subject: **INFORMATION:** Lead Agency for Pooled Fund Study **TPF-5(216), "Steel Suspension Bridge Vulnerability and Countermeasures"**

Date:

From: **Jorge Pagan**  
**Director, Office of Infrastructure R&D (HRDI-1)**

Reply to **HRDI-07**  
Attn. of: **E. Munley, x33046**

To: Lisa A. Williams  
TPF Program Manager (HRTM-10)

The Federal Highway Administration (FHWA) is the lead Agency for the Transportation Pooled Fund Study **TPF-5(216), "Steel Suspension Bridge Vulnerability and Countermeasures."** The FHWA accepts the role of lead Agency and agrees to receive, obligate, expend, and manage contributions from participating agencies.

Participating States are asked to submit their funding transfer request (Form FHWA-1576), along with a copy of this memo, to their respective FHWA Division Office for concurrence. The Form FHWA 1576 is available on the homepage of the TPF website ([www.pooledfund.org](http://www.pooledfund.org)). Additionally, participating States should ask that funds be directed to the FHWA office code: **HRDI-07**. The Financial Manager of this pooled fund study is: **Chris Shehade and the BPAC # is 040**.

Nonfederal contributions to **TPF-5(216)** can be made via Pay.gov, which is a system provided by the U.S. Department of Treasury, to make secure electronic payments to Federal Government Agencies. To contribute non-Federal funds to an FHWA-led study, the contributing organization or State DOT may do so by following the following steps:

1. Go the homepage, [www.Pay.gov](http://www.Pay.gov)
2. See the section "Find Public Forms" on the left side of the screen.
3. In the box entitled "Search Public Forms" type the words "**FHWA Pooled Funds**" and press enter.
4. Click on the listing "Federal Highway Pooled Funds."
5. Fill out the form to complete the electronic transfer.



For detailed information regarding the use of Pay.gov within the TPF Program, please review Chapter 11 of the TPF Program Procedures Manual (Updated: March 2012), which is currently available for download in the authorized user section of the TPF Program website: [www.pooledfund.org](http://www.pooledfund.org).

**Please contact Eric Munley, (202) 493-3046**, if you have any questions.





State of Utah

GARY R. HERBERT  
*Governor*

GREG BELL  
*Lieutenant Governor*

DEPARTMENT OF TRANSPORTATION

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

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

October 11, 2011

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

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

Dear Mr. Call:

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

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

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

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

Sincerely,

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

Cameron Kergaye  
Research Director

DH

## Appendix IV: Sample Quarterly Report Format

### TRANSPORTATION POOLED FUND PROGRAM QUARTERLY PROGRESS REPORT

Lead Agency (FHWA or State DOT): Alabama DOT

**INSTRUCTIONS:**

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

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

Project schedule status:

On schedule     
  On revised schedule     
  Ahead of schedule     
  Behind schedule

Overall Project Statistics:

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

Quarterly Project Statistics:

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

**Project Description:**

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

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

**Objectives:**

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

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

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

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

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

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

**SPECIFICATION DEVELOPMENT:**

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

**Anticipated work next quarter:**

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

**Significant Results:**

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

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

No problems have been encountered to date.

**Potential Implementation:**


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

# Appendix V: PR-20 Voucher and Pooled Fund Payment Request Sheet/Funds Certification Form

This collection of information is Mandatory and will be used to reimburse State Departments of Transportation for costs incurred on Federal-aid projects. Public reporting burden is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please note that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this collection is 2125-0507. The expiration date for this OMB number is Nov. 30, 2007. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Highway Administration, 1200 New Jersey Avenue SE, Washington, DC, 20590.

Office of Management and Budget  
Paperwork Reduction Project 2135-0507  
Washington, D.C. 20503

Federal Highway Administration  
Finance Division HCFM-30  
1200 New Jersey Avenue SE  
Washington, D.C. 20590

 <p><b>VOUCHER FOR WORK PERFORMED UNDER PROVISIONS OF THE FEDERAL AID AND FEDERAL HIGHWAY ACTS, AS AMENDED</b></p>		STATE VOUCHER NO.			
		FHWA VOUCHER NO.			
APPROPRIATION		FHWA SCHEDULE NO.			
THE UNITED STATES, DR., TO <i>(Insert official or depository named in project agreement)</i>		PAID BY			
ADDRESS					
STATE		VOUCHER TYPE <i>(Check Appropriate Block)</i>			
		<input type="checkbox"/> CURRENT BILLING			
VOUCHER PERIOD	FROM	<input type="checkbox"/> OTHER PROGRESS	FEDERAL AID PROJECT NO.		
	TO				
<small>(*) Use Form FHWA-1447 for Final Voucher for a project constructed under certification acceptance or secondary road procedures (23 U.S.C. 117).</small>					
TOTAL ACTUAL COST	TOTAL PARTICIPATING COST	PRO-RATA OF PARTICIPATING COST CLAIMED FROM U.S.	TOTAL AMOUNT CLAIMED FROM U.S.	LESS PREVIOUS PAYMENTS	NET AMOUNT CLAIMED
<small>I certify that the cost shown in this voucher have been incurred in accordance with terms of project agreements; applicable State and Federal laws or regulations; and that no claim has previously been submitted for costs claimed.</small>					
STATE HIGHWAY AGENCY			DATE	SIGNATURE OF AUTHORIZED OFFICIAL	
<i>I certify that supporting records for costs claimed, and the referenced project (if applicable), have been subjected to required reviews, approvals and inspections by the Federal Highway Administration and that the amount approve is justly due.</i>					
AMOUNT SUBMITTED		_____ SIGNATURE OF FHWA REPRESENTATIVE  _____ DATE APPROVED			
ADJUSTMENTS					
AMOUNT APPROVED					

FORM PR-20 (Rev. 8-07)

PREVIOUS EDITIONS ARE OBSOLETE

STATEMENT OF COSTS INCURRED UNDER PROJECT AGREEMENT						
ITEM NO.	ITEM	QUANTITY	UNIT	UNIT PRICE	AMOUNT	NOTATIONS <i>(Payee must not use this column)</i>
		AMOUNT CARRIED FORWARD.....				

## POOLED FUND PAYMENT REQUEST SHEET/Funds Certification Form

<b>Pooled Fund Project Number:</b>			<b>DELPH SUPPLIER NAME:</b>		
<b>LEAD STATE/PAYEE:</b>			<b>DELPH SUPPLIER NUMBER:</b>		
<b>PR-20 Date:</b>		<b>Lead Entity Invoice No.:</b>		<b>DELPHI SITE NAME:</b>	

STATE/APPN	FMIS Fund Balance	Delphi PO UDO Amount	Amount to Be Charged	Delphi PO	Accounting String to be Charged

Prepared by: \_\_\_\_\_  
Phone Number: \_\_\_\_\_



## Appendix VI: Glossary of Pooled Fund Terms

**100 percent SP&R funds** - The normal match for SP&R funds is 80 percent federal and 20 percent non-federal funding, but the FHWA has the authority to approve the use of 100 percent federal SP&R funding for pooled-fund studies if it is in the interest of the federal-aid highway program. A sponsoring organization that is a state transportation agency submits its request for approval of 100 percent SP&R funds through its affiliated FHWA division office. FHWA grants approval at the time it assigns the Project number, which may occur before or after the solicitation process.

**Advice of Funds** – Funds that are available for obligation.

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

**Archived** - The database record for a solicitation is archived when the Project status is changed to solicitation withdrawn. When a solicitation is archived (withdrawn), all commitments to the project are released.

**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 formally obligate funding to the pooled fund Project or provide funding in the form of a check or provide in-kind support. Project partners indicate their funding commitments for the life of the Project; many times, this consists of contributions for each year of the Project.

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

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

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

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

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

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

**Obligation** - The process of 1) formally assigning eligible federal funds to a Project or 2) providing funds via check to FHWA or to the sponsoring agency after the TPF number is assigned. Project partners that are federal, state, regional, or local agencies complete obligation forms (Federal-Aid Project Agreement, PR-2) to assign the federal funds.

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

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

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

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

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

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

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

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

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

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

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

**Work statement** - Developed under the direction of the technical advisory committee, the work statement serves as the basis for the agreement with the contractor and includes the following: statement of problem, description of work to be accomplished, researcher requirements, Project performance timeline, estimated budget, Project communications requirements, deliverables required, and implementation plan.

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

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

**BPAC** – Budget Program Activity Code

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

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

**FMIS** – Fiscal Management Information System

**PFPM** – Pooled Fund Program Manager

**PR-20** – Voucher for Work Performed Under Provisions of the Federal-Aid and Federal Highway Acts, As Amended

**RAC** – Research Advisory Committee

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

**RFP** – Request for Proposals

**SP&R** – State Planning and Research

**TAC** – Technical Advisory Committee

**TPF** – Transportation Pooled Fund

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

**UDO** – Undelivered Orders