



U.S. Department of Transportation

Notice of Funding Opportunity Number

*“Advanced Transportation and Congestion Management Technologies
Deployment Initiative”*

Issue Date: 04/18/2018

Application Due Date: 06/18/2018

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The FHWA is using www.Grants.gov for issuance of this Notice of Funding Opportunity (NOFO). Applicants must register at Grants.gov under NOFO Number to receive notifications of updates/amendments to this NOFO. It is the Applicant's responsibility to monitor the Grants.gov site for any updates/amendments to this NOFO.

Summary Information

Funding Opportunity Summary:	Up to \$60 million in Federal Funding to provide grants to eligible entities to develop model deployment sites for large scale installation and operation of advanced transportation technologies to improve safety, efficiency, system performance, and infrastructure return on investment.
Federal Agency Name:	U.S. Department of Transportation (DOT) Federal Highway Administration (FHWA) Office of Operations 1200 New Jersey Avenue, SE Mail Drop: E86-205 Washington DC 20590 Attn: David Harris
Funding Opportunity Title:	Advanced Transportation and Congestion Management Technologies Deployment (ATCMTD) Initiative
Announcement Type:	This is the initial announcement of this funding opportunity. This is not a follow-on notice.
Funding Opportunity Number:	693JJ318NF00010
Type of Award:	Cooperative Agreements or Allocations to State Departments of Transportations
Catalog of Federal Domestic Assistance (CFDA) Number:	20.200 Highway Research & Development
Application Due Date:	Submission Deadline: Applications Due by 06/18/2018 at 11:59 PM Eastern Time through www.Grants.gov
Questions:	Submit Questions to: ATCMTD@dot.gov

Funding Opportunity Informational Webinar

The U.S. Department of Transportation (DOT) will host an Informational Session regarding this Funding Opportunity focused on the Advanced Transportation and Congestion Management Technologies Deployment Initiative. This session will be conducted as a virtual forum and will focus on specific topics to help potential applicants gather additional information and ask specific questions.

Participation in this session is not mandatory in order to submit an application under this solicitation. However, we encourage potential applicants to take advantage of this opportunity to gather information regarding this specific funding opportunity.

INFORMATIONAL SESSION: ADVANCED TRANSPORTATION AND CONGESTION MANAGEMENT TECHNOLOGIES DEPLOYMENT INITIATIVE

SESSION: Virtual Webcast: Background and Application Information for the Advanced Transportation and Congestion Management Technologies Deployment Initiative

DATE: To Be Determined

TIME: 1:00 pm Eastern Time

INFORMATION AND REGISTRATION:

Note: The DOT will also consider conducting additional virtual and/or in person workshops regarding the Advanced Transportation and Congestion Management Technologies Deployment Initiative Funding Opportunity.

Substantive Changes from Fiscal Year 2017 NOFO

Note: Applicants are responsible for familiarizing themselves with the entire NOFO. This page is only guidance to identify significant changes and does not identify all changes.

Departmental objectives have been added on page 13.

Additional deliverables were added to the deliverable table on pages 13 – 15.

The description of available funding and the number of awards has been clarified on page 15.

The application content and form that begins on page 17 has been revised to split the application into two Volumes – a Technical Application and a Budget Application.

The information requested on pages 18 – 19 for the table on the application's cover page has been revised.

The content requirements of the Project Narrative on pages 19 - 22 have been revised.

Added additional elements of the project narrative (#13) on page 20.

Résumés of key personnel are required on page 21 under Section e), Appendix – Resumes for Key Personnel.

The page limit for the Project Narrative on page 22 has been increased to 30 pages, and clarity added related to paper sizes on page 21.

The content requirements of the Budget Application on pages 22 and 23 has been revised.

The Funding / Budget Information of Volume 2 on page 23 has been expanded.

More information has been added on pages 17 and 22 regarding the submission of applications and required forms on [Grants.gov](https://www.grants.gov), and a request for a detailed budget plan added under Volume 2 on pages 23 and 24.

Information regarding how to register and submit an application in Grants.gov has been added on pages 26-29.

Information regarding technical difficulties and the submission of late applications has been revised on page 29.

“Cost” has been added under the “Criteria for Selection of ATCMTD Awards” on page 31.

The rating categories for the applications have been added on page 32 under the “Review and Selection Process” section.

More information has been added to pages 32 – 34 to describe the two-phase process for selection, choosing an award method, and post-selection award discussions.

SECTION A – PROGRAM DESCRIPTION

Section 503(c)(4) of Title 23 of the United States Code (23 U.S.C. 503(c)(4)) directs the DOT to establish an advanced transportation and congestion management technologies deployment (ATCMTD) initiative to provide grants to eligible entities to develop model deployment sites for large scale installation and operation of advanced transportation technologies to improve safety, efficiency, system performance, and infrastructure return on investment. The DOT intends for these model technology deployments to help demonstrate how emerging transportation technologies, data, and their applications can be effectively deployed and integrated with existing systems to provide access to essential services and other destinations. This also includes efforts to increase connectivity to employment, education, services and other opportunities; support workforce development; or contribute to increased mobility, particularly for persons with visible and hidden disabilities and elderly individuals.

The DOT will make no fewer than 5 and no more than 10 awards of up to \$12 million individually.

1. STATEMENT OF PURPOSE

The DOT hereby requests applications to result in awards to eligible entities to develop model deployment sites for large scale installation and operation of advanced transportation technologies to improve safety, efficiency, system performance, and infrastructure return on investment. These model deployments are expected to provide benefits in the form of:

- reduced traffic-related fatalities and injuries;
- reduced traffic congestion and improved travel time reliability;
- reduced transportation-related emissions;
- optimized multimodal system performance;
- improved access to transportation alternatives, including for underserved populations;
- public access to real time integrated traffic, transit, and multimodal transportation information to make informed travel decisions;
- cost savings to transportation agencies, businesses, and the traveling public; or
- other benefits to transportation users and the general public.

This competitive advanced transportation and congestion management technologies deployment grant program will promote the use of innovative transportation solutions. The deployment of these technologies will provide Congress and DOT with valuable real-life data and feedback to inform future decision making.

2. LEGISLATIVE AUTHORITY

Specific statutory authority for conducting this effort is found in 23 U.S.C. §503(c)(4), which authorizes the Secretary of Transportation to “...establish an advanced transportation and congestion management technologies deployment initiative to provide grants to eligible entities to develop model deployment sites for large scale installation and operation of advanced transportation technologies to improve safety, efficiency, system performance, and infrastructure return on investment.”

Per 23 U.S.C. §503(c)(4)(I)(i), funding for this effort is available from amounts authorized under §6002(a)(1), §6002(a)(2), and §6002(a)(4) of Public Law 114-94, the Fixing America’s Surface Transportation (FAST) Act, codified at 23 U.S.C. § 503(b).

The authority to enter into a cooperative agreement for this effort is found under 23 U.S.C. §502 - Surface Transportation Research, Development, and Technology, paragraph (b)(3) which states:

“(3) **cooperation, grants, and contracts.** — The Secretary may carry out research, development, and technology transfer activities related to transportation—

- (A) independently;
- (B) in cooperation with other Federal departments, agencies, and instrumentalities and Federal laboratories; or
- (C) by making grants to, or entering into contracts and cooperative agreements with one or more of the following: the National Academy of Sciences, the American Association of State Highway and Transportation Officials, any Federal laboratory, Federal agency, State agency, authority, association, institution, for-profit or nonprofit corporation, organization, foreign country, or any other person.”

3. BACKGROUND

Projects funded under this initiative will deploy advanced transportation and congestion management technologies, which could include:

- i. **Advanced traveler information systems** – Systems that provide real time, predicted, and individualized information about travel choices, based on data from sensors (traffic, weather), mobile sources (personal portable devices, connected vehicles), and other information systems (public transportation, shared-use mobility, traffic incident management, construction, parking, congestion pricing/tolls or other costs) to allow travelers and shippers to make

- informed decisions regarding destinations, when to travel, routes, or modes. This information should be publicly accessible and not limited to users with smart phones.
- ii. **Advanced transportation management technologies** – Technologies that assist transportation system operators in managing and controlling the performance of their systems to provide optimal services or respond to dynamic conditions, including interjurisdictional and intermodal coordination; technologies may include traffic signal equipment, advanced data collection and processing (from sensors, connected vehicles and other mobile sources, other information systems), dynamic lane controls/configurations, and cooperative transportation management algorithms including pricing strategies across jurisdictions/agencies/facilities/modes.
 - iii. **Infrastructure maintenance, monitoring, and condition assessment** – Technologies and systems that monitor the behavior or assess the condition of transportation infrastructure to allow agencies to better manage their transportation assets through optimizing resource allocation, preventative maintenance processes, and responses to critical conditions.
 - iv. **Advanced public transportation systems** – Technologies that assist public transportation system operators or other shared mobility entities in managing and optimizing the provision of public transportation and mobility services; technologies may include remote fleet monitoring systems, coordinated communication systems, algorithms, and applications to enable better transit connections for users, advanced data collection and processing (from sensors, mobile/connected sources, other information systems) to provide dynamic responsive transit services, and communication and data systems that enable shared mobility services.
 - v. **Transportation system performance data collection, analysis, and dissemination systems** – Technologies and systems that actively monitor the performance of and interactions between transportation systems and permit agencies and other interested entities to conduct analyses and research, and explore innovative, value-added products and services.
 - vi. **Advanced safety systems, including vehicle-to-vehicle and vehicle-to-infrastructure communications, technologies associated with autonomous vehicles, and other collision avoidance technologies, including systems using cellular technology** – Deployment of technology-based safety systems such as described at Safer Car (<http://www.safercar.gov/>) or at the Intelligent Transportation Systems (ITS) Program (<http://www.its.dot.gov/landing/safety.htm>), or other applicable safety technologies.

- vii. **Integration of intelligent transportation systems with the Smart Grid and other energy distribution and charging systems** – Technologies that link information from ITS and other transportation systems with information from Smart Grid and other energy distribution and charging systems to provide users with better information related to opportunities for recharging electric vehicles, and to provide energy distribution agencies with better information related to potential transportation-user demand.
- viii. **Electronic pricing and payment systems** – Technologies that permit users to electronically conduct financial transactions for mobility services across jurisdictions and agencies, such as unified fare collection, payment, and tolling systems across transportation modes; or
- ix. **Advanced mobility and access technologies, such as dynamic ridesharing and information systems to support human services for elderly and disabled individuals** – Technologies and systems that leverage data and communications systems to allow public agencies and human service organizations to provide improved mobility services to at-risk users such as elderly, disabled, or other individuals that require transportation assistance.

4. VISION, GOALS, AND FOCUS AREAS

The DOT recognizes that each location has unique attributes, and each location's proposed deployment will be tailored to their vision and goals. Applications may be submitted for deploying any eligible technology. However, this section provides a framework for applicants to consider in the development of a proposed deployment by presenting the DOT's vision, goals, and focus areas.

The DOT's vision for the ATCMTD initiative is the deployment of advanced technologies and related strategies to address issues and challenges in safety, mobility, sustainability, economic vitality, and air quality that are confronted by transportation systems owners and operators. The advanced technologies are integrated into the routine functions of the location or jurisdiction, and play a critical role in helping agencies and the public address their challenges. Management systems within transportation and across other sectors (e.g., human services, energy, and logistics) share information and data to communicate between agencies and with the public. These management systems provide benefits by maximizing efficiencies based on the intelligent management of assets and the sharing of information using integrated technology solutions. The advanced technology solutions and the lessons learned from their deployment are used in other locations, scaled in scope and size, to increase successful deployments and provide widespread benefits to the public and agencies.

Goals for the advanced transportation and congestion management technologies deployment initiative include:

- Reduced costs and improved return on investments, including through the enhanced use of existing transportation capacity;
- Delivery of environmental benefits that alleviate congestion and streamline traffic flow;
- Measurement and improvement of the operational performance of the applicable transportation networks;
- Reduction in the number and severity of traffic crashes and an increase in driver, passenger, and pedestrian safety;
- Collection, dissemination, and use of real time transportation related information to improve mobility, reduce congestion, and provide for more efficient and accessible transportation, including access to safe, reliable, and affordable connections to employment, education, healthcare, freight facilities, and other services;
- Monitoring transportation assets to improve infrastructure management, reduce maintenance costs, prioritize investment decisions, and ensure a state of good repair;
- Delivery of economic benefits by reducing delays, improving system performance and throughput, and providing for the efficient and reliable movement of people, goods, and services;
- Accelerated deployment of vehicle-to-vehicle, vehicle-to-infrastructure, and automated vehicle applications, and autonomous vehicles and other advanced technologies;
- Integration of advanced technologies into transportation system management and operations;
- Demonstration, quantification, and evaluation of the impact of these advanced technologies, strategies, and applications towards improved safety, efficiency, and sustainable movement of people and goods; and
- Reproducibility of successful systems and services for technology and knowledge transfer to other locations facing similar challenges.

Although proposals are not limited to DOT priorities, the Department is particularly interested in deployment programs and projects in the following areas:

- ***Multimodal Integrated Corridor Management (ICM)***: ICM is the coordination of individual transportation network operations of adjacent facilities across all government or other operations agencies that creates a unified, interconnected, and multimodal system capable of sharing cross-network travel management to safely and efficiently improve the movement of people and goods. All corridor

transportation assets and information services (i.e., local, county, regional, State) are brought to bear when prevailing or predicted transportation conditions trigger alerts. Through an ICM approach, transportation agencies manage the corridor as a multimodal system and make operational and safety decisions for the benefit of the corridor as a whole. The DOT is interested in increasing deployment of ICM.

- ***Installation of connected vehicle technologies at intersections and pedestrian crossing locations:*** Deployment of connected vehicle wireless communications technologies at intersections to enhance motorized and non-motorized traveler safety, or actively improve the management, operation, and maintenance of traffic signal systems through real-time data collection and signal control. Example technologies include vehicle-to-infrastructure (V2I) and vehicle-to-pedestrian (V2P) deployments, such as at intersections or midblock pedestrian crossings, to support activities and initiatives of the V2I Deployment Coalition and non-motorized traveler applications, or technologies to support automated traffic signal performance measures. Such technologies should provide information, notifications, and alerts in accessible formats to help all users navigate safely through intersections including providing contextual information for situational awareness and localization. The DOT has been working to accelerate the implementation of technologies that advance these strategies.
- ***Unified fare collection and payment systems across transportation modes and jurisdictions:*** Technological advancements in payment systems allow convergence across both publicly-delivered and privately-delivered mobility services. However, field implementations have been achieved only sparingly and in small projects. Convergence will enhance consumer payment options and mode choices and forge partnerships among providers to achieve a seamless, accessible, and flexible transportation network across the Nation. DOT is engaged in efforts which will assist in identifying technical, institutional, and policy solutions to achieve unified transportation payment systems.
- ***Freight Community System:*** A Freight Community System (sometimes called Port Community System) is an electronic platform which connects the multiple systems operated by a variety of organizations that make up a freight transportation community, including seaports, airports, rail yards / inland ports and distribution centers. It is shared in the sense that it is set up, organized and used by firms in the same sector – in this case, a freight community – to provide a neutral and open electronic platform enabling an intelligent and secure exchange of information between public and private stakeholders in order to

improve the efficiency and competitive position of the ports' community(ies). It optimizes, manages and automates smooth port and logistics processes through a single submission of data by connecting transport and logistics chains. This focus area is important to the departmental goal of integrating freight infrastructure within the surface transportation system, particularly maritime ports, while at the same time providing a platform to reduce the impacts of national freight movement on local communities.

- ***Technologies to support connected communities:*** Deployment of technologies for a multimodal transportation system provides Americans with safe, reliable, and affordable connections to employment, education, healthcare, and other essential services. Examples include dynamic ridesharing through the latest communications technologies and social network structures to bring drivers and riders together quickly and efficiently, technologies to mitigate the negative impacts of freight movement on communities, or technologies that support workforce development, particularly for disadvantaged groups, which include persons with visible and hidden disabilities and elderly individuals. Any of these example technologies should consider the elements of universal design and inclusive information and communication technology solutions, and may include deployment of autonomous vehicles through geographically contained ridesharing pilot programs, including the benefits of the technology with groups that might otherwise have limited transportation options, such as older Americans who no longer drive or those with disabilities or no driver's license. The DOT is interested in using advanced technologies to improve the public's connections to employment, education, healthcare, and other essential services.
- ***Infrastructure Maintenance, Monitoring, and Condition Assessment:*** Timely, accurate and efficient assessment of infrastructure condition is critical to effective infrastructure asset management. Current state-of-the-practice technologies for condition assessment represent a good start, but have a variety of limitations. Opportunities for advancement include: implementation of friction management programs founded on highway-speed friction testing; highway speed deflection monitoring for pavement structural evaluation; sensor systems for infrastructure condition monitoring; use of unmanned aerial systems (UAS) for condition inspection; development of holistic and virtual data visualization technologies; and advancement of bridge load rating technologies. Implementation of these emerging technologies will enable improved highway safety and more timely intervention to address structural deficiencies and infrastructure deterioration with relatively low-cost solutions.

- **Rural technology deployments:** Deployment of advanced technologies to enhance safety, mobility, or economic vitality. Example technologies include improved access to transportation services, corridor freight platooning, mobile work zone alerts, improved roadway weather management, improved emergency response services and traffic incident management, curve warning systems, or animal intrusion detection and warning. The DOT is interested in geographically diverse application of technologies to include rural deployments.

After applying the above preferences, the FHWA Administrator will take into account the following key Departmental objectives:

- Supporting economic vitality at the national and regional level;
- Leveraging Federal funding to attract other, non-Federal sources of infrastructure investment, as well as accounting for the life-cycle costs of the project;
- Using innovative approaches to improve safety and expedite project delivery; and,
- Holding grant recipients accountable for their performance and achieving specific, measurable outcomes identified by grant applicants.

5. DELIVERABLES

The selected ATCMTD awardees shall provide a schedule for the project deliverables that includes at a minimum the following items.

Deliverable	Approximate Due Date	Section 508 Compliant?
Preliminary Kick-off Meeting – Conduct a preliminary kick-off meeting with DOT at mutually-agreed-upon location.	Within 6 weeks after announcement of project selection.	No
Draft Cooperative Agreement completed. The Cooperative Agreement shall include a Project Management Plan. The Project Management Plan, shall include, at a minimum: a) Statement of Work, with a description of Tasks and Sub-Tasks by which the project work activities will be organized, executed, and monitored. b) A Project Schedule (Gantt Chart or equivalent) displaying begin and end times for each Task and Sub-Task, plus achievement of Project Milestones.	Within 6 weeks after preliminary kick-off meeting.	No

c) A description of major Project Milestones, including key Reports, start of operations of important systems or subsystems, and other important deliverables or events. d) A Staffing Table, which identifies a single Project Manager, plus project staff and/or consultants that will lead and support each Task (or Sub-Task if appropriate). A Project Budget, displaying planned expenditures for each Task, with a further breakdown by Cost Element for each Task, and by the Federal share vs. non-Federal share.		
Cooperative Agreement fully executed.	Within 6 weeks after completion of draft agreement.	No
Kick-off Meeting – Conduct a kick-off meeting with DOT at mutually-agreed-upon location.	Within 4 weeks after execution of cooperative agreement.	No
Monthly Progress Reports – submit progress reports to document activities performed, anticipated activities, and any changes to schedule or anticipated issues.	Monthly	No
Systems Engineering Documents In accordance with 23 CFR 940.11, the Recipient shall submit electronic copies of the milestone Systems Engineering documents applicable to this project, for approval by FHWA. This shall include, at minimum: a) Systems Engineering Review Form (SERF) b) Concept of Operations (ConOps) c) Systems Engineering Management Plan (SEMP).	As applicable	No
Project Evaluation Plan. The Recipient shall submit to FHWA for approval an Evaluation Plan, which shall include, at a minimum: a) Statement of Project Objectives, b) List of Evaluation Criteria (e.g. quantitative performance metrics and/or qualitative assessments) tailored to the Project Objectives, c) Description of data-collection procedures tailored to these criteria, which could include, for example, before/after data, surveys, interviews, system-monitoring data, or other data needed to report on achievement of project objectives.	Within 90 days after the Effective Date	No

d) Outline of Evaluation Report (1-page, <u>draft</u> list of topics to be addressed)		
Report to the Secretary – submit a report describing the deployment and operational costs compared to the benefits and savings, and how the project has met the original expectations projected in the deployment plan.	Annually beginning one year after award.	Yes
<i>(additional deliverables to be identified in separate rows by the applicant)</i>		

Note: Section 508 requirements are included in NOFO Section F's General Terms and Conditions available online at: <http://www.fhwa.dot.gov/aaa/generaltermsconditions.cfm>.

SECTION B – FEDERAL AWARD INFORMATION

1. FUNDING AND NUMBER OF AWARDS

For each fiscal year from 2016 through 2020, a maximum of \$60 million is available for award. That amount is subject to statutory obligation limitations each fiscal year and subject to a set aside of up to \$2 million for DOT administrative expenses each fiscal year. The Department is currently operating under a Continuing Resolution and awards will be subject to future availability of funds through appropriations and obligation limitation. A single grant recipient may not receive more than \$12 million in one fiscal year. The DOT anticipates making not less than 5 and not more than 10 awards each fiscal year. This Notice of Funding Opportunity is the third of the annual solicitations for ATCMTD.

2. TYPE OF AWARD

The planned award type is a cost-reimbursable Cooperative Agreement or an allocation to a State.

3. PERIOD OF PERFORMANCE

The estimated period of performance is between 1 and 4 years.

4. DEGREE OF FEDERAL INVOLVEMENT

The DOT anticipates substantial Federal involvement with the ATCMTD recipients during the course of these projects. The anticipated Federal involvement will include technical assistance and guidance to the recipient.

SECTION C – ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

To be selected for an ATCMTD award, an applicant must be an eligible applicant. Eligible applicants are State or local governments, transit agencies, metropolitan planning organizations (MPO) representing a population of over 200,000, or other political subdivisions of a State or local government (such as publicly owned toll or port authorities), or a multijurisdictional group or consortia of research institutions or academic institutions. Partnership with the private sector or public agencies, including multimodal and multijurisdictional entities, research institutions, organizations representing transportation and technology leaders, or other transportation stakeholders, is encouraged.

Typically, a consortium is a meaningful arrangement with all members involved in planning the overall direction of the group's activities and participating in most aspects of the group; the consortium is a long-term relationship intended to last the full life of the grant. Any application submitted by a sole research or academic institution and that is not part of a consortium will not be considered for selection.

2. COST SHARING OR MATCHING

Cost sharing or matching is required, with the maximum Federal share being 50 percent; hence, this NOFO requires a minimum non-Federal cost share of 50 percent. Cost sharing or matching means the portion of project costs not paid by Federal funds. For a more complete definition, please see the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR Part 200, including section 200.306 on Cost Sharing or matching. Other Federal funds using their appropriate matching share may be leveraged for the deployment but cannot be considered as part of the ATCMTD matching funds, unless otherwise supported by statute.

3. OTHER INFORMATION

The ATCMTD recipients may use not more than 5 percent of the funds awarded each fiscal year to carry out planning and reporting requirements for the project.

The DOT encourages applicants to identify any project components that have independent utility and separately detail the costs and requested ATCMTD funding for each component in their applications. If the application identifies one or more independent project components, the application should clearly identify how each independent component addresses the selection criteria and produces benefits on its own, and describe how the full proposal, of which the independent component is a part, addresses the selection criteria.

SECTION D – APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

Applicants must submit their applications via [Grants.gov](https://www.Grants.gov) under the Notice of Funding Opportunity Number cited herein. Applications must be submitted through the Grants.gov Workspace. Please note: legacy PDF packages are no longer available.

The Applicant must complete and submit all forms included in the application package for this Notice as contained at www.Grants.gov.

2. CONTENT AND FORM OF APPLICATION SUBMISSION

Applicants shall submit an application consisting of the following application volumes and sections:

Table D.2 – Application Volumes

Volume	Section	Page Limitations
Volume I. Technical Application	I - Cover Page	One (1) file, 30-page limit
	II - Project Description	
	III – Management Structure	
	IV - Staffing Plan and Résumés	
	Appendix - Résumés	No page limit

Volume II. Budget Application	I - Application Standard Forms	One (1) file, no page limit
	II – Summary Budget Information	
	III – Cost Share Information	
	IV - Organizational Information	

Note: Applicants shall provide résumés in Volume 1 of the application. Resumes will not count against the page limit. Applicants shall provide letters of commitment in Volume 2.

For the submitted application package, the FHWA suggests that pictures, graphics, and other large files be reduced in number and quality to keep the size of the files of the application manageable and in line with the Grants.gov suggested maximum size of 200 megabytes for the entire grant application package.

The FHWA recommends that applicants use a file naming format of:

Applicant_organization-2017-ATCMTD-fileID (e.g., Vol-1, Vol-2) where

“Applicant_organization” reflects the applicant’s legal name, abbreviated as appropriate.

If an applicant organization is submitting multiple applications, project names or identifiers may be added to the workspace title in parentheses after the applicant organization. For example, a workspace in Grants.gov may be titled

“Applicant_organization(Project 1)-2017-ATCMTD.” If necessary, the Workspace title can be edited per the instructions on Grants.gov.

VOLUME 1 – TECHNICAL APPLICATION

a) Section I - Cover Page Including the Following Table:

Project Name	
Eligible Entity Applying to Receive Federal Funding	
Total Project Cost (from all sources)	\$
ATCMTD Request	\$
Are matching funds restricted to a specific project component? If so, which one?	Yes/No
State(s) in which the project is located	
Is the project currently programmed in the: Transportation Improvement Program (TIP)	Yes/No – <i>please specify in which plans the project is currently programmed</i>

• Statewide Transportation Improvement Program (STIP) • MPO Long Range Transportation Plan • State Long Range Transportation Plan	
Technologies Proposed to Be Deployed (briefly list)	

b) Section II - Project Narrative

The Project Narrative must include all the necessary information required for DOT to determine that the project satisfies the ATCMTD Program requirements described in Sections A, B, and C, and for DOT to evaluate the project in relation to the selection criteria specified in Section E.1. To the extent practicable, applicants should provide data and evidence of project merits in a form that is verifiable or publicly available. The DOT expects applications to be complete upon submission.

The DOT recommends that the project narrative, at a minimum, provide the following information: table of contents, detailed statement of work, detailed project schedules, staffing description, and any appropriate exhibits or attachments that will aid in the review and assessment of the application. All exhibits and attachments must clearly identify what technical area of the project description that the document supports. At a minimum, the Project Description should address the following content:

1. An introduction that provides a clear, concise description of the project and the proposed technology deployment(s).
2. A description of the geographic area or jurisdiction the deployment will service.
3. A description of the real-world issues and challenges to be addressed by the proposed technology deployments. Applicants should discuss how the proposed technology deployments address the goals of the initiative, and any applicable technology focus area.
4. A description of transportation systems and services to be included in the project.
5. A deployment plan that includes providing long-term operation and maintenance of advanced transportation and congestion management technologies to improve safety, efficiency, system performance, and return on investment.
6. A description of any challenges in the regulatory, legislative, or institutional environments or other obstacles to deployment.
7. Quantifiable system performance improvements, such as--

- a) reducing traffic-related crashes, congestion, and costs;
 - b) optimizing system efficiency; and
 - c) improving access to transportation services.
- 8. Quantifiable safety, mobility, and environmental benefit projections such as data-driven estimates of how the project will improve the region's transportation system efficiency and reduce traffic congestion.
- 9. Vision, goals, and objectives of the applicant for the technology deployment, including any future related deployments; the vision of the organization and goals, objectives, and activities to be pursued in addressing the identified issues and challenges.
- 10. A plan to leverage and optimize existing local and regional advanced transportation technology investments.
- 11. A schedule for conducting the technology deployment and for completion of all proposed activities.
- 12. Any support or leveraging of the ITS Program or innovative technology initiatives (DOT ITS initiatives are described on-line at <http://www.its.dot.gov>.)
- 13. A table (or other summary) clearly identifying which of the 9 technologies in Section A.3. and the 11 DOT goals, 7 focus areas and 4 DOT objectives in Section A.4. will be implemented and/or addressed by the proposal.

c) Section III – Management Structure

The Applicant shall provide a description of the proposed management structure that will oversee the implementation of the project and provide administration of the agreement. The Applicant shall include all of the following information to describe their proposed Management Structure:

- 1. A description of the Applicant's organization that will be designated as the recipient entering the agreement (i.e., receiving Federal funding) with FHWA including:
 - a) membership of any partnership or entity proposed to carry out the deployment;
 - b) a description of how the entity will manage the program including management of project funding.
- 2. A plan for partnering with the private sector or public agencies, including multimodal and multijurisdictional entities, research institutions, organizations representing transportation and technology leaders, or other transportation stakeholders.

3. Designation of all proposed sub-recipients, and their role in delivering the project. See 2 CFR § 200.330 for the definition and distinction between a sub-recipient and a sub-contractor.
4. A diagram or flow chart depicting the organizational structure of the project team. Organizations that are designated as sub-recipients or subcontractors should be clearly identified.
5. Applicants that are multijurisdictional groups or consortia of research or academic institutions do not necessarily have to be an existing organization or coalition but should show evidence that a cooperative agreement, memorandum of understanding (MOU), or other organizational mechanism can be executed in a reasonable timeframe after selection.

Note: A multijurisdictional group is any combination of State governments, local governments, metropolitan planning agencies, transit agencies, or other political subdivisions of a State for which each member of the group has signed a written agreement to implement the advanced transportation technologies deployment initiative across jurisdictional boundaries, and is an eligible entity under this paragraph.

d) Section IV - Staffing Description

Applicants shall provide a staffing description that includes the following information:

1. A description of the organization of staffing to manage and conduct the project, including identification of key personnel with résumés, organization, role, and responsibility.
2. A primary point of contact and provide complete contact information for this individual.

e) Appendix - Résumés for Key Personnel

Applicants shall provide the résumés for all designated Key Personnel. The applicant shall designate no more than five (5) Key Personnel.

e) Formatting

The DOT recommends that the project description be prepared with standard formatting preferences: a single-spaced document, using a standard 12-point font such as Times New Roman, with 1-inch margins on 8.5 by 11-inch paper.

(Applications may include appropriately-sized pages for conveying detailed information important for the technical review, such as maps.) All application pages shall be consecutively numbered.

f) Page Limitations

The project description shall not exceed 30 pages in length, excluding cover pages, the table of contents, and exhibits and attachments. Exhibits and attachments shall not exceed 30 pages in length, and shall be limited to documents that support the assertions or conclusions made in the 30-page project description.

The staffing description shall not exceed five pages in length. There is no overall page limitation for résumés of Key Personnel in the appendix; however, individual resumes shall not exceed four (4) pages in length, and shall only contain relevant experience pertinent to the subject matter of this NOFO.

VOLUME 2 – BUDGET APPLICATION

a) Section I - Application Standard Forms (SFs)

Volume 2 of the application must include the Standard Form 424 (Application for Federal Assistance), Standard Form 424A (Budget Information for Non-Construction Programs), Standard Form 424B (Assurances for Non-Construction Programs), and the Grants.gov Lobbying Form. Standard Forms (SF) are available online at <http://www.grants.gov/web/grants/forms/sf-424-family.html>.

On the SF-424, the information in block 8a (Applicant's "Legal Name") must be the same as entered for registration in www.SAM.gov and for the Applicant's DUNS number. The title for an applicant's workspace on www.Grants.gov is limited to 240 characters and may be different than the DUNS name.

For applications under this NOFO, the breakdown of the applicable sections of standard form 424A is:

- **Section A:** Since this is an initial application, only columns (a) through (d) and (g) need to be completed. The applicant should enter the proposed project as one program or function; however, as an option, the applicant may subdivide this entry into partial programs (e.g., a Phase I and Phase II).
- **Section B** is a summary of the entire project budget across all years.
- **Section C** is the source of the non-Federal matching share.
- **Section D** is the forecasted funding needs for year one (1).

- **Section E** is the forecasted funding needs for years two (2) and after (i.e., does not include the first year's funding).

b) Section II - Summary Budget Narrative

The Applicant shall provide a summary budget narrative that describes all of the planned project costs (i.e., direct labor, travel, equipment, supplies, contractual, construction, & other) and how these planned costs are connected to the project scope. The summary budget narrative must be sufficiently clear, concise, and detailed to describe how funds will be spent under the project. The applicant shall also provide a summary budget table that provides estimated costs across project components or tasks, and across all years of the project. The summary budget should represent the total cost of the project, inclusive of both the Federal share and the required matching non-Federal cost share. An example of a summary level budget table is provided below:

Table 2. Example of Summary Budget Figures

	Year 1 Costs	Year 2 Costs	Year 3 Costs
Description of Project Component or Task			
Description of Project Component or Task			
Description of Project Component or Task			
Description of Project Component or Task			
Total Federal Share =			
Total Non-Federal Share =			

c) Section III - Cost Share Information

The Applicant should show evidence that funding has been identified for the project that will cover the 50 percent non-Federal cost share requirement. The Applicant should include letters of commitment from organizations that will provide a portion of the cost share, and identify the source of those funds (e.g., general treasury funds, revolving loan fund, capital budget, in-kind labor, in-kind equipment, etc.).

Note: The maximum amount of funding requested from the ATCMTD Program cannot exceed \$12 million per year nor exceed 50 percent of the total cost of the activities proposed to be funded. The maximum amount that will be awarded will

depend on the number of awards, the reduction in ATCMTD funds due to the imposition of the Federal-aid Highways obligation limitation, and the amount reserved for DOT administrative expenses. Selection of an application to receive grant funding in one fiscal year is not a commitment of any future funding. Applications will be solicited annually for competitively selecting grant recipients for that funding year.

d) Section IV - Organizational Information

In addition to the forms and budget information noted above, provide the following organizational information in a pdf format:

- a. Identify any exceptions to the anticipated award terms and conditions as contained in Section F, Federal Award Administration Information. Identify any preexisting intellectual property that you anticipate using during award performance, and your position on its data rights during and after the award period of performance.
- b. The use of a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is required on all applications for Federal grants or cooperative agreements. Please provide your organization's DUNS number in your budget application.
- c. A statement to indicate whether your organization has previously completed an A-133 Single Audit and, if so, the date that the last A-133 Single Audit was completed.
- d. A statement regarding Conflicts of Interest. The Applicant must disclose in writing any actual or potential personal or organizational conflict of interest in its application that describes in a concise manner all past, present or planned organizational, contractual or other interest(s), which may affect the Applicants' ability to perform the proposed project in an impartial and objective manner. Actual or potential conflicts of interest may include but are not limited to any past, present or planned contractual, financial, or other relationships, obligations, commitments or responsibilities, which may bias the Applicant or affect the Applicant's ability to perform the agreement in an impartial and objective manner. The Agreement Officer (AO) will review the statement(s) and may require additional relevant information from the Applicant. All such information, and any other relevant information known to DOT, will be used to determine whether an award to the Applicant may create an actual or potential conflict of interest. If any such conflict of interest is found to exist, the AO may (a) disqualify the Applicant, or (b) determine that it is otherwise in the best interest of the United States to contract with the

- Applicant and include appropriate provisions to mitigate or avoid such conflict in the agreement pursuant to 2 CFR 200.112.
- e. A statement to indicate whether a Federal or State organization has audited or reviewed the Applicant's accounting system, purchasing system, and/or property control system. If such systems have been reviewed, provide summary information of the audit/review results to include as applicable summary letter or agreement, date of audit/review, Federal or State point of contact for such review.
 - f. Terminated Contracts - List any contract/agreement that was terminated for convenience of the Government within the past 3 years, and any contract/agreement that was terminated for default within the past 5 years. Briefly explain the circumstances in each instance.
 - g. The Applicant is directed to review Title 2 CFR §170 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl) dated September 14, 2010, and Appendix A thereto, and acknowledge in its application that it understands the requirement, has the necessary processes and systems in place, and is prepared to fully comply with the reporting described in the term if it receives funding resulting from this Notice. The text of Appendix A will be incorporated in the award document as a General Term and Condition as referenced under this Notice's Section F, Federal Award Administration Information.
 - h. Disclose any violations of Federal criminal law involving fraud, bribery, or gratuity violations. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 entitled Remedies for Noncompliance, including suspension or debarment. (See also 2 CFR Part 180 and 31 U.S.C. 3321).

3. UNIQUE ENTITY IDENTIFIER AND SYSTEM FOR AWARD (SAM)

The Applicant is required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The Federal awarding agency may not make a Federal award to an Applicant until the Applicant has complied with all applicable unique entity identifier and SAM requirements. If an Applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding

agency may determine that the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

4. HOW TO REGISTER TO APPLY THROUGH GRANTS.GOV

a. *Instructions:* Read the instructions below about registering to apply for FHWA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to 4 weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

If individual applicants are eligible to apply for this grant funding opportunity, refer to: <https://www.grants.gov/web/grants/applicants/individual-registration.html>

Organization applicants can find complete instructions here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

2) *Register with SAM:* In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. Failure to register with SAM will prevent your organization from applying through Grants.gov.

For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

3) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's

DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>

4) *Authorize Grants.gov Roles*: After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been approved as an AOR.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>

5) *Track Role Status*: To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>

b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

5. How to Submit an Application to FHWA via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

1) *Create a Workspace*: Creating a Workspace allows you to complete it online and route it through your organization for review before submitting.

2) *Complete a Workspace*: Add participants to the Workspace, complete all the required forms, and check for errors before submission.

a. *Adobe Reader*: If you decide not to apply by filling out Webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or FHWA forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

3) *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) *Track a Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the FHWA with tracking your issue and understanding background information on the issue.

6. SUBMISSION DATES AND TIMES

Applications must be submitted through www.grants.gov by submission deadline of 06/18/2018, 11:59 PM ET.

Applicants interested in applying are encouraged to email ATCMTD@dot.gov no later than the submission deadline with applicant name, State in which project is located, approximate total project cost, amount of the ATCMTD grant request, and a two- to three-sentence project description. The DOT seeks this early notification of interest to inform its allocation of resources for application evaluations and to facilitate timely and efficient awards.

Late Applications

The Grants.gov registration process usually takes 2–4 weeks to complete. Late applications that are the result of failure to register or comply with Grants.gov applicant requirements in a timely manner will not be considered. Only applicants who comply with the submission deadline described in this notice and submit applications through the Grants.gov Workspace will be eligible for award. Applicants are strongly encouraged to make submissions in advance of the deadline. Applications received after the deadline will not be considered except in the case of unforeseen technical difficulties with Grants.gov that are beyond the applicant's control. In those instances, the applicant must contact the Grants.gov help desk prior to the application deadline with the user name of the registrant and details of the technical issue experienced. Please note: applicants must obtain a Grants.gov Help Desk Tracking Number if they are experiencing technical difficulties. After the submission deadline, the applicant must contact the ATCMTD@dot.gov email address, and provide the following information:

- a. Details of the technical issue experienced;
- b. Screen capture(s) of the technical issues experienced along with corresponding Grants.gov grant tracking number;
- c. The legal business name for the applicant that was provided in the SF-424;
- d. The AOR name submitted in the SF-424;
- e. The DUNS number associated with the application; and
- f. The Grants.gov Help Desk Tracking Number.

After DOT staff review all information submitted and contact the Grants.gov Help Desk to validate reported technical issues, DOT staff will contact late applicants to approve or deny a request to submit a late application through Grants.gov. If the reported technical issues cannot be validated, late applications will be rejected as untimely.

7. INTERGOVERNMENTAL REVIEW

An application under this Notice of Funding Opportunity is not subject to the State review under E.O. 12372.

8. FUNDING RESTRICTIONS

The FHWA will not reimburse any pre-award costs or application preparation costs.

9. INTENT TO RELEASE APPLICATIONS AND NAMES OF APPLICANT

In order to expand public awareness of ATCMTD technologies, concepts, and ideas, the FHWA intends to release publicly all Volume 1 Technical Application after award.

By submitting an application in response to this Notice of Funding Opportunity, the Applicant provides the FHWA permission to:

- Release publicly the names of all applicants after selection of the ATCMTD awardees; and
- Release publicly Volume 1 Technical Application document (without the résumés of key personnel) after selection of the ATCMTD awardees.

SECTION E – APPLICATION REVIEW INFORMATION

1. CRITERIA FOR SELECTION OF ATCMTD AWARDS

The Government will evaluate applications on following criteria, which are of equal importance.

TECHNICAL MERIT:

- Degree that the proposed technology deployment aligns with program requirements and DOT goals, including safety, innovation, and opportunity.
- Readiness of the proposed technology(ies) to be deployed, and the likelihood of success of the applicant to deploy and sustain the proposed technology(ies), including the proposed approaches to addressing any regulatory environment and other obstacles to deployment.
- Scalability or portability of the proposed technology deployment to other jurisdictions.
- Commitment to evaluate the effectiveness (i.e., cost-benefit) of activities proposed.

STAFFING:

- Degree that the Application includes a program/project management structure or organization that will successfully oversee the proposed technology deployment.
- Expertise and qualifications of key personnel for managing or conducting appropriate aspects of the proposed technology deployment through the period of performance.

COST:

- Cost will be considered in the award decision. The cost information will be analyzed to assess cost reasonableness and conformance to applicable cost principles. Applicants must provide the required matching funds, and supporting detail for these funds, including the applicant's activities to maximize the non-Federal share of the project funding.
- Funding availability will also be considered in the award decision. This evaluation factor will not be rated, but will be considered in the award selection.

The Department will prioritize projects that also enhance personal mobility and accessibility. Such projects include, but are not limited to, investments that better connect people to essential services such as employment centers, health care, schools and education facilities, healthy food, and recreation; remove physical barriers to access; strengthen communities through neighborhood redevelopment; mitigate the negative impacts of freight movement on communities; and support workforce development, particularly for disadvantaged groups, which include persons with visible and hidden disabilities and elderly individuals. The Department may consider whether a project's design is likely to generate benefits for all users of the proposed project, including non-driving members of a community adjacent to or affected by the project.

2. REVIEW AND SELECTION PROCESS

The DOT will utilize a two-phased approach for the review and selection of applications. During Phase I, DOT will use a merit review process to evaluate applications and make selections for award. In Phase II, DOT will conduct award discussions with selected applicants to determine the method of award, clarify and request additional budgetary information, and obtain a project statement of work.

a) Phase I - Application Review and Selection

The DOT will review all eligible applications received before the application deadline. The ATCMTD process consists of a technical evaluation phase and senior review. In the technical evaluation phase, teams of technical experts will determine whether each project satisfies statutory requirements and rate how well it addresses selection criteria. The senior review team will consider the applications and the technical evaluations to determine which projects to advance to the Secretary for consideration. Evaluations in both the technical evaluation and senior review phases will place projects into rating categories of Highly Recommended, Recommended, and Not Recommended, and will not assign numerical scores. The Secretary will select the projects for award. The DOT reserves the right to use outside expertise and/or contractor support to perform application evaluation. A panel of Agency experts will conduct a risk assessment of the applicant prior to award.

The DOT will award the applications that are considered the most advantageous to DOT using the criteria cited above, and subject to the results of an Applicant risk assessment. In addition, per 23 USC 503(c)(4)(D)(i) and (ii), DOT shall ensure, to the extent practicable, that grant recipients represent diverse geographic areas of the United States, including urban and rural areas, and that grant recipients represent diverse technology solutions.

Prior to award, each selected applicant will be subject to a risk assessment required by 2 CFR 200.205. If the Federal awarding Agency determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the Federal award. The DOT must review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). An applicant may review information in FAPIIS and comment on any information about itself. The DOT will consider comments by the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards.

when completing the risk assessment. The DOT reserves the right to deny an award based on the results of the risk assessment.

The Secretary of Transportation is the official responsible for final award selections. The DOT is not obligated to make any award as a result of this notice.

Risk Assessment

The DOT will assess the risks posed by an Applicant before they receive an award. If the Federal awarding agency determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the Federal award. This Risk Assessment will include evaluation of some or all of the following items relative to the Applicant and/or sub-applicants as applicable:

- (1) Applicant's financial stability;
- (2) Applicant's quality of management systems and ability to meet the management standards prescribed in 2 CFR Part 200;
- (3) Applicant's history of performance;

Note: History of performance includes the Applicant's record in managing Federal awards, if it is a prior Recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards. The Government will evaluate the relevant merits of the Applicant's history of performance based on its reputation and record with its current and/or former customers with respect to quality, timeliness and cost control. The history of performance will be reviewed to assure that the Applicant has relevant and successful experience and will be considered in the risk assessment. In evaluating history of performance, the Government may consider both written information provided in the application, as well as any other information available to the Government through outside sources.

- (4) Applicant's audit reports and findings from audits performed on the Applicant pursuant to 2 CFR Part 200 Subpart F—Audit Requirements or the reports and findings of any other available audits;
- (5) Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities;

(6) Applicant's potential for conflict of interest if applicable; and

Note: The FHWA will review information provided by the Applicant, and any other relevant information known to DOT, to determine whether an award to the Applicant may create an actual or potential conflict of interest. If any such conflict of interest is found to exist, the FHWA may (a) disqualify the Applicant, or (b) determine that it is otherwise in the best interest of the United States to award to the Applicant and include appropriate provisions to mitigate or avoid such conflict in the Agreement pursuant to 2 CFR 200.112.

(7) Applicant's eligibility to receive Federal funding. Per the guidelines on government-wide suspension and debarment in 2 CFR Part 180, the Government will confirm that the Applicant and any named sub-applicants are not debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

Pursuant to 2 CFR Part 200.205, prior to making a Federal award, the Federal awarding Agency is required to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and Sam.gov. The Government's review of this information will occur as part of the risk assessment.

b) Phase II – Post-Selection Discussions and Method of Award

In Phase II, the DOT and the applicant will reach an agreement on the method for award. There are two possible options for award: award through an allocation to the State DOT, or a direct award from FHWA. In Phase II, the DOT will also conduct discussions with the selected applicant to clarify elements of the applicant's technical and budget applications. Discussions will include a request for detailed and itemized cost information, including: direct labor categories, hours and rates, fringe benefit rates, travel, equipment, supplies, sub-recipient/contractor/consultant costs and supporting documentation, construction costs, other direct costs, indirect cost rates, and additional supporting budget narrative. The selected applicant will also be required to provide a project statement of work.

3. ANTICIPATED FEDERAL AWARD DATES

The DOT anticipates awarding funds for advanced transportation and congestion management technologies deployments no later than September 2018.

SECTION F – FEDERAL AWARD ADMINISTRATION INFORMATION

1. FEDERAL AWARD NOTICES

Following the evaluation outlined in section E, DOT will notify the selected applicants and announce the selected projects. Notice that an applicant has been selected as a recipient does not constitute approval of the application as submitted. Before the award, DOT will contact the POC listed in the SF 424 to initiate negotiation of a project specific agreement. If the negotiations do not result in an acceptable submittal, DOT reserves the right to terminate the negotiation and decline to fund the applicant.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

All awards will be administered pursuant to the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards found in 2 CFR 200, as adopted by DOT at 2 CFR 1201. Applicable Federal laws, rules, and regulations set forth in 23 U.S.C. and 23 CFR also apply. For a list of the applicable laws, rules, regulations, executive orders, policies, guidelines, and requirements related to ATCMTD projects, please see <http://www.fhwa.dot.gov/aaa/generaltermsconditions.cfm>.

3. REPORTING

a. Progress Reporting on Grant Activity. Each applicant selected for an ATCMTD grant must submit the Federal Financial Report (SF-425) on the financial condition of the project, its progress, and an Annual Budget Review and Program Plan to monitor the use of Federal funds and ensure accountability and financial transparency in the ATCMTD Program.

b. Reporting of Matters Related to Integrity and Performance. If the total value of a selected applicant's currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10 million at any time during the period of performance, then the applicant must maintain the currency of information reported to the SAM and made available in the FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of the award terms and conditions. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

c. Reporting to the Secretary. Per 23 U.S.C. 503(c)(4)(F), not later than 1 year after receiving an ATCMTD grant, and each year thereafter, the recipient shall submit a report to the Secretary that describes:

- i. Deployment and operational costs of the project compared to the benefits and savings the project provides; and
- ii. How the project has met the original expectations projected in the deployment plan submitted with the application, such as:
 - a. data on how the project has helped reduce traffic crashes, congestion, costs, and other benefits of the deployed systems;
 - b. data on the effect of measuring and improving transportation system performance through the deployment of advanced technologies;
 - c. the effectiveness of providing real time integrated traffic, transit, and multimodal transportation information to the public to make informed travel decisions; and
 - d. lessons learned and recommendations for future deployment strategies to optimize transportation efficiency and multimodal system performance.

SECTION G – FEDERAL AWARDING AGENCY CONTACTS

Address any questions to:

ATCMTD@dot.gov