



U.S. Department of Transportation
Federal Highway Administration

Notice of Funding Opportunity Number 693JJ318NF00008

“Core Program Services for a Highway Research, Development, and
Technology Program”

Notice of Funding Opportunity Issue Date: July 24, 2018

Application Due Date: August 24, 2018

Estimated Cooperative Agreement Award: September 21, 2018

Notice of Funding Opportunity (NOFO) Summary Information

Federal Agency Name: U.S. Department of Transportation (US DOT)
Federal Highway Administration (FHWA)
Office of Acquisition and Grants Management
1200 New Jersey Avenue, SE
Mail Drop: E62-304
Washington, DC 20590
Attention: Angela A. Jones, HCFA-32

Funding Opportunity Title: “Core Program Services for a Highway Research, Development, and Technology Program”

Announcement Type: This is the initial announcement of this funding opportunity.

Funding Opportunity Number: 693JJ318NF00008

Award Type: Cooperative Agreement

Catalog of Federal Domestic Assistance (CFDA) Number: 20.200

Application Due Date: Application Due by 11:00 pm Eastern Time (ET) on August 24, 2018, via Grants.gov (see Section D).

Questions: Submit Questions by August 16, 2018, 3:00 pm ET to: Angela.Jones@dot.gov

TABLE OF CONTENTS

<u>SECTION</u>	<u>TITLE</u>	<u>PAGE</u>
A	PROGRAM DESCRIPTION	4
B	FEDERAL AWARD INFORMATION	9
C	ELIGIBILITY INFORMATION	10
D	APPLICATION SUBMISSION INFORMATION	11
E	APPLICATION REVIEW INFORMATION	18
F	FEDERAL AWARD ADMINISTRATION INFORMATION	21
G	FEDERAL AWARDED AGENCY CONTACT(S)	27

Note: The FHWA uses www.Grants.gov for receipt of all application. Applicants must register and use the system to submit application electronically. Applicants are encouraged to register in advance of the submission deadline and to register to receive notifications of updates/amendments to this Notice. Approval of user registrations for the site may take multiple weeks. It is the Applicant's responsibility to monitor www.Grants.gov for any updates to this Notice.

SECTION A – PROGRAM DESCRIPTION

The Federal Highway Administration (FHWA) hereby requests an application for assistance from the Transportation Research Board (TRB), a division within the National Academy of Sciences (NAS) for a continuation of services entitled “Core Program Services for a Highway Research, Development, and Technology Program.”

1. STATEMENT OF PURPOSE

The purpose of this proposed Agreement is to continue to provide core program support for a highway research, development, and technology program on behalf of the State Departments of Transportations (SDOTs).

2. LEGISLATIVE AUTHORITY

The statutory authority to enter into a cooperative agreement for this effort is found in United States Code (U.S.C.) Title 23 – §502 Surface Transportation Research, paragraphs (b)(3), 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.

Funding is authorized under Section §502(b)(6) of USC Title 23, Surface Transportation Research, which states the following:

(6) POOLED FUNDING.-

(A) Cooperation.—

To promote effective utilization of available resources, the Secretary may cooperate with a State and an appropriate agency in funding research, development, and technology transfer activities of mutual interest on a pooled funds basis.

(B) Secretary as agent.—

The Secretary may enter into contracts, cooperative agreements, and grants as the agent for all participating parties in carrying out such research, development, or technology transfer activities.

(C) Transfer of amounts among states or to federal highway administration.—

The Secretary may, at the request of a State, transfer amounts apportioned or allocated to

that State under this chapter to another State or the Federal Highway Administration to fund research, development, and technology transfer activities of mutual interest on a pooled funds basis.

(D)Transfer of obligation authority.—

Obligation authority for amounts transferred under this subsection shall be disbursed in the same manner and for the same amount as provided for the project being transferred.

In accordance with 23 USC §502 (c)(3) (A) FEDERAL SHARE.— The Federal share of the cost of activities carried out under a cooperative research and development agreement entered into under this chapter shall not exceed 80 percent, except that if there is substantial public interest or benefit, the Secretary may approve a greater Federal share.

SDOT's funding of the core program through this agreement when financed with Federal-aid SP&R funds is authorized without State matching. A cost sharing/matching waiver is approved and submitted annually by the FHWA, Office of Research, Development and Technology.

3. BACKGROUND

The transportation research community consists of numerous partnerships to aid in the conduct of research and the implementation of technologies and innovations. The FHWA, SDOTs, and the NAS are among these partners, who work closely in many facets of the national research program.

The Transportation Research Board (TRB) is a unit of the National Research Council (NRC), a private, nonprofit institution that is the principal operating agency of the NAS. The TRB's mission is to promote innovation and progress in transportation by stimulating and conducting research, facilitating the dissemination of information, and encouraging the implementation of research results.

The TRB fulfills this mission through the work of its standing technical committees and task forces addressing all modes and aspects of transportation; publication and dissemination of reports and peer-reviewed technical papers on research findings; administration of contract research programs; conduct of special studies on transportation policy issues; maintenance of the Transportation Research International Documentation (TRID); and hosting an annual meeting that attracts approximately 11,000 transportation professionals from throughout the United States and abroad.

The TRB is supported by SDOTs, the various administrations of the U.S. Department of Transportation and other federal agencies, industry associations, and other organizations.

4. GOALS

The goal of this cooperative agreement (Agreement) is to assist the SDOTs in accomplishing the following:

- Support a national and international highway Research and Technology (R&T) program;

- Encourage and promote the establishment of research activities within all highway agencies;
- Assist in the operation and maintenance of TRID; and
- Disseminate highway research results and promote implementation and technology transfer.

5. STATEMENT OF WORK

PROJECT TASKS

Task 1—Conduct an Annual Meeting

Conduct an annual international meeting in the Washington, D.C. area as a forum for the presentation of highway research results. This annual meeting will be held within the context of an overall transportation research meeting involving various modes of transportation. Solicit and receive funding to conduct technical sessions relating to these other transportation modes from other sources.

As part of, and in conjunction with, the annual meeting, facilities, and support shall be provided for the various technical committees established by the TRB.

Provide for registration of all State DOT employees requesting registration at the annual meeting at a lump sum amount or reduced rate per capita not to exceed a lump sum amount.

Task 2—Technical Committees

Maintain standing committees of authorities in subject areas of interest to the SDOTs. These committees are responsible for promoting the exchange of technical research information, advancing the state of the art in the areas of their expertise and for identifying research needs. Committee membership shall be in accordance with NRC/TRB requirements for member balance among organizations, regions, disciplines, and other characteristics.

Establish appropriate new committees as the need is demonstrated and to respond to changing issues facing the transportation industry.

Conduct committee-sponsored conferences and workshops as determined appropriate by the technical committees.

Task 3—Maintenance of National Overview of Highway Research

Maintain a national overview of highway research. Visit approximately 17 SDOTs per year and 50 State DOTs over a 3-year period to assess the interest, competency, and relevancy of the research conducted by each SDOT as well as encourage a coordinated national transportation emphasis. In conjunction with these visits, visit selected key universities and public/private researchers responsible for highway-related research. Visits to international research organizations conducted as part of international visits by TRB staff for other specific purposes/conferences shall also be considered under this task. Visits should be consolidated as much as possible to minimize travel

expenses. Include a summary of the results of field visits in the annual progress report.

Task 4—Maintenance and Dissemination of Research Results (Clearinghouse for Research Results)

Process publications into the TRID. In addition, provide TRID searches for SDOTs. Maintain web access to TRID with the Research and Innovative Technology Administration, the U.S. Department of Transportation, and other means for increasing accessibility to TRID for users. These changes may require additional maintenance and training to accommodate efficient use.

Task 5—Publication and Distribution of Reports

Develop, publish, and distribute a variety of reports and periodicals to assist in the transfer of technical information. Publications shall include but not be restricted to items such as general non-technical reports related to very specific topics. Reports shall also be developed which summarize and highlight some of the key papers presented at the annual meeting. Provide one copy of each publication issued by the TRB to the Agreement Officer's Representative (AOR) during the period of performance.

Reports and Deliverables

TRB provides the AOR with all publications reporting on the activities carried out under its core technical activities program. There are approximately 60 to 80 of these individual reports delivered to the SDOTs each year. These reports include, but are not limited to: Approximately 50 reports per year in the *Transportation Research Board Record Series—A Journal of the Transportation Research Board*, the bimonthly *TRNews*, the *TRB Annual Report* (which includes required financial information on the status of the core services), the annual *Field Visit Program* publication, and the technical and financial reports presented semi-annually at Executive Committee meetings.

TRB will provide these reports electronically. The established reports above are also more detailed and timely, and should be provided as available. In addition, a standard quarterly progress report will be provided.

Participation and Funding

Participation in and funding of the core program for the SDOTs are to be in accordance with the following:

- Annually, SDOTs will indicate to FHWA and TRB by the beginning of the second quarter of the Federal fiscal year their intention of supporting TRB's core program through participation in a pooled fund study, as provided in this cooperative agreement. A SDOT's funding of the core program through this agreement when financed with Federal-aid SP&R funds is authorized without State matching of Federal funds.
- State DOTs electing to provide their funds through this cooperative agreement will commit their funds through the TPF Web site.

- FHWA will obligate funds to this cooperative agreement from participating States through the funds transfer process.

<end of section>

SECTION B – FEDERAL AWARD INFORMATION

1. FUNDING

The FHWA anticipates Federal funding up to a total amount of \$37,500,000, may be made available for this Agreement subject to the availability of funds.

Federal funds (time of award):	\$ 2,000,000
Federal funds (subject to availability):	<u>\$35,500,000</u>
TOTAL VALUE	\$37,500,000

The Government's obligation under this award is contingent upon the availability of SDOT pooled funds from which payment for agreement purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the Agreement Officer for this award and until the awardee receives notice of such availability, to be confirmed in writing by the Agreement Officer.

NOTE: Application preparation costs are not an allowable charge under any award made based on this NOFO.

2. NUMBER/TYPE OF ASSISTANCE INSTRUMENT

The Government anticipates making one (1) award as a result of this Notice of Funding Opportunity. The planned award type is a Cooperative Agreement.

3. PERIOD OF PERFORMANCE

The Government anticipates a project start date of September 21, 2018. The period of performance for this Cooperative Agreements will not exceed sixty (60) months from the effective date of award.

4. DEGREE OF FEDERAL INVOLVEMENT

FHWA anticipates substantial Federal involvement between FHWA and the Recipient during the course of this project. The FHWA anticipates the Federal involvement will include:

- Technical assistance and guidance to the Recipient;
- Close monitoring of performance;
- Involvement in technical decisions; Review and approval of work plan (including outreach and dissemination plan), and course materials;
- Performance reporting and financial reporting to ensure that the objectives and terms and conditions of the Agreement are met;
- Ability to redirect project activities;
- Participation in status meetings including kick-off meeting and annual technical and budget reviews; and
- Review and comment on draft documents as appropriate.

<end of section>

SECTION C – ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

This sole source requirement with application eligibility limited to the National Academy of Sciences.

2. COST SHARING OR MATCHING

No cost sharing or matching is required for this Cooperative Agreement.

<end of section>

SECTION D - APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

The applicant may obtain application forms at [Grants.gov](https://www.Grants.gov) under the Notice of Funding Opportunity Number 693JJ318NF00008.

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

- Application must be prepared on 8½ x 11-inch paper except for foldouts used for charts, tables or figures, which must not exceed 11 x 17 inches. Foldouts must not be used for text, and will count as two pages.
- A page is defined as one side of an 8 ½ by 11-inch paper. Therefore, a piece of paper with printing on both sides is considered two pages.
- Text must be printed using a font size no less than 12-point font (Arial or Calibri).
- Tables are permitted and text in tables must be doubled spaced.
- Text in captions below charts, tables or figures must be not less than 10 characters per inch, and can be 2 lines of text long (limited by the width of the chart, table or figure) and single spaced.
- Page margins must be a minimum of 1 inch top, bottom and each side.
- Page numbers may be located within the 1 inch margins.
- A Header or Footer identifying the Applicant/Team and the Volume, may be located within the 1 inch margins.
- Resumes are limited to one page each.
- No cost/price data will be included in Volume I, but must be included in Volume II.

The application package must consist of the following in this order:

Volume 1 – Technical Application as described below – 35-page limit

- Part I – Technical Approach (*included* in the page limitation)
- Part II – Staffing and Management Approach (*included* in the page limitation; resumes are *not included* in the page limitation and may be an Attachment to Volume I)
- Part III – Experience (*included* in the page limitation))

In the event a technical application exceeds the page limitation, the Government will evaluate only the pages identified within the limitation above.

Volume 2 – Budget Application as described below - no page limit

- Part I – Application Forms
- Part II – Cost Information and Other Financial Information

Submit your application in the following format:

Volume 1 - Technical Application

Volume 1 – Technical Application as described below (see page limitations above)

OPTIONAL: An Applicant may include, at their option, to facilitate displaying the organization of their application, a one-page cover page, and a second page to include both a Table of Contents and/or a Listing of Tables/Figures. These pages are for orienting evaluators to the contents of the application package and will not be evaluated and are not included in the Volume I page limitation.

- a. Part I – TECHNICAL APPROACH: Provide a detailed description of the technical plan of how the Recipient would proceed if awarded this Agreement. Discuss and describe the ability of the proposed project to meet the purpose and goals of this program, an annual work plan for year one (1), and the manner in which they will be addressed by your project.
- b. Part II – STAFFING AND MANAGEMENT APPROACH:
 - Provide a project organizational chart identifying proposed staff members assigned to the project. The chart must be supported with narrative text to include the title and a brief description of each position's responsibilities, as well as the proposed level of effort and allocation of time (% in relation to their other duties) for each position on a yearly basis and in summary format. The level of effort may be displayed (single spaced) in a table format. One table can be presented if the level of effort will be constant over all years, and the table is annotated as such. The hours in this table must be consistent with the information presented in Volume II, Parts I and II, as part of the detailed budget plan.
 - Provide resumes for the proposed Program Manager/Principal Investigator and other key personnel to include name, experience, education and proposed role in project. Explain why the personnel possess the qualifications to perform the proposed positions. Resumes shall not exceed one page each.
 - A contingency plan to replace personnel over the period of performance without adversely affecting performance.
 - Describe the project management plan and approach to ensure successful and timely completion of the task order.
 - Include an organizational chart to demonstrate a sound approach to project organization, identifying project team roles and their relationships to each other.
- c. Part III – EXPERIENCE: A summary of the Applicant's experience relevant to this project, listing projects of similar size and complexity over the past five years, and show which of the named key staff, were involved in those projects. List the following information for a minimum of three specific past projects in which the Applicant participated as project leader and/or member of project team:

- Project title, description, value, and dates;
- Sponsor/customer point of contact to include sponsor/customer name, title, organization, email address, phone number;
- Role of Applicant in project;
- Explanation of why or how the project is considered relevant or similar to the effort required by this Notice of Funding Opportunity; and
 - Note: In determining relevancy, consideration should be given, but not limited to, such things as product/service similarity, size and complexity, Agreement type, division of company proposing, and sub-Recipient interaction.
- Explanation of the project goals accomplished and any cost growth or schedule delays encountered. For any projects which did not/do not successfully achieve its goals, a brief explanation of the reason(s) for such shortcomings and any demonstrated corrective actions taken to avoid recurrence.
- If subcontractors are needed to conduct some of these tests and practices, a list of subcontractors should be supplied. While not required, the technical evaluation will assign an advantage in this section to Applicants with these capabilities, assuming all else is equal.

Note: Prior to award, FHWA may contact past sponsor/customers to support the agency's risk assessment of the application.

Note: If an Applicant does not have a history relevant experience, or if past experience information is not available, the Applicant will receive a neutral past experience rating.

Volume 2 - Budget Application

Volume 2 – Budget Application as described below - no page limit

OPTIONAL: An Applicant may include, at their option, to facilitate displaying the organization of their application, a one-page cover page, and a second page to include both a Table of Contents and/or a Listing of Tables/Figures. These pages are for orienting evaluators to the contents of the application package and will not be evaluated and are not included in the Volume I page limitation.

a. Part I - APPLICATION FORMS

1. SF424

Note: Applicants may leave fields 5a, 5b, 6, 7, and 13 blank on the form.

2. SF424A

Note: Section A:

- Block 1(a): Print opportunity title listed on page 1;
- Block 1(b): Print CFDA number listed on page 1;
- Block 1(c): Print Total Federal Funds Requested in dollars; and,
- Block 1(d): Print Total Cost Share in dollars, and leave columns (e), (f), and (g) and rows 2, 3, and 4 blank.

3. SF424B

4. SFLLL

Note: The form must be completed and submitted even if no lobbying to report. If no lobbying to report insert none or n/a in the relevant blocks.

b. Part II – COST INFORMATION AND OTHER FINANCIAL INFORMATION

Provide a separate detailed budget plan for each year and summarize the information for all years for all activities. Spreadsheets can be formatted similarly to the format in DOT Form 4220.44, located at: http://www.fhwa.dot.gov/aaa/pdfs/frm4220_44.pdf.

The detailed budget plan must include each of the following items/sub-items:

1. Detailed Excel (or compatible) workbook containing spreadsheets/tabs (formatted to be printed out) and supporting information clearly delineating and supporting all estimated costs: with columns for Federal Share, Cost Share (if applicable) and Total Costs (per year and in summary form) as follows:

Note: Applicants must use DOT F 4220.44, Contract Pricing Summary located at http://www.fhwa.dot.gov/aaa/pdfs/frm4220_44.pdf, to present the information requested below.

- a. Labor Rates- Direct labor-by-labor categories to include hours, rates and escalation. Anticipated promotions for any personnel must be included with the escalation calculation. The annual direct labor escalations rate and its basis should be clearly stated with the application. Discuss your proposed rate as compared to historical experience and include when and how escalation will be calculated/implemented.
- b. Indirect Rates- Discuss your proposed rates for all years. Identify all the various specific indirect rates including what they are (pool and base), and what they are based on (e.g.; labor overhead based on direct labor dollars) and how they are applied/calculated. Provide dollar values as well as percentages. Please also provide any audit information to support these rates (for example, a copy of signed Department of Health of Human Services rate agreement).

Note: Per 2 CFR 200.414(f), Indirect (F&A) Costs, an Applicant may elect to propose a de minimis indirect rate of 10% of modified total direct costs.

- c. Other Direct Costs- Applicants must provide a breakout and justification of Other Direct Costs by Category (travel, equipment, etc.).
- d. If subcontractors/sub-Recipients (lower-tiered organizations and/or individual consultants) will be used in carrying out this project, the following minimum information concerning such, must be furnished:

- i. Name and address of the organization or consultant.
 - ii. Description of the portion of work to be conducted by the organization or consultant.
 - iii. Cost details for that portion of work.
 - iv. **Applicant's cost/price analysis of each sub-Recipient/contractor(s) showing how their price is fair and reasonable; and Applicant's cost/price analysis of each sub-Recipient/contractor(s) showing how their price is fair and reasonable (this includes any sub-Recipient/contractor(s) that will be included in the Federal share or the non-Federal share); and**
 - v. Letter of commitment from each sub-Recipient/contractor(s) (this includes any sub-Recipient/contractor(s) that will be included in the Federal share, the non-Federal share or in a non-paid (volunteer) capacity).
 - vi. Provide detail and support for cost share as part of overall project budget.
 - vii. Clearly delineate cost share match versus Federal share.
2. 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.
 3. The use of a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is required on all application for Federal grants or Cooperative Agreements. Please provide your organization's DUNS number in your budget application.
 4. 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.
 5. 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 Applicant's ability to perform the proposed Agreement 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.

6. 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.
7. 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.
8. Describe how your organization will obtain the necessary resources to fund and fulfill the proposed cost share, as applicable.
9. 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.
10. 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).
11. If a nonprofit or not-for-profit status, please provide evidence of this status preferably from the Internal Revenue Service.

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. SUBMISSION DATES AND TIMES

The application must be received electronically through www.grants.gov by the application due date/time listed on page 1 of this Notice of Funding Opportunity.

The deadline stated on page 1 is the date and time by which the applicant must submit the full and completed application to www.grants.gov, including all required sections.

A late application will not be reviewed or considered unless the Agreement Officer (AO) determines that doing so is in the FHWA's best interest.

5. INTERGOVERNMENTAL REVIEW

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

6. FUNDING RESTRICTIONS

The FHWA will not reimburse any pre-award costs or application preparation costs under this proposed Agreement.

7. OTHER SUBMISSION REQUIREMENTS

In the event of system problems or technical difficulties with the application submittal, Applicants should contact the FHWA points of contact designated on page 1. If Applicants are unable to use the system due to technical difficulties, Applicants must e-mail application to the FHWA points of contact listed on page 1 no later than the application deadline cited above.

<end of section>

SECTION E - APPLICATION REVIEW INFORMATION

The Government will evaluate the Application for responsiveness to the funding opportunity announcement once the applicant has demonstrated that it meets the eligibility criteria (see Section C).

1. EVALUATION CRITERIA

FHWA will evaluate application on the following criteria: Technical Merit and Cost.

These criteria are distinct from eligibility criteria (see Section C) that are addressed before an application is accepted for review.

TECHNICAL MERIT: FHWA will evaluate and rank the Technical application against the following criteria in order of descending importance:

1. Demonstrates experience and ability to administer, coordinate, and promote research activities within Federal and State highway agencies.
2. Demonstrates ability to conduct reviews of the Research Technology (R&T) program as well as organizing and conducting special conferences and workshops.
3. Adequacy of professional staff of highway specialists in the task areas.
4. Adequacy of administrative resources and facilities.
5. Demonstrates ability to communicate, coordinate and cooperate with federal and state highway agencies, and deliver practical and useful research results in the task areas.

COST: Relative cost will be considered in the award decision. The budget application will be analyzed to assess cost reasonableness and conformance to applicable cost principles. This evaluation factor will not be rated.

If applicable, the degree of cost share and leveraging of non-Federal funds will be considered in the award decision. The applicant must provide the required matching funds, and supporting detail for these funds. Additional cost sharing will be considered beneficial to break ties among application with equivalent ratings after evaluation against all other factors.

2. DEPARTMENTAL OBJECTIVES

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

- (A) Supporting economic vitality at the national and regional level;
- (B) Utilizing alternative funding sources and innovative financing models to attract non-Federal sources of infrastructure investment;
- (C) Accounting for the life-cycle costs of the project to promote the state of good repair;

- (D) Using innovative approaches to improve safety and expedite project delivery; and
- (E) Holding grant recipients accountable for their performance and achieving specific, measurable outcomes identified by grant applicants.

3. REVIEW AND SELECTION PROCESS

FHWA will utilize the following merit review process to evaluate application under this NOFO:

A panel of agency experts will evaluate all eligible technical application using the merit criteria listed above. The panel will individually evaluate the technical application. The panel will then collectively assign an adjectival rating to each eligible technical application using the following merit ratings: Exceptional, Satisfactory, Marginal, and Unsatisfactory.

Agency personnel from the FHWA Office of Acquisition and Grants Management will evaluate the cost criteria listed above, and conduct a risk assessment of the Applicant prior to award as described below.

The Government will accept the application(s) that is (are) considered the most advantageous to the Government using the criteria cited above, and subject to the results of an Applicant risk assessment. Application selected for possible award using the criteria cited above, will undergo the following risk assessment prior to award. The Government reserves the right to not make an award to an Applicant based on the results of the risk assessment.

Funding availability will also be considered in the award decision.

The AO is the official responsible for final award selection. The Government is not obligated to make any award as a result of this notice.

Risk Assessment

The Government will assess the risks posed by an Applicant before they receive an 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 AO 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 confirmation 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 "Do Not Pay." The Government's review of this information will occur as part of the risk assessment.

Note: If an applicant is determined to be high risk additional reporting requirements or other special conditions may apply to the resulting award to mitigate risks.

4. ANTICIPATED ANNOUNCEMENT AND FEDERAL AWARD DATES

FHWA anticipates, but does not guarantee, making an award on or about September 13, 2018.

<end of section>

SECTION F – FEDERAL AWARD ADMINISTRATION INFORMATION

The following terms and conditions will apply to any award made based on this NOFO.

1. FEDERAL AWARD NOTICES

If your organization's application is selected for award, you will be notified and sent an award document for signature. Applicants not selected for award will be notified in writing by FHWA.

Only the AO can commit the FHWA. The award document, signed by the AO, is the authorizing document. Only the AO can bind the Federal Government to the expenditure of funds.

Notice that an Applicant has been selected as a Recipient does not constitute approval of the application as submitted. Before the actual award, FHWA will enter into negotiations concerning such items as program components, staffing and funding levels, and administrative systems, if necessary. If the negotiations do not result in an acceptable submittal, the FHWA reserves the right to terminate the negotiation and decline to fund the Applicant.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

General terms, conditions, and governing regulations that apply to this Agreement are available online at: <http://www.fhwa.dot.gov/aaa/generaltermsconditions.cfm>

The online list entitled, "General Terms and Conditions for Assistance Award (for award effective after June 22, 2015)," shall apply to the resulting award.

A. PUBLIC ACCESS TO DOCUMENTS

The Applicant agrees that the resulting deliverables/documentation submitted to the FHWA under this Agreement may be posted online for public access and/or shared by FHWA with other interested parties. The FHWA anticipates the documents cited herein may be posted on an FHWA website or other appropriate website.

B. INDIRECT COSTS

Indirect costs are allowable under this Agreement in accordance with the Recipient's Federally Negotiated Indirect Cost Rates as documented in writing and approved by the Recipient's cognizant Government agency. In the absence of such Government-approved indirect rates, the following rates are hereby approved for use under this Agreement as shown below:

<i>Type*</i>	<i>Indirect Rate</i>	<i>Period</i>	<i>Rate (%)</i>	<i>Base</i>
(*** Information to be filled in at award ***)				

*Types of Rates: Pred - Predetermined; Fixed - Fixed; Final – Final; Prov: Provisional/billing; or De minimus.

In the event the Recipient determines the need to adjust the above listed rates, the Recipient will notify the AO of the planned adjustment and provide rationale for such adjustment. In the event such adjustment rates have not been audited by a Federal agency, the adjustment of rates must be pre-approved in writing by the AO.

This Indirect Cost provision does not operate to waive the limitations on Federal funding provided in this document. The Recipient's audited final indirect costs are allowable only insofar as they do not cause the Recipient to exceed the total obligated funding.

C. DATA RIGHTS

The Recipient must make available to the FHWA copies of all work developed in performance with this Agreement, including but not limited to software and data. Data rights under this Agreement shall be in accordance with 2 CFR 200.315, Intangible property.

D. PERSONALLY IDENTIFIABLE INFORMATION (PII)

Personally Identifiable Information (PII) as defined at CFR Part 200.79 and 2 CFR 200.82 will not be requested unless necessary and only with prior written approval of the AO with concurrence from the Agreement Officer's Representative (AOR).

E. AVAILABLE FUNDING

The total estimated amount of Federal funding that may be provided under this Agreement is \$_____ (to be filled in at award) for the entire period of performance, subject to the limitations shown below:

(1) Currently, Federal funds identified on page 1 of the award document, are obligated to this Agreement.

(2) Subject to availability of funds, and an executed document by the AO, the difference between the current funding and the total estimated amount of Federal funding may be obligated to this Agreement.

(3) The Government's liability to make payments to the Recipient is limited to those funds obligated under this Agreement as indicated above and any subsequent amendments.

F. KEY PERSONNEL

Pursuant to 2 CFR 200.308(c)(2), the Recipient must request prior written approval from the AO for any change in Key Personnel specified in the award. The following person(s) are/have been identified as Key Personnel:

Name	Title/Position
TBD	Principal Investigator (PI)
TBD	Program Manager (PM)

NOTE: The Government believes the above disciplines and/or expertise to be necessary for the successful completion of the project. The Applicant, however, may propose additional staff as key personnel if deemed essential to meet the program requirements and objectives. The Government may list proposed staff as key personnel if deemed essential to meet the program requirements and objectives.

G. PROGRAM INCOME

Pursuant to 2 CFR 200.307, Program income earned during the Agreement period must be added to the Federal award and used for the purposes and under the conditions of the Federal award, unless otherwise approved by the AO. Program income must not be used to offset the Federal or Recipient contribution to this project.

H. SUBAWARDS

Note: Recipients with a procurement system deemed approved and accepted by the Government or by the AO are exempt from the requirements of this clause. See 2 CFR 200.317 through 200.326.

Unless described in the application and funded in the approved award, the Recipient must obtain prior written approval from the AO for the subaward, transfer, or contracting out of any work under this award. This provision does not apply to the acquisition of supplies, material, equipment, or general support services.

The following subawards are currently approved under the Agreement:

Name
(*** to be filled in at award ***)

Approval of each subaward is contingent upon a fair and reasonable price determination, and approval by the AO for each proposed subcontractor/sub-Recipient. Consent to enter into subawards will be issued through a formal amendment to the Agreement.

I. ORDER OF PRECEDENCE

The Recipient's technical and budget application are accepted, approved, and incorporated herein as Attachments A and B. In the event of any conflict between this Agreement document and the Recipient's proposal and/or application, this Agreement document shall prevail.

J. DESIGNATION AS RESEARCH OR NON-RESEARCH AGREEMENT

This Agreement is designated as: NON-RESEARCH

K. CONFERENCE SUPPORT RESTRICTIONS

The Recipient must obtain written approval from the AOR prior to incurring any costs for conference support. See the definition of conference as contained in 2 CFR 200.432.

Food and beverage costs are not allowable conference expenses for reimbursement under this Agreement.

Note: Costs of meals are allowable as a travel per diem expense for individuals on travel status and pursuant to the Travel clause of this Agreement.

L. AGREEMENT PERFORMANCE REQUIREMENTS SUMMARY

Not Applicable.

M. DISPUTES

The parties to this Agreement will communicate with one another in good faith and in a timely and cooperative manner when raising issues under this provision. Any dispute, which for the purposes of this provision includes any disagreement or claim, between the FHWA and the Recipient concerning questions of fact or law arising from or in connection with this Agreement and whether or not involving alleged breach of this Agreement, may be raised only under this Disputes provision.

Whenever a dispute arises, the parties will attempt to resolve the issues involved by discussion and mutual agreement as soon as practical. In no event will a dispute which arose more than three months prior to the notification made under the following paragraph of this provision constitute the basis for relief under this article unless FHWA waives this requirement.

Failing resolution by mutual agreement, the aggrieved party will document the dispute by notifying the other party in writing of the relevant facts, identify unresolved issues and specify the clarification or remedy sought. Within five working days after providing written notice to the other party, the aggrieved party may, in writing, request a decision from one level above the AO. The AO will conduct a review of the matters in dispute and render a decision in writing within thirty calendar days of receipt of such written request. Any decision of the AO is final and binding unless a party will, within thirty calendar days, request further review as provided below.

Upon written request to the FHWA Director, Office of Acquisition and Grants Management or designee, made within thirty calendar days after the AO's written decision or upon unavailability of a decision within the stated time frame under the preceding paragraph, the dispute will be further reviewed. This review will be conducted by the Director, Office of Acquisition and Grants

Management. Following the review, the Director, Office of Acquisition and Grants Management, will resolve the issues and notify the parties in writing. Such resolution is not subject to further administrative review and to the extent permitted by law, will be final and binding. Nothing in this Agreement is intended to prevent the parties from pursuing disputes in a United States Federal Court of competent jurisdiction.

N. CLOSEOUT OF AGREEMENT FILE

The Government will initiate the administrative closeout of the Agreement after receiving evidence that all technical work and administrative requirements have been completed. The Recipient shall furnish all required documents in support of the closeout of the Agreement within the timeframes requested by the Government. The Government anticipates the timeframe to complete administrative close out of this Agreement will not exceed six (6) months.

O. ANNUAL BUDGET REVIEW AND PROGRAM PLAN

The Recipient will submit an electronic copy of the Annual Budget Review and Program Plan to the AOR and one electronic copy to the Agreement Specialist 60 days prior to the anniversary date of this agreement. The Annual Budget Review and Program Plan will provide a detailed schedule of activities, estimate of specific performance objectives, include forecasted expenditures, and schedule of milestones for the upcoming year. If there are no proposed deviations from the Approved Project Budget, the Annual Budget Review will contain a statement stating such. The Recipient will meet via teleconference or web conference with FHWA to discuss the Annual Budget Review and Program Plan. Work proposed under the Annual Budget Review and Program Plan will not commence until Agreement Officer's written approval is received.

P. TRAVEL

Travel and per diem authorized under this Agreement will be reimbursed in accordance with the travel costs section of 2 CFR Part 200, as applicable based on recipient or subrecipient type. In the absence of an acceptable, written institution policy regarding travel costs, the rates and amounts established in the Federal Travel Regulations in effect at the time of travel will apply.

3. REPORTING

1. ADDRESSES FOR SUBMITTAL OF REPORTS AND DOCUMENTS

The Recipient shall submit all required reports and documents, under transmittal letter referencing the Cooperative Agreement number, as follows:

Submit an electronic copy to the Agreement Specialist at the following address:

Angela.Jones@dot.gov

Submit an electronic copy to the AOR at the following address:

Jean.Landolt@dot.gov

2. QUARTERLY PROGRESS REPORT

The Recipient must submit an electronic copy of the Research Performance Progress Report (SF-RPPR), to the AOR and the Agreement Officer on or before the 30th of the month following the calendar quarter being reported. Final RPPRs are due 90 days after the end of the Agreement period of performance. The SF-RPPR content directions and budget formats are available online:

http://www.nsf.gov/bfa/dias/policy/rppr/format_ombostp.pdf

See also the technical content requirements of Subtask 0.3, Quarterly Progress Reports, for inclusion in the reports.

The Quarterly Progress Report must include the required certification pursuant to 2 CFR 200.415.

Calendar quarters are defined as:

1st: January – March
2nd: April – June
3rd: July – September
4th: October – December

Reports due on or before:

April 30th
July 30th
October 30th
January 30th

Include the following information as attached pages:

- SF-425, Federal Financial Report, and
- SF-425A, Federal Financial Report Attachment (if applicable).

<end of section>

SECTION G – FEDERAL AWARDING AGENCY CONTACTS

Questions shall be submitted electronically by email to the Agreement Specialist identified below. The due date for communications and questions concerning this NOFO is 3:00 pm (ET) on August 16, 2018. Questions received after the cut-off date will generally not be considered.

Primary point of contact:

Angela A. Jones, Agreement Specialist
Federal Highway Administration
Office of Acquisition and Grants Management
Email: Angela.Jones@dot.gov
Phone: (202) 366-4255

Secondary point of contact:

Jeffrey D. Martin, Agreement Officer/Team Leader
Federal Highway Administration
Office of Acquisition and Grants Management
Email: Jeffrey.d.martin@dot.gov
Phone: (202) 366-1323