



PacTrans PI Handbook

Version 2.0

Published on:
January 4, 2024

This document is a resource for PacTrans researchers and those interested in PacTrans funding opportunities. Here you will find key information and resources needed to navigate your grant award or to get ready to apply for one of the PacTrans grants.

This document includes:

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General Requirements

To apply to one of the PacTrans funding opportunities, Principal Investigators (PIs) must be a faculty member affiliated with our consortium, which includes the University of Washington, Northwest Indian College, Portland State University, University of Alaska Anchorage, University of Idaho, and Washington State University. Emeritus Faculty will be allowed to compete for PacTrans research funds for only one year after retirement. PacTrans staff issues and facilitates an annual Call for Proposals for our multi-institutional research projects, and each consortium member issues and facilitates its own Calls for Proposals for our single-institutional research projects.

If you are funded, PacTrans requires PIs to comply with all grant requirements as this ensures the integrity of the project throughout the grant cycle and allows PacTrans to meet all reporting requirements of our grantor, USDOT. Namely, these include the USDOT-OSTR Grant Deliverables and Reporting document as well as the Grant Provisions document which can both be found on the reporting page of the PacTrans website here: <http://depts.washington.edu/pactrans/research/reporting/>. This also includes matters of public access, which we have summarized here: <http://depts.washington.edu/pactrans/research/public-access/>. Successful adherence to grant obligations and past performance on budget, schedule, and project requirements will be used as review criteria for future proposals submitted by PIs.

Further, before PacTrans funds are released there are a number of items that we need from each respective PI who has an awarded project pending:

- A finalized **proposal/scope** that adequately responds to any and all comments by peer reviewers

- A finalized **budget**
 - **Signed match letter(s)** from non-federal source(s) equal to, or exceeding, the amount of PacTrans funding being awarded
 - An **ORCID number** (see the ORCID section below for more information)
 - A signed **statement of agreement** that confirms you have reviewed your award letter as well as this handbook
 - A project-level **data management plan**
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Progress Reporting

PacTrans is performance-driven and information provided in the semi annual progress reports and product/performance surveys are used as performance measures to document project and program progress. These measures are used to support the semi-annual reporting requirements of PacTrans to its federal funder, the Office of the Assistant Secretary for Research and Technology (OST-R) at the U.S. Department of Transportation.

PIs are responsible for submitting biannual progress reports for federally-funded projects while their project is still active, and all PIs who have received any financial support (ie. travel support for the PI or their students, research funding, etc.) during the course of our USDOT grant, are responsible for submitting product/performance surveys every six months as outlined below. PIs will receive email notifications when progress reports and surveys are due.

- Semi-annual progress reports for federally-funded projects are due on April 10 and October 10, as long as the project is active.
- PacTrans Faculty Affiliate Products Survey is due on April 10 and October 10 for the duration of PacTrans' current grant award.
- PacTrans Faculty Affiliate Performance Metrics is due on October 10 for the duration of PacTrans' current grant award.

For the purposes of semi-annual progress reporting, a project is considered active until the draft technical progress report has been received by PacTrans staff.

For questions about progress reports, please contact PacTrans staff.

Match Funds Spending Expectation

Every PacTrans research grant requires the PI to provide a match letter for 1:1 non-federal match. PacTrans encourages PIs to spend non-federal match funds before, or at least at a quicker rate than, the PacTrans federal funds. PacTrans requires that PIs spend their non-federal match funds at a level no less than 50% of what they are spending our PacTrans federal funds at any given time.

Every six months in coordination with submission of our semi-annual project reports, PacTrans staff will perform a budget audit on each project to determine the proportion of PacTrans federal funding that has been spent compared to non-federal match spending. If the match spending falls below 50% of the PacTrans funding spending, the PI will receive a warning. If the match spending remains below 50% of the PacTrans funding spending during the subsequent six-month audit, that PI's budget may be subject to be frozen until the match spending is brought up to an acceptable level.

Due to this match spending requirement, PacTrans highly encourages PIs to make every attempt to get cash match from their match partners, but we also recognize that many times, match funding comes in the form of in-kind match. In-kind match agreements can take many forms that are sometimes problematic with regard to the expectation outlined above. Therefore, PacTrans staff will make every effort to work with the PI during the beginning stages of their respective projects to make sure the PI can communicate our spending needs to their match partners and to make sure the PI remains in good standing with regard to match spending.

PIs should be aware that it is not acceptable to provide a match letter that gives the match partner permission not to provide any amount of match until after the draft technical report has been finished. It is PacTrans policy that match is just that, match, and should be spent at a similar pace to our research funds. In cases where PIs are providing third party, in-kind match, PIs should work out a system for periodic updates that offers their match partner enough transparency that they feel comfortable to provide match funds not just at the end of a project, but throughout the performance period.

Project Oversight - Technical Advisory Committees

We recognize that many of the selected projects have technical advisory committees (TACs) established by external match partners. We encourage PIs to identify and create a TAC in the absence of one. TACs are typically good practice, providing feedback and direction to guide a research project. The TAC may also be a source for peer review of final reports.

Please contact PacTrans staff if assistance is needed in identifying appropriate committee members.

Data Management

As a recipient of a federal grant, PacTrans is required to make, to the extent feasible, all final digitally formatted scientific data resulting from our funded projects publicly accessible for search, retrieval, and analysis barring certain restrictions such as individual privacy, confidentiality, etc. More details about PI submission of this data and our storage procedure can be found in the *Final Report & Data Reporting: Expectation & Process* section below.

For more information, as well as links to documentation and templates, please see the Data Management page on our website here: <http://depts.washington.edu/pactrans/research/data-management/>

Copyright, Journals, and Public Access

Under USDOT's public access plan, they require an express license as a term and condition of our UTC funding agreement. That means that at the time a PI creates a copyrighted work, the Department of Transportation automatically obtains a license right to that work. Therefore, the PI no longer holds exclusivity and therefore cannot give exclusivity to anyone else, including a publisher.

Most publishers know that when they work with the government or a government-funded entity, the PI cannot give away exclusivity, and this has been an issue that they have pushed on a lot of people just because they know that many PIs are not aware of that fact. Some publishers will get the PI to sign a document that says the PI is assigning the publisher exclusive rights. PIs cannot sign that document. The PI must communicate to the publisher that this work was done under funding by the US government and as a result, the PI does not hold exclusive copyrights to it. This is not a matter of the university being obstinate and simply refusing to assign exclusive rights to the publisher, it is the fact that the PI does not have those rights to assign in the first place.

As stated in the public access section of the PacTrans website (<http://depts.washington.edu/pactrans/research/publications-accessibility/>), at the investigator's request, PacTrans staff can request a 12-month embargo from the date of publication. This would allow the journal time to publish and sell its journal before the work is made available to the public.

Finally, if a specific journal or other publication objects to these requirements, please email us at pactrans@uw.edu with the name of the publication and contact information so that it can be reported to the appropriate people at DOT.

No-Cost Extension Requests

The timeline for PacTrans projects is generally 24 months, but based on the PacTrans grant award timeline, some years it is only a 12-month period. If the project cannot be completed within the approved timeline, a formal request for a no-cost time extension must be submitted for approval no later than 2 months before the expiration of the grant term. This is unless otherwise stated in the research project award letter.

PIs must provide a strong, clear, and reasonable justification for the need for an extension. Requesting additional time solely for expending the awarded funds will not be accepted. If it has been more than 3

months since a progress report was submitted for the project, an updated progress report is required with an extension request.

The no-cost extension request template form can be found on the reporting page of the PacTrans website here: <http://depts.washington.edu/pactrans/research/reporting/>

Final Report & Data Reporting: Expectation and Process

In accepting funding from PacTrans, all PIs agree to produce a final deliverable based on the established project scope and deliverables, which summarizes the findings and/or technology transfer activities. PIs are also required to make the data used to produce the final deliverable publicly accessible as outlined in the data management section above.

For all research projects, at least one of the final deliverables will consist of a final technical report or comparable product. The final report should document the research in total, including a complete description of the problem, objectives, approach, methodology, findings, conclusions, recommendations, etc. It should also document all data gathered, analyses performed, and results achieved.

Please use the PacTrans report template when generating your report. The template is intended to provide you with guidelines in terms of content, formatting, and style. It also includes cover page specifications and other essential information. The use of photographs, graphs, charts, and other visuals is highly encouraged to further enrich reports and other associated deliverables.

The PacTrans report template can be found on the reporting page of the PacTrans website here: <http://depts.washington.edu/pactrans/research/reporting/>

A draft final technical report must be submitted to PacTrans no later than 60 days before the official end date of the project performance period. Once the draft final report is received, the report is processed as follows:

1. **Peer review.** PacTrans staff will identify two peer reviewers who will provide comments on the draft final report.
2. **Copy-editing.** Following peer review, a copy editor reviews the report to ensure standard formatting requirements are met and edits for clarity, consistency, and accuracy. If peer review feedback is minimal, copy-editing will take place immediately following. If peer review feedback is extensive, the PI will be asked to address peer reviewer feedback before copy-editing.
3. **Accessibility Check.** PacTrans staff will run the document through an accessibility check for Section 508 compliance (for more information on this, see our website here: <http://depts.washington.edu/pactrans/research/section-508-compliance/>).

4. **Revisions by PI.** PIs are expected to submit the finalized report within 30 days of receiving the copy-edited report.
5. **Publication of report.** The final report will be published in the University of Washington's ResearchWorks PacTrans repository and will also be uploaded to the research project profile page on the PacTrans website here: <http://depts.washington.edu/pactrans/research/>. ResearchWorks will generate a unique permalink URL for each publication, which will not change, even if new versions of the document are uploaded. Given this, we ask that PIs use the publications ResearchWorks URL when sharing their report/paper, as opposed to sending PDF attachments, etc. Sharing the ResearchWorks URL will help PacTrans track views, downloads, and the overall impact of our research. With a DOI, PIs will also have access to Altmetrics for their publications, which provides data on non-traditional citations of research, such as on social media.
6. **Dissemination and promotion.** PacTrans staff will help to disseminate and promote publications through online platforms and are also available to support engagement and outreach activities, as they arise. PacTrans staff is available to help brainstorm outreach methods and activities that best suit your project, for more information on this please see the *Technology Transfer & Outreach Expectation* section below. PacTrans will also submit the publication URL to the TRB TRID database and the USDOT's online National Transportation Library.

As summarized in the *Data Management* section above, all PIs are required to submit their final research dataset, along with corresponding metadata, to PacTrans at the end of their project to be made publicly available unless documented restrictions make dissemination impossible. Whether or not the data set will be made public, PIs are required to submit a metadata worksheet for that final research dataset. This dataset and metadata must be submitted to PacTrans no later than 30 days after PacTrans approves the PI's final technical report. Once the dataset and metadata are received, PacTrans staff will create a profile for that data on the PacTrans collection of the Harvard Dataverse. The Dataverse will generate a unique permalink URL for each publication, which will not change, even if new versions of the document are uploaded. The permalink will be linked to the final technical report and vice versa. The dataset and metadata will also be stored locally and the Dataverse profile will be linked in the project profile on the PacTrans website.

Finally, the USDOT requires that we update and maintain a project information sheet on every project that is funded by our grant. The sheet asks PIs to summarize any outcomes, implementations, and impacts that were generated during the performance period. Once the final technical report has been approved by PacTrans staff, this project information sheet will be emailed to the PI. This project information sheet must be submitted to PacTrans by no later than 30 days after PacTrans approves the PI's final technical report.

Technology Transfer and Outreach Expectations

Researchers supported by the PacTrans are expected to actively participate in the Center's engagement and outreach activities. Each project proposal must include a technology transfer plan that highlights likely outputs, outcomes, and impacts.

Within one month of the beginning of a performance period, PIs are required to submit several materials so that PacTrans staff can generate research briefs on their behalf, which are posted on the research project profiles on the PacTrans website. The materials required include:

1. One photo of you, the PI
2. Two to three high-resolution (300 dpi or better) "project photos": these can be stock photos, photos of lab equipment that will be used, or photos from previous research projects that share the same subject area.
3. One to two paragraphs of background on the subject area
4. One to two paragraphs about the specific research you will be doing in this subject area.

All PacTrans-funded PIs are required to attend and present their work at (at least) one Region 10 Transportation Conference (held each October) during, or just after, the performance period of their project. Project budgets must include researcher time associated with these engagement activities as well as others planned during the project.

PacTrans strongly encourages PIs to present their research to practitioners and policymakers at non-academic conferences and events. PacTrans staff are available to assist PIs in identifying and creating opportunities for connecting their research to practitioners and policymakers in ways not outlined above.

Finally, after each performance period, PacTrans will put out an RFP for what we call *success stories*. This is a supplemental funding opportunity with the goal of moving meaningful research results closer to implementation. Common applications of these funds have included websites, promotional materials, workshops, webinars, manual generation, and even commercialization/patenting of research methods and results. We also encourage PIs to think outside the box and try to identify the most effective way(s) that you can communicate your research findings with the practicing transportation communities that would most benefit from your research results. PacTrans generally awards roughly \$10,000 per project (award ceiling may vary but will be specified in each respective RFP) depending on the nature and merits of the activity(ies) proposed. Please note that all federal UTC funds must be matched 1:1 by a non-federal source. The final deliverables for this funding include access to the product that was generated and a short write-up of how the funds were used and what the outcomes included.

Attributions, Disclaimers, and Identifiers

Our funder requires that funded projects acknowledge U.S.DOT sponsorship and include a disclaimer that releases the US government of any liability (see below). Each publication needs to also include the ORCID for each investigator, who contributed to the project and is included as an author or co-author on the publication.

Attributions

PIs should make proper attribution to PacTrans grant program as a sponsor in presentations, papers, submitted articles, websites, final reports, and other project dissemination. **PacTrans is required to report to USDOT all publications that were produced through this grant and report if projects included a funding attribution.** It is therefore important that PIs acknowledge their funding source. Other acknowledgments may also be included here.

See the following sample statements:

“This project was funded by the Pacific Northwest Transportation Consortium (PacTrans; grant number #####), a U.S. DOT University Transportation Center.”

“Jane Doe would like to acknowledge partial support from the Pacific Northwest Transportation Consortium (PacTrans; grant number #####), a U.S. DOT University Transportation Center, and the National Science Foundation (NSF; Grant number BCS-123456).”

In addition, all dissemination should include the PacTrans logo. A copy of the logo is available below, and several versions can be downloaded from the NITC website.



Disclaimer

Final reports must include the following disclaimer on the inside front cover:

The contents of this report reflect the views of the authors, who are responsible for the facts and the accuracy of the information presented herein. This document is disseminated under the sponsorship of

the U.S. Department of Transportation's University Transportation Centers Program, in the interest of information exchange. The U.S. Government assumes no liability for the contents or use thereof.

This disclaimer is incorporated into the final report template available on the PacTrans website.

ORCID (Open Researcher and Contributor ID)

All PacTrans researchers must have a unique ORCID (Open Researcher and Contributor ID) identification. [ORCID.org](https://orcid.org) provides a registry of persistent unique identifiers for researchers and scholars and automates linkages to research objects such as publications, grants, and patents. Registration is free and takes about 5 minutes. If other researchers are added to a project after its initiation, they are also required to obtain an ORCID.