



**Alaska  
Department of  
Transportation  
and  
Public Facilities**

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**Research  
Development &  
Technology  
Transfer Program  
Manual**

*Effective October 1, 2019*



## Preface

This document applies to the Department's Research, Development & Technology Transfer (RD&T2) program, including experimental and demonstration feature projects, from conception of a project through results implementation. It also applies to the Local Technical Assistance Program and the National Highway Institute program. This document fulfills the requirements set out in 23 CFR 420 and FHWA guidance published in October 2018.

The Department of Transportation and Public Facilities' (DOT&PF) RD&T2 is funded through the Federal Highway Administration's (FHWA) State Planning and Research (SP&R) program, Local Technical Assistance Program (LTAP), Surface Transportation Program (STP), and state matching funds.


The research staff conducts and oversees research projects on behalf of the DOT&PF. Additionally, research staff and technical experts within DOT&PF maintain contact with the national and international transportation research and innovation communities to obtain findings that may apply to Alaska and shares them with DOT&PF staff, local agencies, and the public through publications, training, and other means. Research staff also assist in implementing these findings.

The RD&T2 staff may undertake work using additional state funds or funds from other agencies.

The goal of the RD&T2 program is to support the Department's mission by establishing or improving procedures, techniques, materials, and equipment used by the Department and implement within the Department and local communities.

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# 1. Organization and Management

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## 1.1. Overview

The Research, Development and Technology Transfer program:

- Provides DOT&PF and local governments with the latest technology, materials, and procedures for conducting our business.
- Provides an Alaska specific Transportation research program.
- Assists DOT&PF staff with problem solving by conducting literature searches to identify sources of information to solve a particular problem or developing new design or analysis methods; specifications; and analyzing failures.
- Provides a transportation-based statewide technical training program.
- Provides education and technical assistance outreach to local governments and DOT&PF staff.

We discuss each facet of the program and management of RD&T2 in detail below. Additional information can be found on the **RD&T2 website**:

<http://dot.alaska.gov/stwddes/research/index.shtml>

## 1.2. Research Advisory Board

The Research Advisory Board (RAB) provides research program direction by formulating and approving selection criteria for the upcoming federal fiscal year. The RAB also reviews and ranks Research Needs Statements (RNS) for funding. The RAB includes:

- 1) The chief engineer
- 2) A regional preconstruction chief
- 3) A regional construction chief
- 4) A regional maintenance & operations chief
- 5) FHWA Alaska Division Representative

The three regional members will be appointed by the chief engineer for a four-year term. These positions will represent each region and will rotate through the regions. The Research Program Manager will facilitate the board meeting but is a non-voting

member. For the project selection process, see Chapter 5.

## 1.3. Research Expert Advisors Committee

The Research Expert Advisors Committee (expert advisors) consists of technical subject matter experts from various disciplines within DOT&PF. The Expert Advisors Committee provides input on research needs and acts as a sounding board for new ideas.

The committee consists of DOT&PF representatives from all technical disciplines. The statewide position is responsible to outreach and coordinate with their respective regional counterparts

The committee includes:

- Chief of Bridge/Structures
- Chief of Standards
- Statewide Environmental Manager
- Chief of Materials/Geotechnical/Foundations
- Statewide Pavement Design Engineer
- Chief Program Development and Planning
- Information Systems and Services Division representative
- Division Administration representative
- Regional representatives (3)
- FHWA Division technical representative(s) as determined by Division Administrator

## 1.4. Chief Engineer (Statewide Design and Engineering Services Division Director)

The chief engineer has the following responsibilities in the RD&T2 program:

- Provides direction to the RD&T2 section
- Serves as chair of the Research Advisory Board
- Selects the three regional representatives
- Serves as Procurement officer for research and technology transfer contracts

## 1.5. Program Manager

The Research Program Manager has the following duties and responsibilities in the RD&T2 program (program):

- Develop the annual work plan to submit to the Research Advisory Board for approval.
- Prepare the proposed research work program.
- Prepare and administer the program budgets.
- Ensure that overall program is completed according to work plans and within budgeted amount
- Act as primary point of contact for the research program with the FHWA and regional and national research groups such as TRB, [American Association of State Highway Transportation Officials \(AASHTO\)](#) and University Transportation Centers (UTCs).
- Act as the Department's representative to national research groups.
- Ensure the programs meet the requirements of the Code of Federal Regulations and the Federal Highway Administration and State of Alaska Laws, regulations and policies
- Oversee outreach efforts of technology transfer staff to local communities
- Manage pooled fund studies
- Facilitate tasks associated with the Research Advisory Board
- Facilitate tasks with the Research Expert Advisors Committee
- Manage/lead research project managers and training staff

## 1.6. Research Project Manager

Research project managers have the following duties and responsibilities:

- Solicit, review, and evaluate research needs from DOT&PF employees, universities, and industry and develop those of highest merit for consideration and ranking by the expert advisors for subsequent approval by the Research Advisory Board

- Develop and manage research projects, including: principal investigator selection, budget preparation, setting schedules and contract negotiation and management, and reporting (progress and annual).
- Facilitate technical advisory committee to support and implement research.
- Monitor and review Alaskan, national, and international transportation-related research for relevant and beneficial concepts and conduct outreach to DOT&PF staff as applicable
- Develop and execute statewide research implementation and training plans to improve DOT&PF specifications, policy, and practice related to the planning, design, construction, maintenance, and management of the state's transportation infrastructure. Work with other sections as required for implementation.
- Submit Project progress on required databases – Transportation Research Information Database (TRID) and DOT&PF's Management Reporting System (MRS)

## 1.7. Technology Transfer Center Manager

The Technology Transfer (T2) center manager is in charge of several outreach programs within DOT&PF and to other state, local, and federal agencies by providing state-of-the-art and state-of-the-practice transportation-related training and technology transfer.

The T2 center manager has the following duties and responsibilities:

- Solicit statewide and regional input on training needs from state and local government transportation managers for development of an annual training plan.
- Ensure training is provided in a variety of forms: courses, workshops, seminars, webinars, conferences, hands-on sessions, demonstrations, one-on-one sessions, and via loan-of-training packages
- Provide a transportation information clearinghouse and referral service for all transportation workers in Alaska on a variety of transportation topics



- Establish and maintain a network of contacts with managers in local, state, federal highway agencies, other LTAP/T2 Centers, and with other organizations that have partnering agreements with the LTAP's National Association of Transportation Technology Transfer Centers
- Serve on appropriate national committees working on technology transfer and implementation
- Work with the Research staff to implement the research results related to training and technology transfer.

### 1.8. Training Coordinator

The training coordinator has the following duties and responsibilities:

Seek out appropriate transportation-related training and workshops from other sources  
 Consult T2 client base to identify transportation-related training needs, and to determine the most cost-effective and useful way to meet these needs  
 Assist in developing need-based, long-term training schedules  
 Design training plans and develop curricula for a variety of transportation-related training, and develop associated materials and classroom modules  
 Establish and maintain a network of peer contacts with other LTAP centers with the goal of using them as a training resource and a referral base  
 Track status of training in T2, NHI, and research implementation  
 Update and maintain RD&T2 website for RD&T2 program

### 1.9. Principal Investigator

The principal investigator (PI) may be a DOT&PF employee, university employee, other government agency employee, or a consultant. The PI has the following attributes and responsibilities:

- Must have expertise with the technical area being investigated, the underlying theory, and research techniques

- Must possess technical competence in appropriate fields and be designated in the project proposal
- Must agree to directly manage the research work on a particular project

### 1.10. Research Sponsors, Project Champions and Technical Advisors

A Research Sponsor is an executive level DOT&PF employee who provides ongoing leadership, engagement and commitment to a research project. A Sponsor has authority and control of appropriate resources to implement research results. The Sponsor may also serve as a project Champion and on the Technical Advisory Committee.

A Champion is a technical advisor with responsibility, experience, knowledge, and/or interest in the technical field under investigation by the research project.

Research Champions and other technical advisors have the following duties:

- Work with the Research Project Manager and the PI to develop the Research Needs Statement and, if selected, the project proposal to ensure useful research is conducted
- Attend project site visits, project meetings (status, work sessions, final & conference presentations, etc. ), and offer technical advice and constructive criticism on the project
- Periodically review project work to compare the approach and progress made relative to the stated project objectives, and determine if the research is appropriate and viable
- Review reports and research products to ensure they meet the requirements outlined in the project proposal and that results are in a form useful for meeting the Department's needs
- Work with the project manager to outreach and implement the research results
- Complete Project Evaluation Form at project completion

Sponsors, Champions and Technical Advisors should evaluate whether the duties can be completed as part of existing job duties and if not, work with the

research project manager to include appropriate staff time into the project budget.

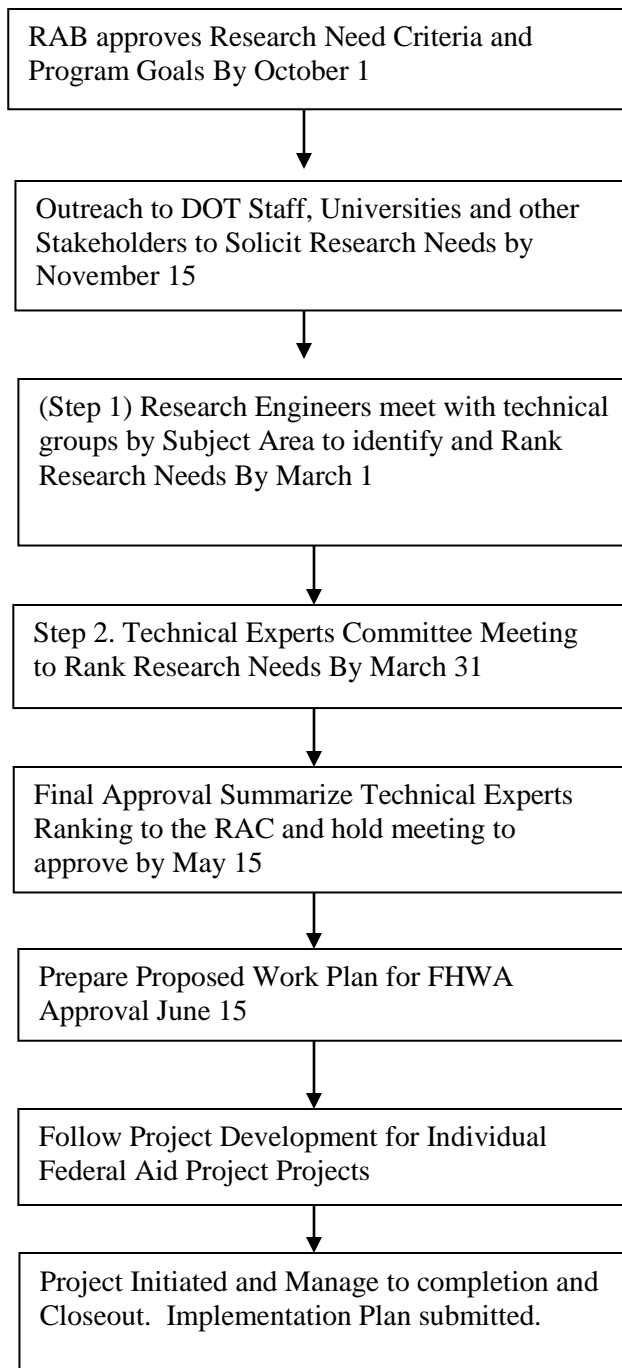
### **1.11. Technical Advisory Committee**

Whenever a research project is large enough to require involvement of more than two technical advisors to ensure successful research, the research project manager will work with the project Champion to establish a technical advisory committee (TAC). For SP&R-funded projects, FHWA is invited to include a staff member to act as a technical advisor. For large projects, several technical advisors may be named and may include representatives from the university and/or private industry. Each member of the TAC is charged with the duties described under Section 1.10., Technical Advisor. Responsibilities of a Technical Advisor are voluntary unless estimate hours of participation are included in the original project budget.

### **1.12. Research Program Process**

The research program flow chart defines the workflow for a research project from proposal to implementation. More information on research needs proposal and selection is in Chapter 5.

## Research Project Selection and Programming Process



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## 2. Work Program and Funding

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### 2.1. Research Work Program

The Research Work Program is the listing of all active research projects, along with the estimated costs and funding sources. The work program will include financial summaries showing the funding levels and federal, state and/or other entity share of that funding. The research program manager will certify that the Department is in full compliance with the requirements of 23 CFR 420.209 and 23 USC 505. See 23 CFR 420.209 for specific language for certification.

Periodically, it may be necessary to add new projects to the Research Work Program without waiting for the annual selection process. The Research Program Manager may make minor amendments to the work program with the Chief Engineer's approval. The FHWA must concur if the additional project(s) is compatible with the existing SP&R Work Program. Minor amendments are changes to the budgets of the approved work program by less than 10 percent of the total or \$100,000, whichever is greater.

### 2.2. Funding & Performance

The Research Program Manager is responsible for the financial management of the research program.

The Research Program Manager will use DOT&PF procedures to ensure research activities are eligible for federal participation per Title 23.

The Research Program Manager tracks projects to ensure that research project managers keep their projects within established budgets, and provide quarterly budget reports to the FHWA Division Research Administrator and annual reports to the RAB on the status of current projects, schedules and budgets.

This annual report covering the federal fiscal year ending September 30 is also submitted to FHWA to comply with regulation below by December 31, of each year. The report contains summary information about each open research project for the federal fiscal year.

23 CFR §420.117, Program monitoring and reporting:

*"In accordance with 49 CFR §18.40, the State DOT shall monitor all activities performed by its staff or by sub recipients with FHWA planning*

*and research funds to assure that the work is being managed and performed satisfactorily and that time schedules are being met.*

*(b) (1) The State DOT shall submit performance and expenditures reports, including a report from each sub recipient that contains as a minimum:*

*(i) Comparison of actual performance with established goals;*

*(ii) Progress in meeting schedules;*

*(iii) Status of expenditures in a format compatible with the work program, including a comparison of budgeted (approved) amounts and actual costs incurred;*

*(iv) Cost overruns or underruns;*

*(v) Approved work program revisions; and*

*(vi) Other pertinent supporting data."*

### 2.3. Local Technical Assistance Program

The annual Local Technical Assistance Program's (LTAP) T2 Center work plan includes activities anticipated during a calendar year, together with the funding resources for the year. The LTAP manager develops the work plan and budget as guided by the National LTAP strategic plan and focus areas. This program follows the LTAP focus areas of Safety, Infrastructure Management and Workforce development. The Chief Engineer and FHWA must both approve the work plan before enacted.

LTAP funding comes from FHWA's national LTAP funding at a 50-50 match ratio. The LTAP manager is responsible for the financial management of the T2 center program. The LTAP manager determines funding availability and prepares an annual proposed work plan and budget for the DOT&PF Division Director and FHWA's approval. Upon approval, the manager implements the work plan. Implementation includes assessing the need for changes to the work plan, tracking expenditures, and ensuring that project funds are spent appropriately.

The LTAP manager also prepares annual reports for submission to FHWA, in the Center Assessment Report (CAR), due January 31 annually.

## **2.4. National Highway Institute Program**

The technology transfer center manager will develop the annual NHI work plan, under direction of the Research Program Manager, on a calendar year basis. Work plan development includes contacting directors and section chiefs to identify and establish training needs. Trainings are made available to DOT&PF staff but can also be made available to outside professionals and LTAP contacts when practical and fees may be associated. The training coordinator is the primary contact with NHI, and is responsible for procuring courses, establishing presentation schedules with the NHI coordinator and the instructor, and developing course flyers. The coordinator is also responsible for procuring an appropriate training location and securing an in-house local coordinator to receive and check shipped NHI training materials. NHI funding is a portion of the annual STP program. The program is funded on a federal fiscal year basis, and operates on a calendar year basis.

## 3. State, National and International Activities

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### 3.1. General

The Research Program Manager is the Department's liaison with state, national and international research programs. These programs include the specific groups and programs described in this chapter as well as others, such as the Strategic Highway Research Program (SHRP) and AASHTO's Special Committee on Research and Innovation (SCRI), and the National Cooperative Highway Research Program.

The Department supports and participates in the [National Cooperative Highway Research Program \(NCHRP\)](#), a joint program of AASHTO and FHWA. The Transportation Research Board (TRB) administers the program. NCHRP, established in 1962, provides a program of systematic, well-designed, applied research projects. Program funding comes entirely from contributions from state transportation agencies. FHWA recommends contributions of 5.5 percent of each state's SP&R allocation of federal highway funds. NCHRP contributions do not require the 20 percent in state matching funds common to other SP&R-funded research activities.

NCHRP projects are developed in a two-stage, two-year process. In the first stage, NCHRP solicits ideas for research projects of a national scale from state representatives. In stage two, these projects are condensed and refined from more than 100 first-stage projects to 50 or more second-stage projects. Next, SCRI members vote to select the projects that will be completed with the available funds.

NCHRP then solicits interest from national experts in the project area to participate as project panel members (AASHTO Council/Committee members, individual DOT employees, as well as other transportation subject matter experts). Finally, the panels develop project statements, solicit proposals, and select research agencies to perform the work. The Research Program Manager is responsible for coordinating NCHRP project submissions and panel participation.

### 3.2. Transportation Research Board

The [Transportation Research Board](#) is a unit of the [National Academies of Sciences, Engineering and Medicine](#). TRB supports and coordinates transportation research activities, publishes research

results of interest to states, and conducts special research projects when appropriate. The Department supports the activities of TRB through annual contributions. TRB manages TRID-database that combined the records from TRB's Transportation Research Information Services (TRIS) Database and the OECD's Joint Transport Research Centre's International Transport Research Documentation (ITRD) Database.

The Department receives electronic copies of all Transportation Research Records and NCHRP reports, literature search services, and waivers of registration fees for DOT&PF attendees at annual TRB meetings.

The Research Program Manager distributes electronic publications internally. TRB maintains a selective distribution system for its publications.

The Research Program Manager is the Department's permanent representative on the TRB.

### 3.3. Transportation Research Information Database

TRID is the Transportation Research Information Database, a computerized information file maintained and operated by the TRB National Research Council. It is sponsored by FHWA, the Federal Transit Administration, National Highway Traffic Safety Administration, U.S. Department of Transportation, the 50 state highway and transportation departments, the District of Columbia and Puerto Rico, American Automobile Manufacturers Association, National Asphalt Pavement Association, U.S. Army Corps of Engineers, and Association of Railroads. TRID provides access to more than one million records of transportation research worldwide.

TRID covers both U.S. and international research.

TRID is a free service for Alaska DOT&PF and all other states that are annual TRB sponsors. Sponsorship occurs via payment of annual membership dues. Research staff is the as contact point for this service.

The research project manager and staff enter information about the DOT&PF's active and completed research into TRID. Research Program Manager submits final reports (PDF) to TRID and other entities listed in Table 6-1, as required by 23 CFR 420.207(a)(4).

### 3.4. State Planning and Research Program

The State Planning and Research (SP&R) Program is the mechanism for funding highway research and planning work. FHWA funds the program by dedicating 2 percent of the annual highway construction funds to SP&R. A minimum of one-quarter of SP&R funds must be spent on Research, Development, and Technology Transfer activities. SP&R funds generally must be matched with state funds in the ratio of 80 percent federal to 20 percent state funds. Some programs funded by SP&R do not require a state match. SP&R projects must be managed in accordance with [23 CFR 420](#).

### 3.5. Federal Highway Administration Direct Research Programs

The Department may participate in projects developed and funded directly by the FHWA. The Research Program Manager recommends participation in these programs to the RAB for their approval. The Technology Transfer manager coordinates project training and seminars for DOT&PF.

### 3.6. Pooled Fund Studies

The Department may participate in pooled fund studies, in which resources from several states or other government agencies, universities, and/or industry sources are combined to support a single research effort. Contributions to such cooperative studies, if they have been approved by the FHWA as part of their national or regional Pooled Fund Study program, do not require the 20 percent in state matching funds common to other SP&R-funded research activities. Proposals for participation in Pooled Fund Studies must come to the Research Advisory Board for approval. The Research Program Manager coordinates nominations for Pooled Fund Studies.

To participate in a pooled fund research project, the DOT&PF's technical representative will submit the Pooled Fund Approval Form to the Research Program Manager. The Research Program Manager submits the batch annually to RAB for their review and approval.

Upon approval, the technical representative will report on progress of the research project annually. When a pooled fund project is complete, the technical representative will submit the Pooled Fund Evaluation Form.

### 3.7. Experimental Features in Highway Construction

This program enables federal highway construction funds to be used for promising but unproven materials, methods, and techniques where such use of federal funds would not normally be allowed. To be eligible for the experimental features program, the work plan for the project must include an evaluation of the experimental feature upon completion of the work. The evaluation plan must be approved by the FHWA prior to or concurrent with approval of the construction project's Plans, Specifications, and Estimate. The project engineer will coordinate during the experimental feature's installation with the research project manager to ensure proper construction and installation of the research feature.

If the experimental feature fails, repair or replacement costs are also eligible for federal-aid funds. This approval occurs during the project's design phase.

The Department supports use of this program to encourage implementation of innovations in highway construction in general, and specifically for full-scale demonstrations of concepts developed in the research program. Construction funding pays the costs of experimental features and post construction evaluation. Long term monitoring is generally set up as an experimental feature research project using SP&R funds and State Match.

The Research and Development staff assists DOT&PF staff in developing evaluation/monitoring plans and coordinating program activities with the FHWA funding evaluation activities that extend beyond the construction phase of a project, and they compile and disseminate project results.

### 3.8. Rapid Research

The Rapid Research Response program supports a portfolio of research projects by rapidly responding to opportunities to improve practices, procedures, and processes within the DOT&PF as they arise and on an ad hoc basis. This is limited to activities that are already covered under another project's NEPA document. The project development of new NEPA for research projects is cost prohibitive. By the nature of research, there is no "digging in dirt".

These projects can also be innovation activities that cost less than \$30,000 to develop and implement. Innovations must be mature in the technology readiness rating provided by FHWA. The rapid



research response program generally includes the following:

- Literature review and reviews of other state practices
- Funds short-term, high priority research projects that provide urgently needed information or address urgent problems.
- Funding is normally less than \$30,000
- Unique and timely research and technology demonstration efforts.
- Policy-related research to address the immediate needs of decision-makers.

Most rapid response projects do not “touch” the ground.

### **3.9. Local Technical Assistance Program**

The Local Technical Assistance Program (LTAP) Centers enable local, townships, cities and towns to improve their roads and bridges by supplying them with a variety of training programs, an information clearinghouse, new and existing technology updates, personalized technical assistance and newsletters.

Through core services, Centers provide access to training and information that may not have otherwise been accessible. Centers are able to provide local road departments with workforce development services; resources to enhance safety and security; solutions to environmental, congestion, capacity and other issues, technical publications, training videos and materials. Three cores services are external Safety, Infrastructure Management and Workforce Development.

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## 4. Research Project Selection Procedures

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### 4.1. Solicitation of Research Needs Statements

Except as noted in Section 3.0, Research and Development staff develop research projects from Research Needs Statements (RNS). The Research staff solicit RNSs bi-annually from DOT&PF staff and other stakeholders via the Expert Advisors Committee. RNSs are accepted (solicited or unsolicited) at any time and held until the official selection process and ranking by the Expert Advisors' Committee and eventual approval by the RAB. If there is additional funding available, research staff will formally solicit RNS as needed.

The RNS form is shown as Figure 4-1 and is located within the RD&T2 website directory at: <http://www.dot.state.ak.us/stwddes/research/research.html>.

Research and Development staff review the RNSs and reject statements that are inconsistent with the mission of the Department or are inappropriate for the funding sources available. Staff investigate problems for which solutions may already exist by conducting literature searches or interviewing outside experts. Research and Development staff may expand or combine the remaining RNSs as appropriate and determine whether any RNSs from the prior years should be reconsidered.

RNS are organized according to the following discipline:

- Administration & Policy
- Bridge & Structures
- Environmental
- Hydraulics & Hydrology
- Maintenance & Operations
- Material & Construction
- Safety & Traffic

### 4.2. Expert Advisors' Committee

The Research Program Manager will facilitate the Expert Advisors' Committee meeting. The RNS Champions or Research project manager presents the Research Need to the group. The Subject Matter

Expert included in the Research Selection Committee will score the RNSs based on the Research Needs Scoring Criteria as shown in Figure 4-2. Only the top three to four RNSs for each the following areas: Materials including pavement; Bridge and Safety. The other areas will have their top 1 or 2 presented to the RAB.

### 4.3. RAB Prioritization of Research Needs Statements


At least three weeks prior to the board meeting, the Research Program Manager distributes the compiled Research Needs Statements and scores from the Expert Advisors Committee to the RAB. The RAB is responsible for reviewing the statements prior to the board meeting.

The Research Program Manager will present all of the RNSs with opportunities for each RNS Champion and Sponsors and the Expert Advisor Committee to respond to any questions from the board. The RAB members will then score and rank the RNSs, according to the criteria in Figure 4-2.

In addition to ranking the Research Needs Statements, the board may:

1. Add or remove Research Need Statements from consideration
2. Alter Research Need Statements and return
3. Make recommendations to Statewide Research regarding scope, investigators, schedules, budgets, or other matters pertinent to the research needs.

Figure 4-1  
Research Needs Statement Form

Alaska DOT&PF Research, Development, and Technology Transfer Research, Development, & T2 Needs Statement (This is not a Research Proposal)	
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**Title:** [Needed for first step]

**DOT&PF Project Champion(s):**

**Describe the Problem to be Solved:** [Needed for first step]

**Why does DOT&PF Need to Solve the Problem:** [Needed for first step]

**What are the Economic Benefits? Cost/Benefit Ratio**

**Implementation Product and Follow-on Activities (add if this is National Research):**

**Why is this Project Innovative?**

**Estimated Funding Requirements & Support:**

Estimated cost:

Matching funds or In-Kind Services/Source?

Estimated time of completion:

Submitted by: [Needed for Step 1]	Date:
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**For Additional Information:**

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## **Guidelines for Developing Effective Research, Development, & T2 Need Statements**

### **General:**

- Complete as much as possible.
- Be concise.
- Keep the need statement to less than 3 pages.

**Title:** Provide a brief, but descriptive title. The research statement title should briefly and immediately convey to the reader what the proposed study is about.

**DOT&PF Project Champion(s) and supporting organization if known:** Person(s) necessary to support, assist & implement the project.

**Problem Statement & Background:** Briefly describe the urgency of the problem in terms of DOT&PF's strategic objectives & goals. Use this section to convince the reviewer that the research statement addresses a serious issue and merits funding. It should set the context and relate the particular issue to DOT&PF's strategic goals and objectives.

**Describe the Problem to be Solved and Abstract:** Describe in very brief terms what the expected product and/or outcome of this effort will be. The objective should be short, concise, and accurate. The abstract includes a concise description of the study objectives, proposed research approach and any other pertinent information. The details will be in the project plan and reflected in the final product.

**Expected Benefits:** Briefly discuss the cost benefit of the project and describe the consequences of not solving the problem. Quantify the cost/benefit ratio for this project. Projects with a higher cost benefit will receive more points during the scoring process. Benefits may include regulatory compliance, likelihood of improving safety, improvement in environmental compliance, etc.

**Follow-on and Implementation Activities:** Describe the most logical plan for implementing the expected results.

**Estimated Funding Requirements & Support:** Provide a reasonable estimate of project costs and the estimated time for completion. Include an information about matching funds or in-kind services.

**Equipment:** Identify any equipment needed costing over \$5000.

**Submitted by:** Provide the name of the individual, section, division, or group(s) developing the research need statement.



**Research Project Selection Criterion**

STANDARDS	POINTS		
	(5)	(3)	(0)
Current Department Need and corresponds with Department's strategic plan.  Weight = 5	Addresses a pressing statewide need.	Addresses a moderate statewide need or a regional need	No need
Economic benefits following project completion Cost/Benefit  Weight = 5	Supports significant new, identifiable, permanent economic opportunities or benefits statewide (C/B>1)	Supports moderate new identifiable, permanent economic opportunities or benefits of regional or local scope (C/B=1)	Supports minimal speculative or temporary economic opportunities or benefits or provides non-crucial benefits (CB<1)
Potential for implementation or "Alaskanize" completed federal research products/projects.  Weight = 5	Implementation Deliverables identified in the problem statement	Implementation concept identified but no actual deliverable	No implementation deliverables identified or referenced
Innovation  Weight = 2	Project exhibits significant innovation, creativity or unique benefits.	Project exhibits moderate innovation, creativity or unique benefits	Project exhibits no innovation creativity or unique benefits
Other Funding Available  Weight = 2	>50% match	<50%-0%*  *1 point for each 10% of match	No Match

**Figure 4-2**  
**Research Need Statement Scoring Criteria**

**Each question is scored depending using the criteria below. Higher Points are given to project that closely align with the criteria.**

- 1) Is the research a current DOT&PF need and does it correspond with DOT&PF's strategic plan?
- 2) Does the research need have economic benefits following project completion with a quantifiable cost/benefit ratio? Benefits include regulatory compliance, likelihood of improving safety, improvement of environmental compliance, etc.
- 3) Does the research have potential for implementation or does it "Alaskanize" completed federal research products /projects?
- 4) Is the research innovative?
- 5) Does the research need have university, multi-agency or local community financial support?

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## 5. Research Project Procedures

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### 5.1. Proposal Preparation Requirements

The research program manager assigns projects to research project managers. The project manager first decides whether to do the project in-house or to outsource it. If outside the DOT&PF, then they prepare an estimate and ask the researching agency for a proposal prior to drafting the Reimbursable Services Agreement or a Professional Services Agreement.

### 5.2. University of Alaska System

House Bill 72 in 2015, [http://www.legis.state.ak.us/basis/get\\_bill\\_text.asp?hsid=HB0072Z&session=29](http://www.legis.state.ak.us/basis/get_bill_text.asp?hsid=HB0072Z&session=29) requests that agencies consider the University of Alaska to fulfill their research project needs.

Part of the DOT&PF's research program Mission is to promote local, Alaska research at our universities. This will be the first place considered. However, the university has to show they have expertise since the research must be done by the most qualified organization. The researchers must have completed projects in the past without issue. Reimbursable Services Agreement (RSA) are the means to contract with other State Agencies including the University of Alaska. All RSAs are administered through the RSA desk at DOT&PF.

### 5.3. Other Universities and Private Sector

Research projects funded by the federal government are exempt from State of Alaska Procurement per AS 36.30.850(b)(19) <http://www.legis.state.ak.us/basis/statutes.asp#36.30.850>. If it's outsourced, the manager may prepare a Request for Proposal (RFP) or select a vendor based on their expertise and ability to complete the work. The project manager must prepare an independent estimate prior to requesting any proposals. The proposal is forwarded to the Research Program Manager for review and approval. The project manager then negotiates the final proposal, prepares the contract, and forwards it to the contracting officer (chief engineer) for signature.

A principal investigator who has not completed prior research projects in a timely manner or has not produced acceptable products in the past is not

eligible to participate in additional research projects until all prior research projects are completed or problems in previous work products are corrected.

If the Research Project Manager chooses to use another state agency or university, an administrative contract or a Professional Services Agreement must be prepared and approved (signed) before any work may take place.

### 5.4. Administrative or Professional Services Contract, MOA, RSA Negotiations

The research Champion will review scope of work before the contract or RSA is awarded.

Professional services or contracts for supplies or services for research projects funded by money received from the federal government or private grants are exempt from following the State of Alaska procurement code as described in AS 36.30.850(b)1 and in 49 CFR.

Both federal and state funded research contracts are reviewed by DOT&PF's contract section and are approved by a Procurement Office. By following this established process the research contracts comply with the nondiscriminatory provisions of 23 CFR 200 with respect to Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987. The contract section also makes sure all research contracts are compliant with the disadvantage business enterprises (DBE) requirements under section 1001(b) of the Transportation Equity Act for the 21<sup>st</sup> Century and 49 CFR Part 26.

### 5.5. Research Project Reporting

Research reports are the primary record of the development, investigative procedures, and the findings in a project. Final reports are required for all research projects. Other reports described in this section may or may not be required as determined by the research project manager.

The purpose of reports is to monitor the progress of a project, maintain coordination among the PI, technical advisors and project managers, as well as communicate the findings to the Department. Clear and concise communication is essential to:

- Ensure that readers understand the material
- Maintain administrative and financial records for documentation of contracts and agreements
- Ensure that the research work is consistent with the research study proposal, and that project changes are documented
- Provide timely disclosure of significant scientific or technical advancements and to identify problems that may require assistance from the Department or participating agency to resolve
- Provide final documentation of technical findings
- Promote implementation of study results

## 5.6. Progress Reports

The Principle Investigator submits, at a minimum, quarterly reports to the research project manager. The research project manager submits monthly progress reports to the Research Program Manager via MRS. These reports allow readers to quickly evaluate the progress, any problems, and probable future direction of a project.

The Research Program Manager submits a quarterly spreadsheet from MRS for SP&R studies to FHWA as required per CFR 23 Section 420.117

## 5.7. Interim Project Report

The interim project report disseminates the findings of a distinct task in a research project approximately halfway through the schedule. Generally, the need for an interim project report is anticipated and is included in the scope of work in the project proposal. If significant unexpected or early findings occur during the course of conducting research, amend the proposal to add an interim report to the scope of work.

The interim report format will vary depending on the information. Generally, it will follow the guidelines given in the following section for final reports, but may be abbreviated as the research project manager deems appropriate. The interim reports must be reviewed by a professional editor prior to submission to DOT&PF Research staff. Reports with 3 or more grammatical errors will be returned to the PI for correction and resubmittal for review.

## 5.8. Final Report

The final report is a major product of a research project, and the principal investigator is typically its author. The report should include a one-page executive summary not to exceed one page. The final report is a complete record of the project, providing a history of the study and a thorough description of the objectives and research methods. The report should be no longer than 50 pages unless waived by the research project manager. The appendix can include all additional project data, backup, and further discussions to support the research report and findings. Clearly and concisely write in active voice the conclusions, implementation recommendations, application of the findings, and when appropriate, identify further research needs.

Final reports must acknowledge sponsorship by DOT&PF and other funding agencies, such as the FHWA for all SP&R studies. All reports must contain a disclaimer stating that the information is the opinion of the author(s) and does not represent the views of the sponsoring agencies. Further information regarding the final report format can be found on the DOT&PF RD&T2 website.

Submit the final report first in draft for DOT&PF review and acceptance. As a minimum, the documentation must include the data collected, analyses performed, conclusions, and recommendations. The draft final report must be reviewed by a professional editor prior to submission to DOT&PF. Reports with 3 or more grammatical errors will be returned to the PI for correction and resubmittal for review.

The Principle investigator must review final reports prior to publication to ensure they are technically and grammatically correct, meet the goals of the proposal, and provide the best available information and conclusions in an understandable and usable format. The research project manager and technical advisors are responsible for reviewing draft reports and providing constructive feedback. The research project manager coordinates the report review assignments and schedule. The normal review and response time is 30 calendar days and this should be accounted for in the PI's project schedule. Written review comments must be transmitted to the authors within the 30-day review period. The principal investigator(s) must attempt to incorporate review recommendations into the report. If this is not possible, the principal investigator(s) may address the comments by separate

correspondence. The research project manager is responsible to make sure comments are incorporated or communicated why they are not.

Once the review process is complete, the principal investigator produces a clean original and an electronic version in a mutually agreed-upon format of the report for the research program manager. Final reports for SP&R studies must include a title cover page, a completed Federal Technical Report Documentation Page (Form 298) immediately inside the cover. A copy of this form and instructions are shown in Figure 5-1. The form 298 is followed by standard federal disclaimer language and required units conversion table.

All final research reports from projects funded by FHWA needs to be send in PDF form to the entities listed in Table 5-1.

## **5.9. Evaluation**

The research project manager will provide constructive feedback for Principle Investigators throughout the project at progress meetings and report reviews. At the end of the project, TAC members are asked to complete a project evaluation form or are asked for general feedback to provide to the PI. The research project manager will compile all feedback/forms and provide them to the PI and University Dean or Manager if requested.

**Figure 5-1  
Technical Report Documentation Page**

<b>REPORT DOCUMENTATION PAGE</b>			Form approved OMB No.
Public reporting for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing this burden to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-1833), Washington, DC 20503			
1. AGENCY USE ONLY (LEAVE BLANK)  {Insert 7 digit federal project number}	2. REPORT DATE	3. REPORT TYPE AND DATES COVERED	
4. TITLE AND SUBTITLE		5. FUNDING NUMBERS	
6. AUTHOR(S)			
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)		8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)  State of Alaska, Alaska Dept. of Transportation and Public Facilities Research, Development and Technology Transfer 2301 Peger Rd Fairbanks, AK 99709-5399		10. SPONSORING/MONITORING AGENCY REPORT NUMBER  {Insert 7 digit federal project number}	
11. SUPPLEMENTARY NOTES  Performed in cooperation with .....			
12a. DISTRIBUTION / AVAILABILITY STATEMENT  No restrictions		12b. DISTRIBUTION CODE	
13. ABSTRACT (Maximum 200 words)			
14. KEYWORDS :			15. NUMBER OF PAGES
			16. PRICE CODE  N/A
17. SECURITY CLASSIFICATION OF REPORT  Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE  Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT  Unclassified	20. LIMITATION OF ABSTRACT  N/A

STANDARD FORM 298 (Rev. 2-98) Prescribed by ANSI Std. Z39-18 298-102

Final reports for other studies must include an abstract.

## **5.10. Publication and Distribution**

The Research, Development and Technology Transfer staff may publish and distribute final research reports, or the university staff or consultants may do so as part of the project agreement. Occasionally studies may not reach meaningful conclusions, and reports on such studies may not justify full distribution. Limited report distributions require the concurrence of the funding agency (generally the FHWA). Distribution must occur, as a minimum, in accordance with the list in Table 5-1. Reports are also available on the DOT&PF Web page:

<http://www.dot.alaska.gov/stwddes/research/index.shtml> and click on AK DOT&PF Research Reports – Search.

## **5.11. Presentation of Findings**

Presentation of findings is defined as publications online, seminars, presentation at conference, poster sessions, webinars, and workshops. If the findings of a report are of widespread interest, the Principal Investigator may present the findings prior to final report publication only after receiving approval from the DOT&PF Research Project Manager. The project manager or Research Program Manager may request presentation(s) of the report and findings directly to DOT&PF staff. Audiences may range from selected invited specialists to the public.

If a project proposer believes that the research results will be appropriate for general presentation, he or she should include the presentation in the original project proposal. Otherwise, presentations may be recommended as an implementation measure at the conclusion of a study (see Chapter 7).

**Table 5-1**  
**Mandatory Distribution List for Published Reports**

Prepared in accordance with FHWA guidelines under 23 CFE Part 420 Subpart B and in accordance with the Revised SPR Report Distribution Guidance

*\*ELECTRONIC COPIES if file is too big send via CD, flash drive or other common media or direct weblinks*

<b>Recipient</b>	<b>Address</b>	
FHWA	FHWA's local contact - Alaska Division's Research Contract.	1
	FHWA Research Librarian FHWA Research Library 6300 Georgetown Pike; McLean, VA 22101-2296 <a href="mailto:fhwalibrary@dot.gov">fhwalibrary@dot.gov</a>	
	Office of Corporate Research, Technology and Innovation Management Federal Highway Administration, HRTM-10 Turner-Fairbank Highway Research Center, Room T-305 6300 Georgetown Pike; McLean, Virginia 22101-2296 <a href="mailto:John.moulden@dot.gov">John.moulden@dot.gov</a>	1
NTIS	National Transportation Information Service 5301 Shawnee Rd.; Alexandria, VA 22312 <a href="mailto:input@ntis.gov">input@ntis.gov</a>	1
NTL	National Transportation Library <a href="mailto:NTLDigitalSubmissions@dot.gov">NTLDigitalSubmissions@dot.gov</a>	1
TRID	Transportation Research Board Library <a href="https://trid.trb.org/submit">https://trid.trb.org/submit</a> Transportation Research Board Library, (TRID) 500 Fifth Street Washington, DC 20001	1
NWU	Transportation Library, Northwestern University Attn. Robert Sarmiento 1935 Sheridan Road, Evanston, IL 60208 <a href="mailto:r-sarmiento@northwestern.edu">r-sarmiento@northwestern.edu</a>	1
AUTH	Electronic Copy to each author	1ea
DOT&PF	Electronic Copy Alaska DOT&PF Technical Advisory Group members	1ea
LIB	<a href="mailto:asl@alaska.gov">asl@alaska.gov</a> Megan Kearney Alaska State Library, Attn: 465-6332 , Government Publications, PO Box 110571; Juneau AK 99811-0571	1

## 6. Research Implementation

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### 6.1. General

The main goal of the Department's research program is to implement successful research results or incorporate them into standard practice through the RD&T2 staff.

RD&T2 staff stay informed of research outside the Department and recommend implementation of others' research as warranted. In addition, the research project manager coordinates implementation of research results from:

- Experimental features built as part of construction projects
- Projects conducted by other State of Alaska agencies or local governments
- Projects conducted by other states, federal agencies, or foreign governments
- Projects conducted by the private sector, following all copyright and patent laws

Implementation should be considered from the inception of a project. Identify and contact potential users of the research results, and consider them for appointment as technical advisors. Potential users should be involved throughout the project.

### 6.2. Implementation Recommendations

Within three months of the conclusion of a research project (or earlier if preliminary results warrant), the project manager and technical advisor(s) prepare a plan. These recommendations may be an endorsement of recommendations made in the project final report, if the recommendations include adequate implementation measures. They can also use the implementation Evaluation form to track implementation activities.

When considering implementation recommendations, the project manager and technical advisor(s) should ask and answer these questions:

- What are the "products" expected from this research? For example a proposed specification, a design manual or guide, field or laboratory procedures, a training manual, hardware for demonstration, software and

instructions ready for computer application, equipment, etc.

- How and where can findings be applied within the DOT&PF? Who is the audience or "market" for this product?
- Will findings require the revision of existing methods or the issuance of new specifications, standards, designs, or procedures?
- Will the implementation of the findings be economically justifiable to the Department?
- Will implementation of the findings improve service to the citizens of the State of Alaska?

### 6.3. Implementation Techniques

There are a number of techniques available to implement new research findings. Here are a few examples:

*Production and distribution of reports.* Reports have the advantage of reaching large numbers of people at a relatively low cost. However, due to the large volume of reports circulated today, it is difficult for practitioners to separate useful information. Therefore, the project manager must ensure that the information presented in a report is clear and concise.

*Seminars* provide a ready means to disseminate information to relatively large groups, and they provide two-way communication between the user and the researcher. Managers need not wait until the completion of a project to present seminars.

*The DOT&PF's Transportation Technology Transfer Program (T2)* can help develop workshops, webinars, trainings and tech briefs to train people to use new techniques and products that have been developed through the Statewide Research program.

T2 also circulates *Technology for Alaskan Transportation*, a newsletter with a distribution of more than 2,000. It may be used to inform readers of the initiation of a project, developments, or results. It may also be used disseminate information about national or international research.

The FHWA's *Experimental Features Program* allows the state to incorporate new ideas into a federally funded highway construction project. If the idea fails, FHWA will participate in the reconstruction of that feature. Where new equipment is required, a project to purchase and demonstrate the equipment may be appropriate.

If newly developed techniques are difficult, the project manager may be required to *work directly with individuals* to demonstrate and teach them new procedures. While this may be time consuming, it may be one of the most effective means of implementation.

*Suggest a change in Department policy and procedures.* The research project manager must work with the appropriate DOT&PF staff to ensure that the change is made through the proper channels.



## 7. Program Evaluation

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### 7.1. Project Evaluation

At the completion of a project, the project manager evaluates in writing the performance of the researcher(s), and sends a copy of the evaluation to the principal investigator. If the principal investigator rebuts the evaluation, the project manager must reconcile factual disputes before finalizing the evaluation. For Professional Services Agreements (PSA), the *Alaska PSA Manual* requirements apply.

### 7.2. Evaluation of Implementation

Statewide Research will monitor implementation efforts for three years following completion of a research project and document those efforts in the project file. Monitoring is not necessary if there was no recommended implementation action (that is, if research results were negative) and may be suspended sooner if implementation has reached a clear completion point, such as adoption of a new standard test method.

### 7.3. External Program Evaluation (Peer Review)

Statewide Research program manager conducts peer reviews of the program periodically as required by 23 CFR 420.207(b). The most recent review was conducted in May of 2016.

Peer review teams consist of individuals from outside Alaska and include at least two members selected from the FHWA list of peer reviewers. Other members may be from the FHWA, universities, the Transportation Research Board, research units from other state departments of transportation, and the private sector.

Statewide Research staff assists the peer review team by providing information and documentation, and by paying for costs associated with the review, including team members' travel to Alaska. These expenses are entered as a line item in the SP&R Work Program and are eligible for 100 percent federal funding. The Peer exchange activities are documented in a draft report that is forwarded to the peer review team. The peer review team provides the Research Program Manager with comments and the Research Program Manager finalizes the report. This includes the Research Program Manager responses to the peer review comments. A final copy of the report is forwarded to

the FHWA Division Administrator and Research Liaison as well as included on the RD&T2 website.

Statewide Research also assists other states by participating as members of peer review teams, if the staff can accommodate the work around scheduling and staffing constraints.

### 7.4. Program Evaluation and Performance Measures

23 CFR 420 includes requirements for Research programs, Figure 7-1 provides a comprehensive list of federal program requirements and its corresponding location in these Standard Operating Procedure.

The section uses Performance Measures as developed by the Department's Result Based Alignment to determine the effectiveness of the RD&T2 program.

### 7.5. FHWA Approval Authority

Per October 13, 2018 guidance, FHWA Division office approves project funding however the FHWA Division office waives additional approval and delegates to DOT&PF to approve the following activities:

- Minor changes in scope or objectives since this is the nature of research
- Changes of key personnel in the research projects
- Contracting or subcontracting research services
- Final report publication
- Equipment needed.

Figure 7-1: 23 Code of Federal Regulations Requirements

Relevant Alaska DOT&PF Research Manual Section	23 CFR Requirements					Content
	Part	Section	Subsection	Paragraph	Subparagraph	
1.11	420	205	h			ENCOURAGED to utilize FHWA resources/expertise/participation
2	420	207	a			Work program <b>MUST</b> describe at least: 1. RD&T activities for the period, 2. estimated costs for each activity, and 3. description of cooperative activities, incl. pooled fund & NCHRP
2.1	420	207	a			Work program <b>SHOULD</b> include 4. List of the major items, with a cost estimate for each item, and 5. any previously funded study whose final report is not complete
2.1	420	207	b			Work program <b>MUST</b> include: 6. Financial summaries for each RD&T activity showing funding levels and share (Fed/State/Other) by program year
2.1	420	209	c			Each work program <b>MUST</b> include certification that the State is in full compliance.
2.2	420	113				SP&R Eligibility
2.2	420	117				SP&R Program monitoring & reporting
2.2	420	209	a	3		<b>MUST</b> have procedures to track program activities, schedules, accomplishments and fiscal commitments
3.1	420	205	d			ENCOURAGED: Pooled Fund, TRB, NCHRP, etc
3.3	420	209	a	4		<b>MUST</b> support/use TRIS db for pgm dev, reporting RD&T & final report info
3.4	420	107				SP&R minimum expenditure on RD&TT
3.4	420	115				SP&R Approval & Authorization
3.4	420	119				SP&R Fiscal requirements
3.4	420	121				SP&R Other requirements
3.4	420	205	g			States <b>MUST</b> develop & use a mgmt process for effective use of FHWA RD&T funds statewide
3.4	420	209	a	2		<b>MUST</b> use all the FHWA RD&T funds to max extent possible
3.5	420	205	h			ENCOURAGED to utilize FHWA resources/expertise/participation
4	420	209	a	1		<b>MUST</b> have interactive process to ID/prioritize RD&T activities for work program
4	420	209	a			Mgmt process to ID & implement RD&T activities to address high priority transpo issues is a <b>MUST</b>
5	420	209	a	6		<b>MUST</b> document RD&T activities with final reports, including AT LEAST: A. data collected, B. analyses performed, C. conclusions, and D. recommendations
7	420	209	a	5		<b>MUST</b> have procedures to: A. Determine effectiveness of mgmt process in implementing the RD&T program, B. determining the utilization of State's RD&T outputs, and C. facilitating periodic peer exchanges
7.2	420	209	a	6		State <b>MUST</b> actively implement appropriate research findings
7.3	420	205	b			State DOTs <b>MUST</b> provide info for Peer Exchanges
7.3	420	209	a	7		* <b>MUST</b> participate in periodic peer exchanges of own & other States' RD&T programs, * <b>MUST</b> provide team with information and documentation required, * <b>MUST</b> prepare written report of peer exchange
7.4	420	209	a	6		State <b>SHOULD</b> document benefits of research findings implemented
2	420	209	b			Documentation of mgmt process, RD&T activity selection process, and significant changes to mgmt process <b>MUST</b> be submitted to FHWA Division for approval.
N/A	420	103				SP&R Definitions
N/A	420	105				SP&R Policy
N/A	420	111				SP&R Documentation reqmts
N/A	420	205				RD&TT Program Mgmt - Policy
N/A	420	205	c			State DOTs are encouraged to... anticipate and address transportation concerns before they become critical problems.
N/A	420	205	e			Flexibility to States
N/A	420	205	f			States primarily responsible to manage program
N/A	420	207	b			Work program <b>ENCOURAGED</b> to include: any RD&T activity funded 100% with State or other funds, for information purposes
N/A	420	207	c			See 420.115 for work program approval procedures
N/A	420	209	d			Periodic Division review
N/A	420					SP&R Admin

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