



U.S. Department
of Transportation

Office of the Assistant Secretary for Research & Technology

HBCU & MSI Briefing

June 2, 2022

- ❑ Introductions – Dawn Tucker-Thomas, Grants Manager, University Transportation Centers Program
- ❑ Welcome – Dr. Firas Ibrahim, Director, Office of Research, Development & Technology
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 - ❑ Caesar Singh, Director, University Transportation Centers Program
 - ❑ Amy Stearns, Grants Manager
 - ❑ Dawn Tucker-Thomas, Grants Manager



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Discussion on Advancing Equity in Transportation

Irene Marion, Director

Departmental Office of Civil Rights



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Discussion on Tribal Colleges & Universities

Arlando Teller, Deputy Assistant Secretary for Tribal Affairs



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Advancing Transportation Research

Dr. Robert C. Hampshire

Deputy Assistant Secretary for Research & Technology

University Transportation Centers (UTC) Program FY 2022 Notice of Funding Opportunity

Caesar Singh, UTC Program

Amy Stearns, UTC Program

Dawn Tucker-Thomas, UTC Program

- ❑ UTC Program NOFO Briefing
 - ❑ UTC Program: Legislative Overview
 - ❑ UTC Grant Competition: Timeline
 - ❑ UTC Grant Competition: Eligibility
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UTC Program: Legislative Overview

Infrastructure Investment and Jobs Act (IIJA; P.L. 117-58, November 15, 2021) known as Bipartisan Infrastructure Law

- Reauthorized the UTC Program and authorizes \$90 million per year from FY 2022 to FY 2026
 - Transportation Secretary must make grants available to eligible recipients to establish and operate UTCs
- UTCs will be selected by the Secretary, in consultation with the heads of the operating administrations of the US DOT, as appropriate (49 U.S.C. § 5505(b)(4)(B) as amended by P. L. 117-58, Sec. 25017)



UTC Program Purpose and Center Objectives

Advance transportation expertise and technology through research, education and workforce development, and technology transfer

Provide a critical multimodal transportation knowledge base outside the USDOT

Address vital workforce needs and educate the next generation of transportation leaders

Statutory Research Priorities

"I am inspired by the cutting-edge transportation technologies our UTCs are developing," ~ Secretary Buttigieg



UTCs must support **surface transportation** through the following US DOT statutory research priorities:

- Improving Mobility of People and Goods
- Reducing Congestion
- Promoting Safety
- Improving the Durability & Extending the Life of Transportation Infrastructure
- Preserving the Environment
- Preserving the Existing Transportation System
- **Reducing Transportation Cybersecurity Risks (NEW)**

See 49 U.S.C. § 6503(c)(1) as amended by the IIJA, Sec. 25014

Relationship to Administration & USDOT Efforts

- **USDOT Strategic Planning and Innovation Efforts**
 - FY 2022 – 2026 USDOT Strategic Plan
 - FY 2022 – 2026 Research, Development & Technology Strategic Plan
 - USDOT Equity Action Plan
 - USDOT Innovation Principles
 - National Roadway Safety Strategy
- **Executive Orders and Presidential Memoranda**
 - Advancing Racial Equity and Support Underserved Communities Through the Federal government
 - Tackling the Climate Crisis at Home and Abroad
 - Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidence-Based Policymaking
 - National Security Presidential Memorandum No. 33
 - *Leveraging Federal Research & Development in Support of Domestic Manufacturing and U.S. Jobs* (White House priority effort currently underdevelopment to ensure federal investment in R&D leads to increased domestic manufacturing)

U.S. DOT'S MISSION

To deliver the world's leading transportation system, serving the American people and economy through the safe, efficient, sustainable, and equitable movement of people and goods.

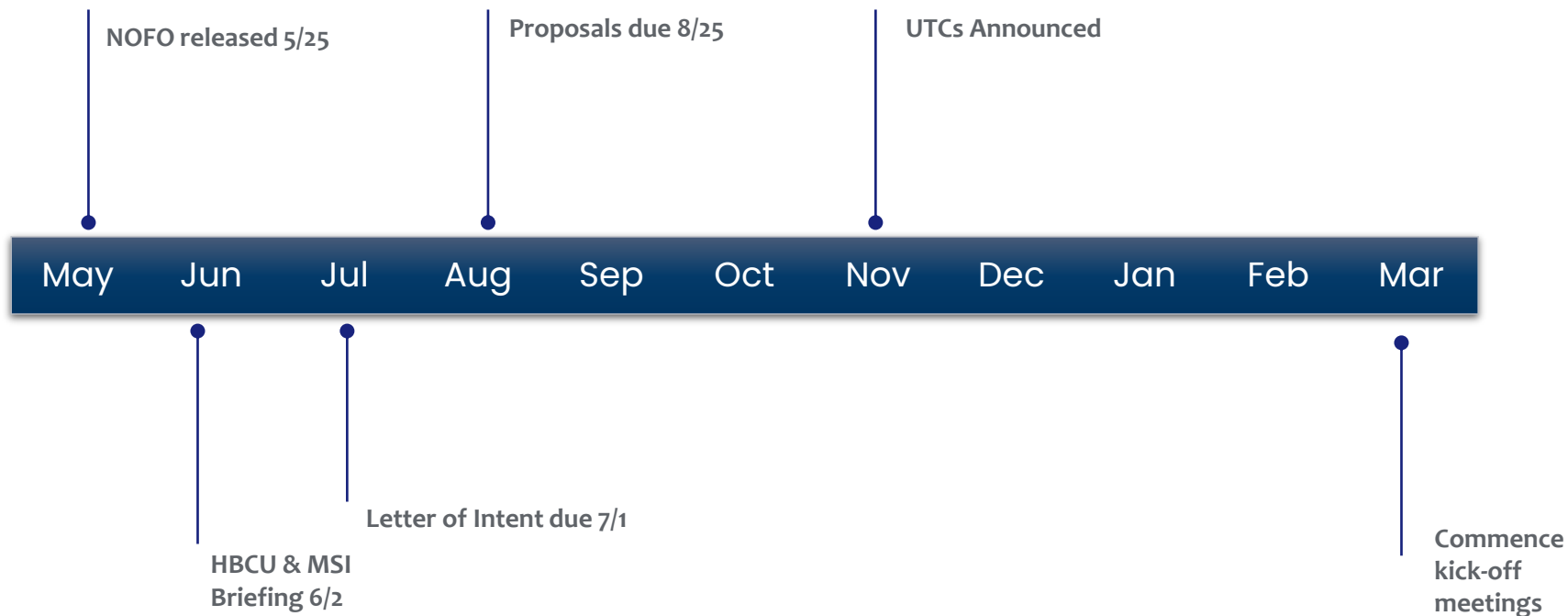




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UTC Grant Competition: Timeline

Timeline





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UTC Grant Competition: Eligibility

Eligibility recipients

- Only U.S. non-profit institutions of higher education
 - Non-profit institutions of higher education may include qualifying two-year institutions that meet the requirements of 20 U.S.C. § 1001(a)

NOTE: Any application submitted by or including in its consortium an entity other than a U.S. non-profit institution of higher education will not be considered for selection

- A UTC must be a consortium of two or more non-profit institutions of higher education led by one lead institution, all located in the United States or its territories (49 U.S.C. § 5505(b)(1))

Minority Institutions

Minority institutions are encouraged to apply for UTC grants

49 U.S.C. § 5505(c)(4)(C) states:

“In awarding grants under this section, consideration shall be given to minority institutions, as defined by section 365 of the Higher Education Act of 1965 (20 U.S.C. § 1067k), or consortia that include such institutions that have demonstrated an ability in transportation-related research.”

Minority institution is defined as an institution of higher education whose enrollment of a single minority or a combination of minorities exceeds 50 percent of the total enrollment (see Section 365 of the Higher Education Act of 1965)

Minority is limited to American Indian, Alaskan Native, Black (not of Hispanic origin), Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin), Pacific Islander or other ethnic group underrepresented in science and engineering



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UTC Grant Competition: Funding

Infrastructure Investment and Jobs Act (IIJA, sec. 11101(c)(1)(E)) authorizes funding for up to 35 competitive grants:

- \$90 million for Fiscal Year 2022 (FY 2022)
- \$90 million for Fiscal Year 2023 (FY 2023)
- \$90 million for Fiscal Year 2024 (FY 2024)
- \$90 million for Fiscal Year 2025 (FY 2025)
- \$90 million for Fiscal Year 2026 (FY 2026)

Funds may be expended from an anticipated start date of November 15, 2022, through November 30, 2028

*Funds subject to availability



FY Funding by Center Type

Fiscal Year	National	Regional	Tier 1	Total
FY 2022	\$4,000,000 each x 5	\$3,000,000 each x 10	\$2,000,000 each x 20	\$90,000,000
FY 2023	\$4,000,000 each x 5	\$3,000,000 each x 10	\$2,000,000 each x 20	\$90,000,000
FY 2024	\$4,000,000 each x 5	\$3,000,000 each x 10	\$2,000,000 each x 20	\$90,000,000
FY 2025	\$4,000,000 each x 5	\$3,000,000 each x 10	\$2,000,000 each x 20	\$90,000,000
FY 2026	\$4,000,000 each x 5	\$3,000,000 each x 10	\$2,000,000 each x 20	\$90,000,000

*Funds subject to availability

Cost Share (or Matching Funds)

- **Match requirement:**
 - National and Regional UTCs (100%)
 - Tier 1 UTCs (50%)
- **Can include Federal Highway Administration funding (23 U.S.C. § 504(b) or 505)**
 - Local Technical Assistance Program
 - State Planning and Research Program
- **Can include cash or in-kind contributions**
 - Must be used to accomplish program objectives and the purpose of the grant
 - Must be fully documented in the Center's records
- **Grantees have the length of the grant period to provide the full amount of required matching funds**



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UTC Grant Competition: Center Types

National Centers

- **Five National Centers**

- Must focus their efforts on national transportation issues as identified by one of IJJA's seven research priority areas
- May be based in any region and may include consortium members that are not in the same Federal region as the lead institution
- NOTE: If you are applying for a National or Tier 1 UTC, there is no expectation of addressing issues on a regional basis. However, you are free to do so if that is in keeping with your vision for your proposed center



- **Ten Regional Centers**

- One located in each of the ten standard Federal regions (see regions below)
- Must address focus efforts of national transportation issues and address regional transportation needs
- Must serve as a focal point within its respective region to help coordinate UTC transportation research and education programs with regional needs and initiatives

- **One of the ten Regional UTC awards must focus efforts in the field of comprehensive transportation safety, congestion, connected vehicles, connected infrastructure, and autonomous vehicles, including the cybersecurity implications of technologies relating to connected vehicles, connected infrastructure, and autonomous vehicles (see IIJA, sec. 25017, amending 49 U.S.C. § 5505(c)(3)(E))**

Region 1	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7	Region 8	Region 9	Region 10
<ul style="list-style-type: none">• Connecticut• Maine• Massachusetts• New Hampshire• Rhode Island• Vermont	<ul style="list-style-type: none">• New Jersey• New York• Puerto Rico• U.S. Virgin Islands	<ul style="list-style-type: none">• Delaware• District of Columbia• Maryland• Pennsylvania• Virginia• West Virginia	<ul style="list-style-type: none">• Alabama• Florida• Georgia• Kentucky• Mississippi• North Carolina• South Carolina• Tennessee	<ul style="list-style-type: none">• Illinois• Indiana• Michigan• Minnesota• Ohio• Wisconsin	<ul style="list-style-type: none">• Arkansas• Louisiana• New Mexico• Oklahoma• Texas	<ul style="list-style-type: none">• Iowa• Kansas• Missouri• Nebraska	<ul style="list-style-type: none">• Colorado• Montana• North Dakota• South Dakota• Utah• Wyoming	<ul style="list-style-type: none">• Arizona• California• Guam• Hawaii• Nevada	<ul style="list-style-type: none">• Alaska• Idaho• Oregon• Washington

Tier 1 Centers

- **Twenty Tier 1 Centers**



Must focus efforts on national transportation issues identified by 1 of 7 statutory research priority areas



May be based in any region and may include consortium members not in the same federal region



50% match





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UTC Grant Competition: Submission Requirements



- **Most significant changes between the IIJA and the previous Fixing Americas Surface Transportation Act are:**
 - Added 7th research priority, *Reducing Transportation Cybersecurity Risks*
 - All new candidate topic areas under each research priority
 - Higher award amounts throughout grant life
 - An institution of higher education may receive only one grant as the consortium lead
- **Applications submitted will serve as the Strategic Plan for any Center selected**

Letters of Intent

- **Letters of Intent must adhere to the following:**
 - Received by **5:00 PM EDT, FRIDAY, JULY 1, 2022**
 - Any application not preceded by a Letter of Intent will be rejected
 - Submit to OST-R as a PDF attachment in an e-mail, sent to UTCgrants@dot.gov
 - Late submission of a Letter of Intent will be accepted if received before the deadline for applications
 - **Identify the following items:**
 - Non-profit institution of higher education that will submit the application as the lead
 - Research priority area that will be your primary focus
 - Type of UTC you are applying: (1) National Center; (2) Regional Center; or (3) Tier 1 Center.
NOTE: If you are applying as a Regional Center, please indicate the Federal region in which you are located
 - Contact information for someone at the institution that the US DOT may e-mail or call with questions

- **Must submit electronic and hard copies of application material**



Electronic submission deadline: Grants.gov no later than **11:59 PM EDT, THURSDAY, AUGUST 25, 2022**



Hard copy submission deadline: Received by OST-R no later than **5:00 PM EDT, TUESDAY, AUGUST 30, 2022**

Send hard copy submittal to: Amy Stearns
US DOT/OST-R/mail code RDT-10
Work Station E33-472
1200 New Jersey Avenue, SE
Washington, DC 20590-0001

Proposal Content

- **Proposal must include:**
 - Cover sheet
 - Two-page research abstract
 - Written response to the evaluation criteria, and descriptions of the proposed Center Director and key staff (this portion of the proposal must not exceed 35 pages)
 - Required appendices (minority institution enrollment, CVs, and budget plans)
 - Standard Forms SF-424 “Application for Federal Assistance” and SF-424B “Assurances – Non-Construction Programs”
 - Copy of each of your consortium institutions’ most recent negotiated overhead and fringe benefit rates

- **Coversheet must include:**
 - Proposed UTC name
 - Names and locations (city, State, and zip code) of lead/grantee institution and other members of the Center's consortium
 - State whether any participating non-profit institution of higher education is a Minority Institution
 - UTC type: National, Regional or Tier 1 Center
 - Select one statutory research priority area (see 49 U.S.C. § 6503(c)(1) as amended by IIJA sec. 25014)
 - Select a primary strategic goal and at least one secondary strategic goal (see USDOT Strategic Plan)

- **Research abstract should contain a high-level description of the following:**
 - Research topics on which the proposed UTC intends to focus
 - Motivation for pursuing the research
 - How the topics align with your chosen statutory research priority area and, if applicable, the non-exclusive candidate topic areas that fall within the selected priority area
 - **For example,** under *Mobility of People and Goods* lists non-exclusive candidate topic areas --
 - Freight – logistics, planning, data, workforce, and execution
 - Transportation Equity – assessment, investment. enhancement, and coordination
 - Multimodal System Planning – seamless system design, planning and execution
 - How the topics align with your identified DOT Strategic Goals
 - Transformational impacts that the proposed research is expected to have on the transportation system and its users

Written Response: Evaluation Criteria

Research Activities and
Capability

Leadership

Education and
Workforce Development

Technology Transfer

Program Efficacy

Center Director and Key Personnel

- Center Director is the person responsible for ensuring compliance with all UTC Program requirements
 - Expected to represent the Center and/or UTC Program at external meetings
 - Required to participate in up to two annual meetings with directors of all UTCs
 - Conduct up to two annual briefings to OST-R staff
- Name the person who will lead the UTC and key staff members





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UTC Grant Competition: Appendices

Required Appendices

- **Enrollment Information for any minority institution**
 - For each minority institution, provide enrollment numbers from the most recent semester/term where numbers are available that show the institution meets the definition
- **Curriculum vitae for Center Director and key personnel**
 - Focus on the most relevant qualifications
 - Limit to two pages per person
 - Do not include Personal Identifiable Information such as social security number, birth dates, or home addresses
- **Center Budget Plan**
 - Each UTC must spend at least 5% of its total (Federal and non-Federal) budget for technology transfer and commercialization activities



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Questions



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Grants.gov Opportunity No. UTCOPENCOMP2022
CFDA 20.701

Send additional NOFO questions to UTCgrants@dot.gov