General

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Questions for Presenters

- Please type your questions into the chat box at the bottom of your screen

Website

- For more information, please visit https://www.transportation.gov/SMART

- Subscribe to receive email updates on the SMART program

Agenda

- Opening Remarks from Stan Caldwell

- Reporting Requirements Overview & Guidance Documents

- Quarterly Reporting:
  - Milestone Progress Report-MS Form
  - Federal Financial Form & Invoice Submittal

- Stage One Evaluation Plan

- Data Management Plan

- Non-Competitive Procurement Fact Sheet

- Q&A

Today's Presenters

Stan Caldwell

SMART Grants Program Director, Office of the Assistant Secretary for Research and Technology

Christopher Walston

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Tara Lanigan

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Jesse Long

Librarian, Bureau of Transportation Statistics

Welcome

Stan Caldwell
SMART Grants Program Director, Office of the Assistant
Secretary for Research and Technology
U.S. DOT

Overview: Reporting Requirements

1. **Quarterly Reporting** – Due 30 days after reporting periods (3/31, 6/30, 9/30, and 12/31). First report due 10/30.

2. **Evaluation Plan** – Due December 15th.

3. **Data Management Plan** – Due December 15th.

4. **Implementation Plan** – Draft report due no later than one year after receiving the grant. The final report shall be submitted by the end of the period of performance.

Reporting Calendar and Links

Recipient Deliverable	Recipient Due Date	Where to Submit
Quarterly Progress Report #1 Federal Financial Report #1	10/30/23	Link to form Link to Delphi
Evaluation Plan	12/15/23	Email to smartreporting@dot.gov
Data Management Plan	12/15/23	Online portal
Quarterly Progress Report #2 Federal Financial Report #2	1/31/24	Link to form Link to Delphi
Quarterly Progress Report #3 Federal Financial Report #3	4/30/24	Link to form Link to Delphi
Quarterly Progress Report #4 Federal Financial Report #4	7/30/24	Link to form Link to Delphi
Implementation Report	7/1 – 9/30/24	Email to smartreporting@dot.gov
Quarterly Progress Report #5 Federal Financial Report #5	10/30/24	Link to form Link to Delphi
Quarterly Progress Report #6 Federal Financial Report #6	1/31/25	Link to form Link to Delphi

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Quarterly Reporting

Milestone Progress Report
Overview

- Quarterly Milestone Progress Report are an opportunity for you to share significant accomplishments, issues, milestones, and upcoming activities.

- Reporting periods end on 3/31, 6/30, 9/30, and 12/31, regardless of budget period start dates.

- Deadlines for quarterly reports are no later than 30 days after the end of the reporting period. The first report will be due by October 30th.

Access the MS Form via this button
or through
https://forms.office.com/g/0xwFNfBC5Z

Milestone Progress Report
Information Questions

- Lead Applicant Name.

- Name of Filer.

- Email Address of Filer.

- Federal Award Identification Number (FAIN):
  - Available on your signed grant agreement (SMARTFY2…)

- Reporting Period End Date.

A screenshot of the information questions on the SMART Quarterly Reporting form.

Milestone Progress Report
Project Status Questions

4,000-character limit for each question (approximately 500 words)

- Overall Status.

- Significant Activities and Accomplishments.

- Unresolved and Significant Issues.

- Up to 10 Milestones:
  - Define your own
  - Add anticipated start date and actual end date for completed activities.

- Future Reporting Period Significant Activities.

Milestone Progress Report
Certification & Next Steps

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Compliance:

- Certification of Accuracy and Truthfulness.

- Certification of compliance with 2 C.F.R. 200.303.

Next Steps:

- SMART Program will review progress reports and reach out if there are any concerns or questions to your responses.

- Highlights and accomplishments may be shared with the wider SMART community.

Quarterly Financial Reports
Overview

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Quarterly Invoice- SF-270/SF-271 Request for Advance or Reimbursement, Will be submitted through Delphi.

Financial Report- SF-425 Federal Financial Report (FFR), Please submit as an attachment to your invoice in Delphi. If you have issues uploading or If you do not have an invoice to submit for the quarter, please submit your FFR (SF-425) to smartreports@dot.gov

Supporting Cost Detail- Detailed breakout of all cost, by cost category. Please submit as an attachment to the invoice in Delphi.

Quarterly Financial Reports
Supporting Cost Detail

- Detailed breakout by cost objective on the SF-424A. Which includes Personnel, Fringe, Travel, Supplies, Equipment, Contractual, Construction, Other, and Indirect Cost.

- Federal share and recipient's voluntary cost share should be separate.

- Show cost for the reporting period and the cumulative amount for each cost category for the entire project.

Quarterly Financial Reports
Delphi e-Invoicing System

https://www7.transportation.gov/cfo/delphi-einvoicing-system

Q: What is the Delphi e-Invoicing System?

A: The Delphi e-Invoicing System is the U.S. Department of Transportation's (DOT) electronic invoicing system that is integrated with DOT's core accounting system. It is a Web-based portal for grant recipients to electronically request payment and monitor payment status.

Q: What are some of the benefits of using the Delphi e-Invoicing System?

A: The Delphi e-Invoicing System will allow for more efficient and accurate processing of grant payments, as well as real time monitoring and tracking of invoices. The system provides e-mail notifications on all invoice approvals and rejections, as well as real time information about the status of invoices, and enable the uploading of electronic attachments to provide supporting documentation for invoices.

- SMART Grant Managers worked to establish Delphi accounts for all SMART grant recipients, Points of Contact (POC) after grant award.

- To add an additional POC to Delphi please send a request with the POC's Name, phone number, and email address to your assigned Grant Manager.

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2 CFR PART 170—REPORTING SUBAWARD AND EXECUTIVE COMPENSATION INFORMATION

- Requires that Federal contract, grant, loan, and other financial assistance awards of more than $30,000 be displayed on a publicly accessible and searchable website to give the American public access to information on how their tax dollars are being spent. In 2008, FFATA was amended by the Government Funding Transparency Act, Pub. L. 110-252, which required prime recipients to report details on their first-tier sub-recipients for awards made as of October 1, 2010.

1. **Reporting Subawards and Executive Compensation.**

- *Reporting of first-tier subawards.*

- *Applicability.* Unless you are exempt as provided in paragraph d. (If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report) of this award term, you must report each action that equals or exceeds $30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph e. of this award term).

2. *Where and when to report.*

I. The non-Federal entity or Federal agency must report each obligating action described in paragraph a.1. of this award term to http://www.fsrs.gov.

II. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

Stage One Evaluation Plan

The Role of Evaluation

Better manage operations

Inform other deployers

Assess Impacts & Benefits

Inform future investments

Determine project success

- **To prepare for the SMART Grant Implementation Report:**
  - Purpose: To understand what your project has and could achieve, including,
  - Proof-of-Concept or Prototype Evaluation Findings,
  - Anticipated Costs and Benefits of At-Scale Implementation,
  - Challenges & Lessons Learned, and
  - Deployment Readiness.
- **To make the best possible case for how the proof-of-concept or prototype met expectations and whether full implementation would meet program goals.**

Evaluation Plan Requirements

SMART Grant Agreement Requirement

- The plan must provide:
    - An overview of how the proof-of-concept or prototype will be evaluated;
    - A description of the goals of the project if implemented at scale;
    - An outline of the methods that will be used to estimate the anticipated benefits and costs if implemented; and
    - A list of robust performance metrics and measurable targets.

Evaluation Plan
Overview

- The evaluation plan should have four parts:
    1. Introduction and Project Overview.
    2. Project Goals and Objectives for At-Scale Implementation.
    3. Performance Measures for the Proof-of-Concept or Prototype.
    4. Evaluation Methodology for the Proof-of-Concept or Prototype.

- Assume your reader is not familiar with the project but has a high-level understanding of the technologies.

- Use language from your project proposal but **review the text and adjust for this context.**

- The evaluation plan will be submitted via email to **SMARTReports@dot.gov**

Evaluation Plan
Part 1: Introduction and Project Overview

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- Description of your project (1-2 paragraphs & bulleted lists):
  - Motivation.
  - Technologies.
  - Goals.
- Overview of the proof-of-concept or prototype (1-2 paragraphs):
  - Scale of the Stage 1 deployment (e.g., number of units, intersections, corridor length, partners, service area).
  - Anticipated scale of the Stage 2 deployment.
- Summary of the evaluation process (1 paragraph):
  - Who is participating?
  - What are their roles?

- Repurpose your project proposal.
- Descriptions can be brief and high-level.

Evaluation Plan
Part 2: Project Goals for At-Scale Implementation

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- Project goals (1 page):
  - Qualitative descriptions of the anticipated impacts of at-scale implementation in each of the listed goal areas.
  - Quantitative estimates are encouraged where possible but not required.
- Anticipated costs of at-scale implementation (1 paragraph):
  - The estimated costs of the proof-of-concept or prototype.
- Supporting historical data (if available) (1 paragraph):
  - To inform project goals, performance measures, or performance targets for at-scale implementation.

- Focus on your expectations for at-scale implementation of the project (Stage 2).
- The evaluation of the proof-of-concept or prototype can then be tailored to provide informative results and actionable insights.
- Repurpose your project proposal.

- Table of Evaluation Questions and Performance Measures (1 page)
  - Evaluation questions.
  - Performance measures.
  - Performance targets.

- Focus on the proof-of-concept or prototype being deployed during Stage 1.
- One goal is to understand what would be realistically achievable through at-scale implementation.
- The evaluation should refine your expectations, so informative performance measures are key.

Evaluation Plan
Part 3: Performance Measures for Stage 1

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Evaluation Question	Performance Measure	Performance Measure Target
1. How quickly could an alert message be displayed?	Time between detection, confirmation, and alert	3 seconds between detection and confirmation 2 seconds between confirmation and alert
2. Does the system reduce travel time through the intersection?	Travel time through the intersection	Decrease from baseline average
3. How well does the system function during irregular conditions?	Detection rate during extreme temperatures.	85% of the detection rate under normal conditions

- Overview of how the proof-of-concept or prototype will be evaluated (1-2 paragraphs):
  - Are the deployments for this project compared to a pre-deployment baseline, an alternative technology, or industry standards.

- Methods to estimate the anticipated benefits and costs associated with at-scale implementation (1 paragraph).

- Overview of how challenges, best practices, and recommendations for future deployers will be collected (1 paragraph).

- Descriptions can be brief and high-level.

Evaluation Plan Resources

- [ITS Deployment Evaluation Resources](#) (ITS JPO)

- [ATCMTD Evaluation Methods and Techniques](#) (FHWA & Volpe)

- [Transportation Performance Management Toolbox](#) (FHWA)

- [Benefit-Cost Analysis Guidance for Discretionary Grant Programs](#) (USDOT)

- [CMAQ Emissions Calculator Toolkit](#) (FHWA)

Data Management Plan

DMP Requirements Overview

SMART Grant NOFO and Public Access

NOFO Section 5. Data Collection Requirements; i. Data Management:

- "To fulfill the reporting requirements and in accordance with the [USDOT Public Access Plan](#), award recipients must consider, budget for, and implement appropriate data management for data and information outputs acquired or generated during the grant."

USDOT Public Access Plan Section 7.4.2 Data:

- "…awardees will be required to develop a Data Management Plan that will identify whether and how they will provide for the long-term preservation of, and access to, Digital Datasets associated with their … activities."

Never developed a DMP before?

Have no fear, the National Transportation Library (NTL) is here to help!

DMP Overview

What is a DMP?

A Data Management Plan (DMP) is a Knowledge Management document that makes explicit what, if any, data will be collected or used during a project, and how that data will protected and shared, if applicable.

DMP Sections

- Project Contact Information

- Data Description

- Data Format and Metadata Standards Employed

- Re-use, Redistribution, and Derivative Products Policies

- Archiving and Preservation Plan

To help, we have developed a

SMART Grants Stage 1 Data Management Plan (DMP) Template in DMPTool

DMPTool Live Demo

https://dmptool.org/
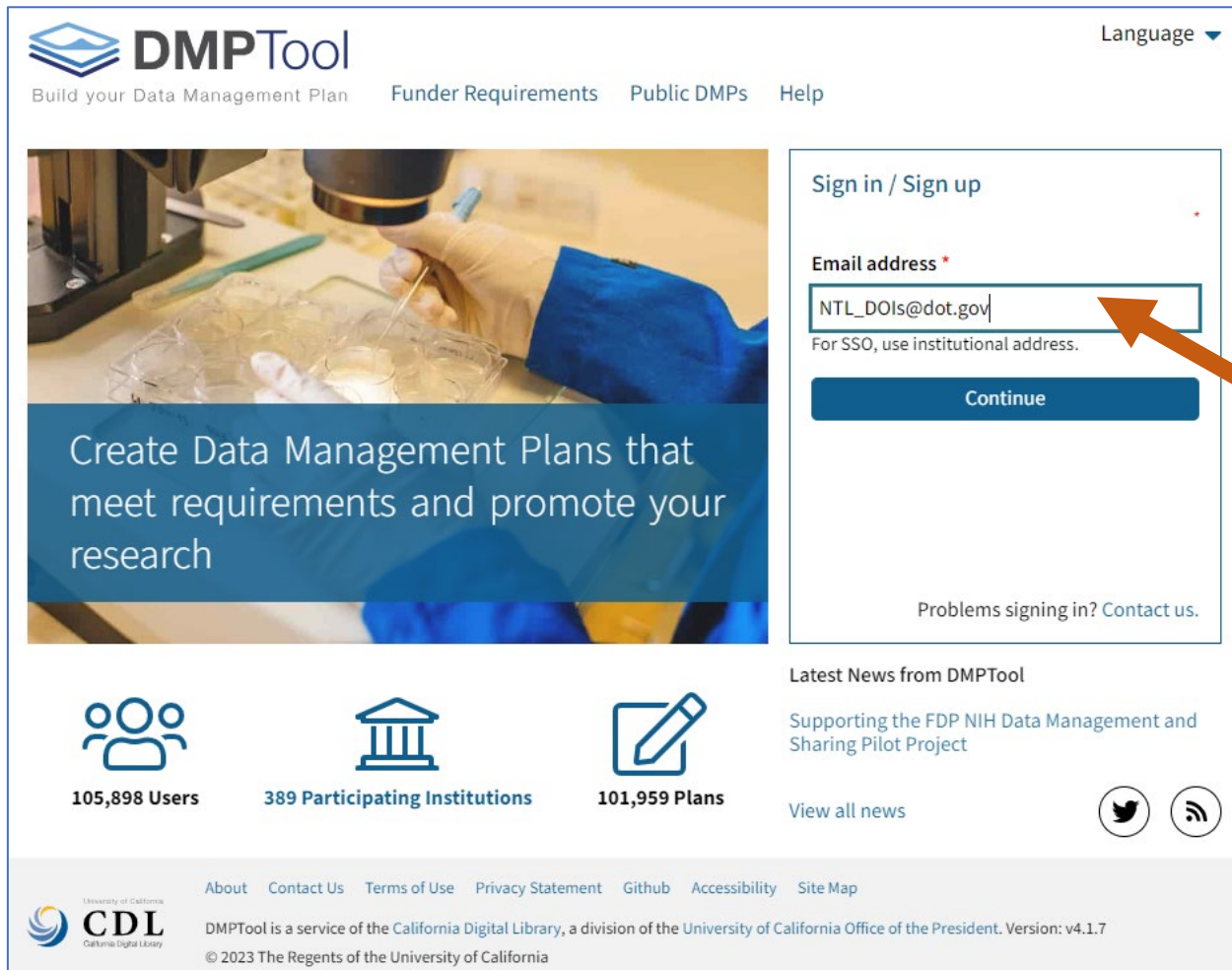
- Create Account

- Locate SMART Grant Template

- Project Details

- Collaborators

- Write Plan

- Request Feedback

- Download DMP

Live Demonstration Time!

1. Navigate to DMPTool at https://dmptool.org/

2. Go to the "Sign in / Sign up" box

3. Enter your email address

4. Click "Continue" button

5. You will go to New Account Sign Up page

1. Enter First and Last Name

2. In "Institution" field, type: United States Department of Transportation

3. Create a Password

4. Accept terms and conditions

5. Click "Sign up" button

6. You will be taken to "My Dashboard" page

DMPTool Handout: My Dashboard

1. Click "Create plan" button

2. You will be taken to "Create a new plan"

DMPTool Handout: Create a new plan

U.S. Department of Transportation

1. Enter the name of your project

2. Primary Research Org: enter "United States Department of Transportation"

3. Primary Funding: enter "United States Department of Transportation"

4. DMP Template: Select "SMART Grants Stage 1" from list

5. Click "Create plan" button

DMPTool Handout: Project Details Tab

1. Fill in Project Details Tab as best as you can

2. For Abstract, use your project proposal

3. For Funding Status, choose "Planned"

4. Enter Funding info if you know it

5. Click "Save" button

6. Once Saved, click on Collaborators Tab

DMPTool Handout: Collaborators Tab

1. Add new Collaborators as needed

2. Need an ORCID? Go to https://orcid.org/ to register

3. Affiliation not correct? Click the "I cannot find my affiliation…" box, and enter your agency in the new field

4. Apply Roles to Contributors

5. Click "Save" button

6. Once Saved, click on Write Plan Tab

DMPTool Handout: Write Plan Tab

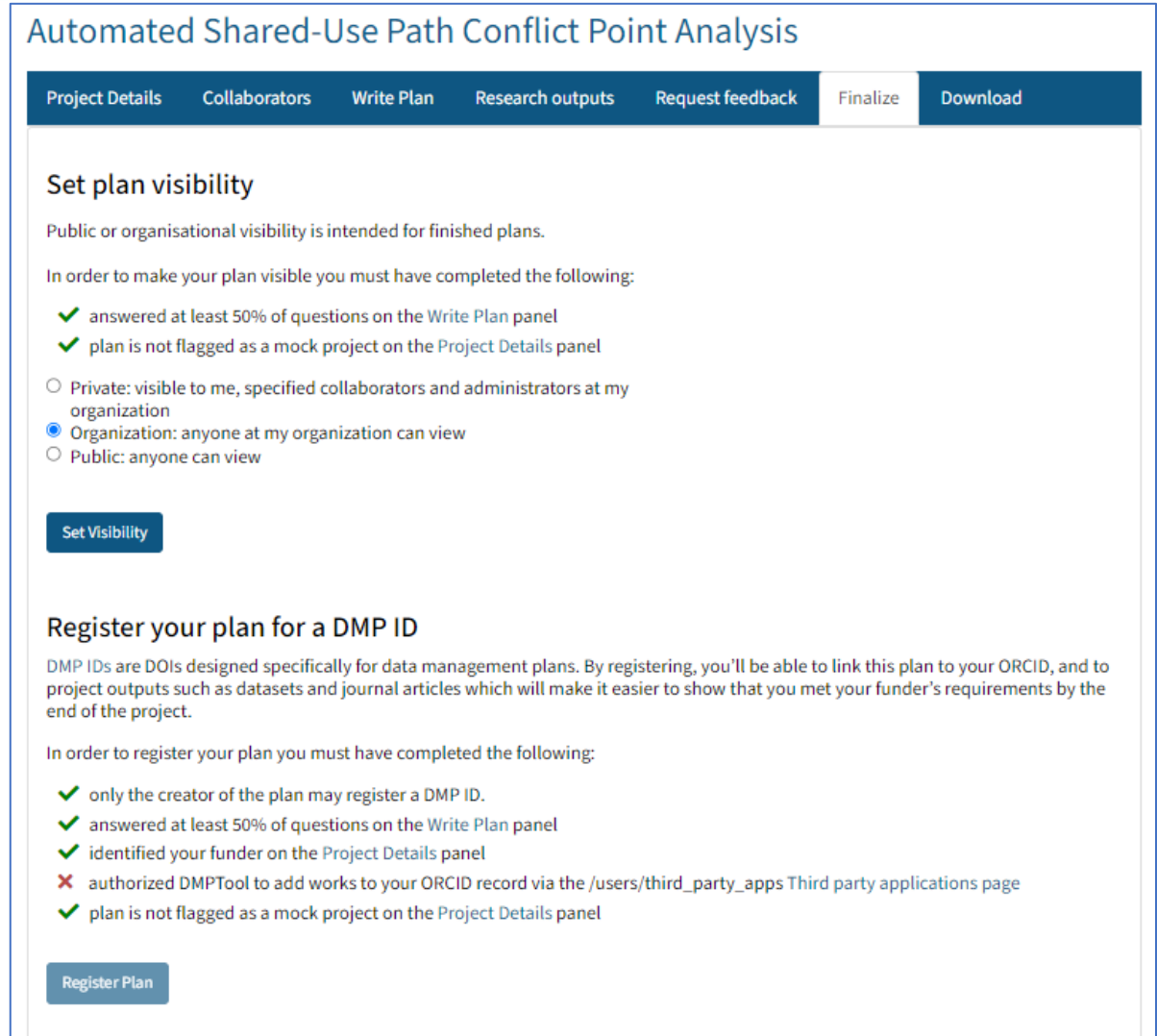U.S. Department of Transportation

1. Fill in each section to best of ability

2. Each section includes guidance as to what information is requested

3. Each section has a single text box for your reply

4. Click "Save" button at end of each section

5. Once all sections are Saved, click on Request Feedback Tab

DMPTool Handout: Request Feedback Tab

1. Fill in each section to best of ability

2. Each section includes guidance as to what information is requested

3. Each section has a single text box for your reply

4. Click "Save" button at end of each section

5. Once all sections are Saved, click on Request Feedback Tab

Automated Shared-Use Path Conflict Point Analysis

| Project Details | Collaborators | Write Plan | Research outputs | Request feedback | Finalize | Download |

Request expert feedback
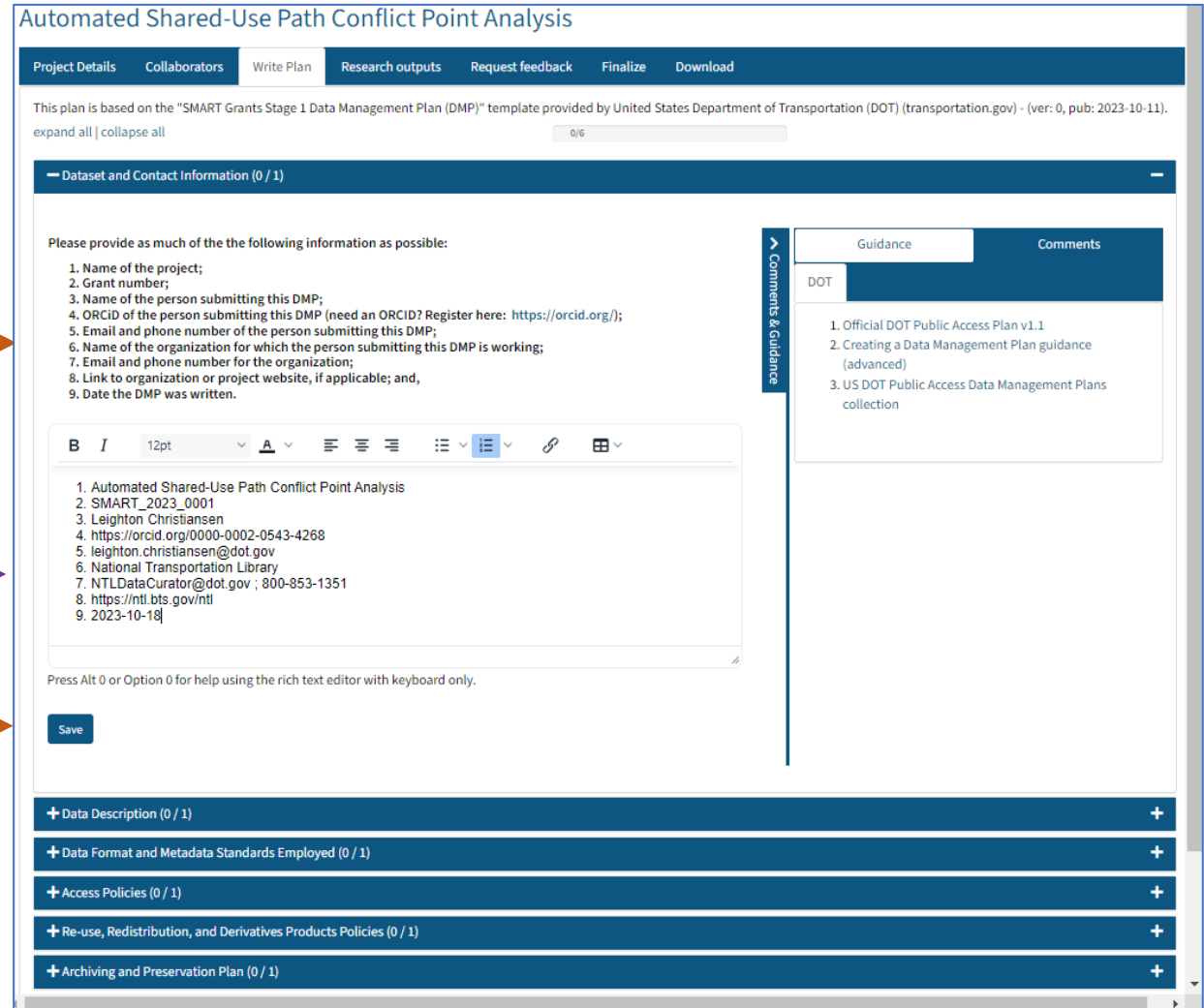
Click below to give data management staff at United States Department of Transportation (DOT) (transportation.gov), the Plan Owner's org, access to read and comment on your plan.

A data librarian from Department of Transportation (DOT) will respond to your request within 4 business days. If you have questions pertaining to this action please contact us at public.access@dot.gov.

You can continue to edit and download the plan in the interim.

Request feedback

DMPTool Handout: Finalize Tab

1. Set plan Visibility: you can keep it private until you are read

2. Once you make it public and connect it to your ORCID, you can register for a DOI!

3. Once done, click on Download Tab

DMPTool Handout: Download Tab

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1. Choose download Format: PDF; docx; json; others

2. Check all 4 Download settings choices

3. Click "Download Plan" button and add plan to your project records

Automated Shared-Use Path Conflict Point Analysis

| Project Details | Collaborators | Write Plan | Research outputs | Request feedback | Finalize | Download |

Format

pdf ▾

Download settings

☑ include a project details coversheet
☑ include the section headings
☑ include the question text
☑ include any unanswered questions

PDF formatting

Font   **Margin (mm)**

Face   **Size (pt)**   **Top** **Bottom** **Left** **Right**

"Times New Roman", Times, Serif ▾   14 ▾   ▾   ▾   ▾   ▾

Download Plan *(new window)*Opens in new window

Non-Competitive Procurement Fact Sheet

New fact sheet on sole source guidance to be posted on [SMART Grants Management webpage](#).

- Recipients should first follow their own procurement process.

- Sole source procurements by **State recipients** must adhere to the same policies and procedures the State uses for non-Federal funds. No additional approval by DOT is required.

Non-Competitive Procurement Fact Sheet

Fact Sheet summary: Recipients may conduct sole source procurement through solicitation of proposals from only one source when one or more of the following circumstances apply:

- The property or services do not exceed the micro-purchase threshold of $50,000;

- The item/service is available only from one source;

- An exigency or emergency;

- DOT expressly authorizes a non-competitive procurement in response to a written request from the recipient; or

- Competition is determined inadequate after solicitation of a number of sources.

Questions and Answers