PRINCIPAL INVESTIGATOR'S GUIDE TO NITC SPONSORED ACTIVITIES

November 2017

Contents

Project Checklist & Due Dates

Keep this checklist in a convenient place. Past project performance is a critical factor in future funding decisions!

Project Name & PPMS Number: _____

End Date: _____

Project Requirement	Due Date
☐ Bi-annual progress reports	NITC due 3/30 and 9/30
☐ No-cost extension	Due 30 days **before** end of grant
☐ Draft final report	Due 30 days **before** end of grant
☐ Data embargo request	Due with draft final report (**NITC 16** funded research projects only)
☐ Final progress report	Submit with draft final report 30 days before end of grant
☐ Project data	Due with final report (**NITC 16** funded research projects only)
☐ Match documentation	Due 60 days after end of grant

1. Introduction

Congratulations on receiving a NITC award! The National Institute for Transportation and Communities (NITC) is one of five national transportation centers funded by the United States Department of Transportation's (U.S.DOT) Office of the Assistant Secretary for Research and Technology (OST-R). The NITC program is managed by the Transportation Research and Education Center (TREC) at Portland State University (PSU).

This guide is intended to help NITC-sponsored Principal Investigators (PIs) understand expectations associated with their award. NITC is committed to using federal funds responsibly. This is why awards are made only after a rigorous peer-reviewed proposal selection process to ensure that the best projects are funded that also fit well with NITC's theme and U.S.DOT priorities. PIs are obligated to comply with all grant requirements. PIs should take the award obligations seriously since successful adherence to and performance on budget, schedule and project requirements will be used as review criteria for future proposal submissions. PIs with projects that are significantly delayed may be barred from competing in NITC grant competitions until grant requirements are met. The expectations are also intended to ensure integrity of projects throughout their life cycle.

Projects must show significant progress during the course of the award period, demonstrate relevant outcomes, and further NITC's theme. Activities should result in an increase in collaboration and greater participation of faculty and students representing a multitude of disciplines. Funded research, education and technology transfer projects will culminate in the development of a final report or product that will synthesize the results of the effort. Results should also be disseminated via journal publications and presentations at recognized conferences.

2. Key Project Requirements

The purpose of the project requirements is to ensure the success of your project and to clarify federal requirements, while also allowing NITC to gather adequate information to communicate progress efficiently and effectively to our federal sponsor. The key requirements are as follows:

2.1   Progress reports

NITC takes into account the progress made on PIs current project(s) before awarding subsequent grants. Progress reports are due bi-annually and again at the end of the project. These reports provide staff with a mechanism to ensure that the funded activity is progressing as planned. In addition, they support NITC's reporting to the federal sponsor.

Report Elements

These reports consist of the following components:

- Updated project progress to-date
- Specific accomplishments, especially milestones, outstanding students, noteworthy collaboration or exciting results and activities undertaken that support the national strategy for surface transportation research and/or respond to DOT priorities
- Unexpected delays or issues
- Performance metrics:
  - Research
    - Did research results confirm or change practice? If yes, list practitioners who use the results and provide brief explanation
    - Peer-reviewed articles resulting from project

- Articles in trade/professional publications
  - Students involved in project
    - Undergraduate students
    - Graduate students
  - Technology Transfer
    - Events (seminars, lectern sessions at conferences or symposia, workshops etc.) held for transportation professionals
    - Number of transportation professionals participating in specific event
    - Purpose of event (technology transfer, attract workforce, or continuing education)

Due Dates

- Progress reports for projects that are due on **March 30th** and **Sept 30th** as long as the project is active.
- PIs are required to submit a final progress report **at the time** they submit the finalized version of the final report.

PIs are asked to submit progress reports using NITC's online project management system (PPMS), accessible via the NITC website.

Use of Progress Reports for Federal Reporting

Data requested in the progress reports and in the final progress report are required so that NITC can collect performance measures and gauge how well programs are working towards achieving the goals of the program and U.S.DOT priorities. These performance measures are collected annually for both NITC National and NITC 16 grants and summarized for our federal sponsor in a Performance Indicator (PI) report.

Data and narratives from progress reports are also incorporate into semi-annually Program Progress Performance Reports (PPPRs) for our funder. Similar to the PI reports, these reports offers an opportunity for NITC to demonstrate its value and that of the projects it funds. In addition, PPPRs provide a platform to highlight special accomplishments and impacts of activities and projects. We use the narratives you include in your progress reports as a basis for these reports. Any narratives, such as awards, accomplishments, collaborations, anecdotes and other noteworthy events or comments, are worth gold to us as we discuss how NITC moves transportation research forward.

As a result, we ask you to be diligent when completing your progress reports and submit reports on time to help us demonstrate the importance of our programs and ensure future support for projects like yours. *Thank you!*

NITC's PI and PPPR reports are published on NITC's website - see Annual and Progress Reports.

2.3   Project Oversight - Technical Advisory Committees

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

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

2.4   No-Cost Extension Request

NITC staff understand that unexpected project delays can occur, especially when awards are delayed.

A **No-Cost Extension (NCE) request** can be used to extend the grant funding for a project for **up to six months** from the project end date and must be submitted no later than **1 month prior** to the project's end date. (*Not sure when your project/grant award ends? See your award letter.*) In addition,

- Only the Principal Investigator (PI) is required to submit a NCE request for a project.
- If your NCE request is approved, all project-related task orders will automatically be extended to the new end date and task order amendments will be send to the relevant research offices.
- An online NCE request can only be filed **once** during the life cycle of a project. Contact the Research Program Administrator if you intend to file an additional extension request.
- A **new** progress report needs to be completed in conjunction with this request.
- NCE requests will only be considered if an extension is **essential** for the successful completion of the project and the reasons for the delay(s) were outside of the control of the project team. Other reasons, such as spending unused funds or preparing peer-reviewed publications, are NOT acceptable reasons to file a NCE.

Please see the online instructions (see resources) for further details on how to complete and submit your extension request.

Extreme circumstances for extensions will be considered on a case-by-case basis. You will be notified by NITC staff within two weeks of submittal whether your extension has been approved. *PIs should recognize that schedule performance will factor into future funding decisions.*

2.5   Communications

NITC seeks to disseminate the results of its projects to transportation professionals and the broader community. To meet this goal, we expect PIs to consider opportunities to communicate interesting, surprising, timely and newsworthy findings arising from projects.

Each lead PI is required to meet (in person or by phone) with the NITC communications staff at least twice during the course of the project: the first meeting should occur before the work begins. The purpose of this meeting is to forecast the project's audience, the communications objectives, and the anticipated project products (including talks, articles, workshops, etc.). The second meeting should be held as soon as possible after research is completed, rather than after the Final Report is submitted. The purpose of this meeting is to review the communications plan developed at the first meeting, review project communications that have already occurred, and discuss upcoming opportunities. In order to expedite dissemination of research findings, it is valuable to hold this meeting before the final report is developed.

NITC's primary method of communication of projects is the NITC website, and every PI and project has information on the site. As a complement to final reports, NITC prepares a "project brief" about each completed project and uses media to promote the work. These and other communication strategies depend on input from the PI to remain valuable and relevant. Media may include the NITC website and social media accounts along with external print, broadcast and online media.

2.6   Final Report & Data Reporting: Expectation & Process

Per requirements of our sponsor, every funded project is required to produce a deliverable that summarizes research findings and/or educational and technology transfer activities. For the **NITC 16** grant, research projects are also required to make the data used to produce the deliverable publicly accessible as outlined in U.S.DOT's Public Access Plan (see also Public Access Plan FAQs).

Final report

For most projects, the deliverable will consist of a final report or comparable product. The final report should document the research in total, including a complete description of the problem, objectives, approach, methodology, findings, conclusions, recommendations, etc. It should also document all data gathered, analyses performed, and results achieved. Education reports follow a slightly different format, which is why we provided additional guidelines in a separate section on how to organize and structure these reports (see Education reports).

Please use the **final report template** when generating your report. The template is intended to provide you with guidelines in terms of content, formatting and style. It also includes cover page specification and other essential information. You can download the template from the NITC website - For Researchers.

The use of photographs, graphs, charts and other visuals is highly encouraged to further enrich reports and other deliverables.

If you would like to review past reports for further guidance, we recommend the following reports:
- http://ppms.trec.pdx.edu/media/project_files/NITC_884a_Breaking_Barriers_Operator_Survey_Hr0Stzz.pdf
- http://ppms.trec.pdx.edu/media/project_files/NITC_872_What_do_we_know_about_Location_Affordability_in_Shrinking_Cities.pdf

A draft final report must be submitted **30 days prior** to the official end date of the project. Please upload the draft final report to your project page on the PPMS (http://ppms.trec.pdx.edu/) as a 'Draft report.' Then, email the research program administrator to let her know that you submitted your draft report.

Once the draft final report is received, the report goes through the following processing sequence until it is published on NITC's website:

    a. Preliminary Draft Report Review
    b. Peer Review & Copyediting
    c. Revisions by PI
    d. Preparation of Complimentary Report Materials
    e. Publication of Report & Promotion

a. **Preliminary Draft Report Review:** We are excited that many of our PIs engage graduate students not only in the implementation of their projects but also in the final report writing process. One of NITC's key objectives is to support the training of future transportation professionals, and we encourage you to continue with this practice. However, we also recognize that students have limited report writing experience and may not always attribute information correctly or adequately to its source. This is why we decided to use the online tool *Turnitin* to screen draft final reports for originality. Reports uploaded to *Turnitin* for review will not be submitted to any online repository. If we discover issues or concerns regarding originality, we will discuss them with PIs.

b. **Peer review:** PIs will be asked to identify potential peer reviewers for their report. NITC staff will send the draft final report to up to three peer reviewers, including one practitioner. As applicable, at least one representative of the matching/partner entity will be asked to provide a review.

If a project results in a journal-peer-reviewed article, the publication **can be substituted** for a draft report peer review. In this case, the PI is required to submit a copy of the published article to NITC. Please let NITC staff know if this is the case.

Copyediting: While in peer review, a copy editor reviews the report to ensure standard formatting requirements are met and edits the report for consistency and accuracy. We request that PIs submit their draft final report as a word document, because copy editors use the track changes feature in MS Word to edit reports.

PIs should allow for up 2 months of review time in their schedule.

c. **Revisions by PI:** Once NITC has received comments from peer review <u>and</u> copyediting, they are forwarded to the PI. The PI is asked to first review the copy edits and use the document with accepted copy edits to address the peer review comments. ***PIs are expected to submit the finalized report within 30 days from receiving the comments.***

We will also confirm a publication date for your report with you at this point.

d. **Preparation of Complementary Report Materials:** Once you are working on the final revisions of your report, our communications staff will reach out to you and set up a time to gather additional information needed to prepare a news story and a "project brief" summarizing your report. The conversation will be brief, include targeted questions and provide you with an opportunity to share special insights and stories relevant to your project. We would love to get your input or ideas for promoting your project as well. Help us tell others how exciting your project is!

We request that you set up an appointment with our communication team no later than 2 weeks prior to the report's publication date. This timeline allows adequate time for preparing the materials while also giving you the opportunity to provide feedback prior to their release on NITC's website.

e. **Publication of Final Report:** The final report will be published on the project's [NITC](#) web page (each project has its own page on NITC's website), and the URL of the full version of the report will be provided to the TRB TRID database and the U.S.DOT's online National Transportation Library. Final reports are produced as part of a numbered report series and will include the required disclaimer (included in the report template) and NITC funding attribution (see Section 2.8).

The communications team will add the project brief to the project's page on the NITC website and the news article will be posted to NITC's newsfeed. For most projects, we use Twitter to promote the report when it is released. Further promotions will be made as they organically arise.

Additional Considerations: Communication is key during the report-processing period. Please be responsive to the NITC team responsible for chaperoning your report through this process. Their goal is to get your report ready to make the greatest impact and give your work the greatest possible exposure. This requires careful planning and coordination that can get unhinged if communication breaks down. *Thank you!*

Data Reporting

All research projects that receive awards through the **NITC 16** grant must submit digital data. This includes projects selected through the General RFP, Small Starts, and Pooled Fund grants and Dissertation fellowships.

Digital data include (1) analyzed data and (2) the metadata that define how these data were generated.

- Analyzed data are (but are not restricted to) digital information, including digital images and tables of the numbers *used* for making published graphs or summary tables.

- Necessary metadata are (but are not restricted to) descriptions or suitable citations of experiments, apparatuses, computational codes, and computer calculation input conditions.

Qualitative data, such as narratives recorded during focus groups, are considered digital data and must be included.

Raw data or preliminary analyses do not need to be included under this requirement.

If sensitive information is collected, investigators will be responsible for de-identifying data in a manner that protects privacy and confidentiality while maintaining the utility of the dataset prior to submitting data for archiving to NITC.

PIs may request a 6-month embargo of digital data for pending or planned publications by submitting an embargo request (see Appendix E). This request must be approved by NITC and U.S.DOT, which is why it is essential that you submit this request with your draft final report.

Data Submission Requirements

Please submit digital data with your project's final draft report. Included metadata must provide adequate detail to ensure that digital data and their context are fully described. NITC will not be able to publish the final report and close out the project until digital data are received.

With your data files, a <u>Data Summary Document</u> (in MS Word) that includes the following information must be included:

- Title (e.g., Data from: "Name of Final Report")
- Abstract summarizing the study, methodology & findings
- Name of PI and Co-PI(s) and relevant Institutions
- Description of dataset (e.g., These data support a final report published on NITC's website "Title of Project" (2016))
- A list of the files that are included with the data product. For each file, specify data format and provide a one-sentence description of the data or information contained within each file.
- Copyright and proprietary restrictions (if appropriate)
- Disclaimers (if appropriate)
- Recommended citation (e.g., Dill, Jennifer and Hagedorn, Hau, "Data from: Title of project" (2017)

<u>Citing Data Obtained from Repositories</u>

In cases where data are downloaded from publically available regional, state, or national data repositories (e.g., US Census Bureau, EPA, US National Climate Data, Office of the Treasurer-Tax Collector), investigators are responsible for citing the source(s) of the data appropriately. For example, the following acknowledgement is suggested:

- *"Data were downloaded from the Bike-Ped Archive maintained by PSU and can be accessed through the PSU website (http://bp.its.pdx.edu/)."*

<u>Naming Conventions for Data</u>

To streamline the data archiving process across projects, PIs are asked to adhere to the following naming convention:

- Files included with each data product will need to specify the project identification number (e.g., NITC762 for a project with PPMS number 762), the content of the file (e.g., Data), and a number designation based on the total number of files submitted with each data product (e.g., **NITC762Data1.doc**, **NITC762Data2.xlsx**).
- Identify closely related files with the same number and an additional letter (e.g., **NITC762Data2A.xlsx**, **NITC762Data2B.txt**).

Checklist: Draft Final Report Submission

(Due: 30 days prior to project end date)

Ready to submit your draft final report? *Did you...*
- ☐ Use the final report template in its entirety (i.e., did not omit title page or references)?
- ☐ Follow formatting and style guidelines as outlined in template?
- ☐ Upload document as "<u>Draft Final Report</u>" to the project page in PPMS?
- ☐ Notify research administrator via email about uploading report (emuecke@pdx.edu)?
- ☐ Include in your email the name and contact information of potential reviewers (3)?
- ☐ Submit a Data Embargo Request (if needed)#?

#Applies to research projects that are funded through **NITC 16**

Checklist: Digital Data Submission#

#Required only for research projects that are funded through **NITC 16**.
Due: With revised final report or at the end of the embargo period.

Ready to submit your data? *Did you...*
- ☐ De-identified data (if relevant)?
- ☐ Verify that naming conventions of files meet NITC guidelines?
  - ○ Use relevant designation to link file(s) to project & designate content of file(s)?
  - ○ Identify closely related files?
- ☐ Include metadata that adequately describe data?
- ☐ Create a Data Summary Document (MS Word)?
- ☐ Upload all files as "Other" documents to the project page in PPMS?
- ☐ Notify research administrator via email about uploading report (emuecke@pdx.edu)?

2.7   Technology Transfer

We strongly encourage communicating the results of research projects at national conferences and in refereed journals. PIs should provide copies of all papers submitted to conferences or journals to NITC through the online project management system (PPMS), and should include appropriate attribution. NITC also tracks metrics relating to seminars, symposia, distance-learning classes and any education or technology transfer activities undertaken through project progress reports. NITC welcomes video or streaming web archives.

2.8   Attributions, Disclaimer, & Identifier

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

Attributions

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

See the following sample statements:

"This project was funded by the National Institute for Transportation and Communities (NITC; grant number ####), a U.S. DOT University Transportation Center."

"Jane Doe would like to acknowledge partial support from the National Institute for Transportation and Communities (NITC; grant number ####), a U.S. DOT University Transportation Center, and the National Science Foundation (NSF; Grant number BCS-123456)."

Please include your PPMS project number in the attribution. This number functions as your award/grant number.

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

Disclaimer

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

The contents of this report reflect the views of the authors, who are responsible for the facts and the accuracy of the information presented herein. This document is disseminated under the sponsorship of the U.S. Department of Transportation's University Transportation Centers Program, in the interest of information exchange. The U.S. Government assumes no liability for the contents or use thereof.

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

ORCID

The Open Researcher and Contributor ID, or **ORCID,** is a unique identifier that unambiguously links researchers to their contributions, funding sources and affiliation(s). Researchers can use their ORCID to establish a professional record by tracking publications, patents, other research products and grant awards. Funding programs or agencies, such as NITC and U.S.DOT, can use ORCIDs as a way to track the progress and impact of projects and programs.

To learn more about ORCID go to https://ntl.bts.gov/publicaccess/ORCID.html or visited the website of the international non-profit that created this identifier, https://orcid.org/about.

We encourage all of our PIs to sign up for an ORCID and begin using this identifier as a way to link their research output to their NITC grant. This includes any publication that result from your project. **For NITC 16 grantees, however, this is a requirement. In addition, <u>all</u> authors listed on a publication are required to provide their ORCID.**

Appendices

Appendix A: Important Links

Content of Webpage	URL
Proposal and Project Management System (PPMS)	http://ppms.trec.pdx.edu/users/home
PI resources (For Researchers) – all forms or documents referenced in this guide are located on this page	http://nitc.trec.pdx.edu/for-researchers
Project website – use filter function to locate your project	http://nitc.trec.pdx.edu/research/projects
Researcher Directory – Use 'Search by Name' option to locate your profile	http://nitc.trec.pdx.edu/research/directory
NITC News	http://nitc.trec.pdx.edu/news
NITC Staff (see also next page)	http://nitc.trec.pdx.edu/about/staff
NITC U.S. DOT Reports	http://nitc.trec.pdx.edu/about

Appendix B: NITC Contacts

NITC Staff	Role	Contact Info
Lacey Friedly	Project promotion, website	Phone: 503-725-8545 Email: rlacey@pdx.edu
Hau Hagedorn	Associate Director	Phone: 503-725-2833 Email: hagedorn@pdx.edu
Michael Espinoza	Events and Office Coordinator	Phone: 503-725-2896 Email: michael.espinoza@pdx.edu
Cheyanne Kalainoff	Financial Research Administrator	Phone: 503-725-2829 Email: trecdra@pdx.edu
Cait McCasker	Communications Director	Phone: 503-725-2843 Email: cmccusker@pdx.edu
Eva-Maria Muecke	Research Program Administrator	Phone: 503-725-2897 Email: emuecke@pdx.edu
Lisa Patterson	Technology Transfer and Workforce Development Program Manager	Phone: 503-725-2838 Email: l.patterson@pdx.edu

Appendix C: Cost Share Documentation

:: NITC

Cost Share (Matching Funds) from Outside Source

Please fill out all applicable fields for in-kind cost share including matching external awards, volunteer services, and goods as outlined in the OMB Uniform Guidance. If the match source is an external project, please provide sponsoring agency name and award number to ensure that the funds are not federal. Please submit the form to trecdra@pdx.edu and copy the principal investigator.

1. PROJECT IDENTIFICATION

NITC Task Order No:	Principal Investigator (PI):
Project Title:	
Principal Investigator's University:	

2. MATCH SOURCE AND CONTRIBUTION INFORMATION

Name of Individual or Organization:	
Address of Individual or Organization:	
Describe how the reported cost share benefits the project:	
Printed name of individual certifying below:	Title of Certifier (if certifying on behalf of an organization):
Sponsoring Agency (if externally funded project):	Award Number (if externally funded project):

3. COST SHARE

Expense period of this report: From: _____   To: _____

Type and amount of 3rd party contributions to project during this reporting period:

	Amount		Volunteer Time	Units	Unit Value	Amount
Personnel (paid employees)			Hours			
Fringe Benefits*			Days			
Expendable Materials/Supplies			Total Volunteer Amount:			
Travel						
Fair Rental Value: Donated Space			Total Contributions This Period:			
Overhead*			Contributions Previously Reported:			
Other, Specify:			Total Contributions to Date:			
Subtotal			Total Contributions Expected:			

I certify the above costs have been incurred in support of this project, can be verified, and that these costs are not Federally-Funded nor have these costs been used as cost sharing or match on any other Federally-Funded project.

_____

SIGNATURE OF INDIVIDUAL AUTHORIZED TO CERTIFY   DATE

If Organization has an employee benefit and/or overhead rate agreement, please provide a copy with the report.

Appendix D: International Travel Request

Due: 75 days in advance of travel.

If you are planning to use NITC funds to present your research at an international conference, you will need to submit the following request via email to Eva-Maria Muecke (emuecke@pdx.edu) **75 days** in advance of travel. Requests will only be endorsed for travel to present results of funded research. The request will be routed to the NITC director for endorsement before submitting it to our sponsoring agency. Note that requests submitted after travel WILL NOT be approved.

1. Describe specific reason for travel including dates, and the value to be gained by the NITC grant program:

2. Name and relationship of traveler to the NITC grant:

3. Describe how the travel will further the goals of the NITC program:

4. Provide detailed itinerary & breakdown of planned expenses:

5. Endorsement of Center Director

Appendix E: Data Embargo Request#

Due: Request must be submitted with Draft Final Report
#Required only for research projects that are funded through **NITC 16**.

NITC

Please upload request to PPMS at the time you submit your Draft Final Report. Select "Other document" from upload option.

PROJECT INFORMATION

Project PPMS Number:	
Project Title:	
Principal Investigator:	Email address:
University:	

REASON FOR REQUEST

Describe specific reason(s) why you request the delay of the release of the data.
Requested Embargo End Date (must not exceed 6 months after project end date):

Principal Investigator Signature:	Date:

ENDORSEMENT OF CENTER

APPROVAL

	U.S.DOT approved?	YES / NO
	Date	
Approved Embargo End Date		

Appendix F: Change of PI Request

Approval of a NITC project includes consideration of the participation and qualifications of the Principal Investigator (PI). NITC requires notification whenever there is significant change in the level of participation by the PI in the awarded project. An email requesting a change in the level of PI participation should be addressed to the Research Program staff, the Executive Committee representative, and the PI's Office of Sponsored Programs. The email should detail:

- the reasons for the change in key personnel,
- a plan for conduct of the project and supervision after the change has been approved, and
- the proposed replacement personnel's vitae.

This request must be made prior to the implementation of any changes.

Short Term Absence of PI

If the change in PI effort is expected to be less than 90 days, the PI will notify the Research Program Manager described above. The Research Program Manager will approve if conditions are satisfactory. If plan is not satisfactory, project may be suspended until an approved plan is in place.

Long Term Absence of PI

If the change in PI effort is anticipated to be more than 90 days, but the PI plans to return to the project, the PI must notify the Program Manager as described above. If approved by the Research Program Manager, no amendment to the task order is required.

If the PI will be leaving the project and not returning, then a change of PI request must be made as described above. If the PI is replaced with a co-PI who is at a different institution or if scope of work will change with this action, the Executive Committee will need to approve the change. The Research Program Manager will approve the change if conditions are satisfactory and notify the PI, new PI, and the Office of Sponsored Programs. If a new PI is requested, then the task order for the project will be amended.

If the Research Program Manager does not approve the changes, the project may be suspended until an approved plan is in place.

Appendix G: Equipment Request Form

If you are planning to use NITC funds to purchase equipment, you will need to submit the following request via email to Eva-Maria Muecke (emuecke@pdx.edu). All equipment purchases that exceed $5000 need to be approved the US Department of Transportation (U.S.DOT) Research and Innovative Technology Administration (RITA).

1. Which NITC project(s) are involved?

2. Please describe and include the general specifications for the piece of equipment:

3. What is the cost (including relevant explanation of why one vendor was selected over another)?

4. How will it be used on your specific NITC-funded project (include how it may be essential to your project and how your research would be impacted if you did not have this piece of equipment)?

5. How will it add value to the NITC program?

Appendix H: Budget Change Request

Budget change requests are required for any changes **greater than 10% of the total budget** (see the task order) or for any equipment or foreign travel expenses not included in the approved budget. Please complete a revised budget form and the information below, sign and give to your institution's research office for processing. NITC will only accept budget change requests that have been approved by the PI's university research office. Once the PI's research office approves the budget changes, the revised budget and change request can be e-mailed to trecdra@pdx.edu. **A revised budget must be included with the budget change request form along with the most recent cost report for the project.**

PIs at Portland State University should work with their departmental research administrator (DRA). The DRA should send the final budget change request directly to trecdra@pdx.edu with the revised budget.

1. PROJECT INFORMATION

Project Start Date:	Project End Date:
Project Title:	
Principal Investigator (PI):	
PI's University:	
Phone:	
Email:	

2. PROGRESS Please provide detailed progress on your project to date.

% Project Completed to Date:	
% Grant Award Expended:	% Match Expended and Documented:

3. PROGRAMATIC REASON FOR REQUEST Please provide a justification for the budget changes below. The justification should explain why any change in effort or other expenditure would benefit the project. To fully expend the project funds is not a justifiable reason for a budget change request.

4. BUDGET CATEGORIES IMPACTED (check all that apply):

- ☐ Faculty Salaries

- ☐ Other Staff Salaries

- ☐ Student Salaries

- ☐ Employee Benefits (Fringe or OPE)

- ☐ Student Tuition

- ☐ Equipment ($5,000 or more) – please complete the "Equipment Request Form" and submit it with this request along with a vendor quote for the equipment. All equipment purchases requires OST-R prior approval.

- ☐ Expendable Property, Supplies, and Services

- ☐ Domestic Travel

- ☐ Foreign Travel – please complete the "International Travel Request Form" and submit it with this request. All foreign travel requests requires OST-R prior approval.

- ☐ Other Direct Costs (Specify in revised budget)

- ☐ F&A or Indirect Costs (Changes to tuition or equipment usually impacts indirect costs for institutions utilizing a modified total direct cost allocation base)

5. APPROVALS

	Signature	Date
Principal Investigator		
Dean or Department Chair (If applicable)		
PI's University Research Office (if not PSU)		
NITC Director Approval		