

# Formal Proposal Instructions • FY 11

## Submission Deadline: Monday, November 22, 2010, 5:00 p.m.

### LATE SUBMISSIONS WILL NOT BE ACCEPTED

**Heading:** Double click on the grey heading to edit it. Fill in name of the PI only. Fill in the proposal #11-XX-XX from the formal proposal invitation attached to your formal proposal notification e-mail of 10/28/10.

**Page Limit:** Proposals are limited to 7 pages, not including required appendices and leverage documentation. Pages exceeding the maximum will be discarded, making your proposal incomplete and thus unlikely to be funded.

1. **Project Title:** Brief, descriptive titles are best. Your title may differ from your preliminary proposal if necessary. If this is a continuation of a previously funded project, it must have a different name. Adding "Phase 2" at the end is acceptable.
2. **Project Start and End Dates.** Projects may begin 1/1/11 or later. All projects must terminate by 5/31/2012. Please plan your project carefully as extensions on UTCM projects are not routine, and will be granted only in cases with genuinely extenuating circumstances. Extensions will not be permitted beyond 5/31/2012.
3. **Project Abstract.** Limit of 300 words. The abstract must be composed for a general audience. Your abstract, or a portion of it, may be used in press releases and non-technical publications.
4. **Project Participants.** List the name and complete contact information of the PI and all persons involved in the project (those receiving salary or consulting funds from UTCM funds and/or providing salary or consulting as leverage; in short, everyone on your budget). Proposals should designate one PI who has overall responsibility for the project and who will serve as the project contact. Include the UIN of the PI. Designate remaining participants as co-PIs, Graduate Students, Undergrads, or Other Participants.
5. **Project Type.** Is this a research, education, or technology transfer project, or a combination? For definitions and clarifications of these project types, see FAQs ([http://utcm.tamu.edu/funding/formal\\_faq.stm](http://utcm.tamu.edu/funding/formal_faq.stm)) and Submission Information ([http://utcm.tamu.edu/funding/formal\\_proposals.stm](http://utcm.tamu.edu/funding/formal_proposals.stm)). Please indicate the approximate percentage of your project budget and leverage resources to be dedicated to each area. Normally, these are the same percentages assigned in Question 3 of your Preliminary Proposal; if different, please describe the differences.

NOTE: Since all research projects will have education and T2 components, do not assign percentages to these categories unless one or more significant deliverable of the project is associated with Education or Technology Transfer. For questions, please contact the UTCM office.

NOTE: Any percentage assigned to Research requires completion of Appendix 2 – Project Monitor and Appendix 3 – Human Subjects / IRB Statement, and completion of Questions 6, 9 and 10 below.

6. **Research Focus Areas.** If this is a research project, which research focus area(s) does the project encompass? See [http://utcm.tamu.edu/research/focus\\_areas.stm](http://utcm.tamu.edu/research/focus_areas.stm). Check all that apply.
7. **Project Significance.** Discuss your review of the literature and how this project fits into the body of research and/or development on this topic. What other work has been done (by you or others) and how is this project unique? Why is this project important? How will project results be used? What are the long-term implications of the project? How will it create opportunity for additional research or what long-term benefits will it provide? For a research project, describe how the project relates to the UTCM research focus areas selected in #6.
8. **Project Plan.** As you explain what you are going to do, be sure to:
  - a) Name all project participants on your budget (whether receiving funds from UTCM or leverage) and explain the roles/activities of each participant. This serves as your budget justification for salaries and fringe.
  - b) Include a detailed timeline for project tasks, all deliverables and dated project milestones. NOTE: Be sure your timeline is feasible, as a UTCM project is expected to terminate on time. All deliverables named in the project plan, including the final report, will be tracked and are expected to be submitted to the UTCM on time. No-cost extensions are not routine, and will be granted only in cases with genuinely extenuating circumstances. Extensions will not be permitted beyond 5/31/2012.
9. **Technology Transfer Component.** For research projects, how will you tell or show your results to others? Describe any deliverables that relate to Technology Transfer.
10. **Education Component.** For research projects, how will you involve undergraduate and/or graduate students? If known, give the department/program that each student will affiliate with. Describe any deliverables that relate to Education.
11. **Budget Justification.** Salaries and fringe are already justified in Question 8a. Explain any other items on your budget (Section B, Other Direct Costs, Lines 5-14) in a narrative budget justification. Justify Line 4 (tuition) only if you are not requesting the default amount of tuition support from UTCM (i.e. you have an alternate source of funding for tuition to be used as leverage). Indicate in your justification whether leveraged funds will be in cash or in kind (salary/fringe for on-campus personnel and donations of time by off-campus personnel is considered in-kind; tuition paid from other sources such as scholarships is considered cash). Include documentation of all leverage commitments as Appendix 3.

NOTE: For another project to be considered leverage, it must share deliverables with this project. That is, one or more project deliverables would not be possible without funding leveraged from another project. For questions about leverage, please contact the UTCM office.

## Appendices (not included in the 7-page limit)

**Appendix 1: RiP Categories.** Funded projects will be listed in the TRB Research in Progress database (<http://rip.trb.org/>). Please complete the form included as Appendix 1, selecting no more than five descriptors on the entire page. These descriptors are required by the RiP database.

**Appendix 2: Project Monitor.** For research projects, complete and sign the form included as Appendix 2 to designate a Project Monitor.

The Project Monitor is a transportation professional from the public or private sector whose expertise/experience includes a familiarity with the technical aspects of the topic being researched. The Project Monitor cannot be a team member on the project or otherwise be involved with the project. The Monitor may be affiliated with TTI or your home department, and may be engaged on a separate UTCM project. The responsibilities of a Project Monitor are to

- a) maintain contact with the PI throughout the life of the project;
- b) evaluate the progress of the research activities;
- c) provide PI guidance to ensure that the research will produce usable results;
- d) review the reports emanating from the project prior to their publication.

The Project Monitor is not required to submit a written review of your project but may, as part of his or her oversight duties, correspond in writing with the PI and/or the UTCM Director on project matters.

**Appendix 3: Human Subjects / IRB Statement.** For research projects, complete and sign the form included as Appendix 3 to determine your need to submit an IRB application.

**Appendix 4: Leverage Commitments.** Review Leverage FAQs on the UTCM web site ([http://utcm.tamu.edu/funding/formal\\_faq.stm](http://utcm.tamu.edu/funding/formal_faq.stm)). For each leverage column on your budget, evidence of a commitment from the source is needed. For university sources (typically startup funds or academic salaries) a signature on the budget by the department head/director is required. For existing contracts/grants (including federal funds), include a copy of the contract/grant and include the account number in the budget leverage column. For new non-university sources (including federal funds), a letter from the source outlining the leverage should be submitted, including dollar values where known. A sample leverage letter is available on the UTCM web site at ([http://utcm.tamu.edu/funding/formal\\_forms.stm#budget](http://utcm.tamu.edu/funding/formal_forms.stm#budget)).

**Appendix 5: Project Budget.** Provide a detailed project budget (including indirect costs) as Appendix 5, using the budget forms on the UTCM web site ([http://utcm.tamu.edu/funding/formal\\_forms.stm#budget](http://utcm.tamu.edu/funding/formal_forms.stm#budget)). Be certain to review Budget FAQs on the UTCM web site ([http://utcm.tamu.edu/funding/formal\\_faq.stm](http://utcm.tamu.edu/funding/formal_faq.stm)). For projects that cross fiscal years (Sept 1 - Aug 31), provide a cumulative budget and a budget for each fiscal year. If leveraged funds are expected, identify each source in its own column on the budget form and provide complete budget information, including indirect costs (best estimates are ok). For budget preparation assistance, please contact your representative at TTI's Research and Development Office (RDO), as shown here: [http://ttinet.tamu.edu/project\\_administration/rdo/rdo\\_staff/division.stm](http://ttinet.tamu.edu/project_administration/rdo/rdo_staff/division.stm). If you do not have a representative listed, contact [Susan Adams](#).

**Please note:** The budget form has been carefully constructed to compute all calculations for you, and to minimize the amount of information you have to enter. You may edit only the green and blue fields. All other fields are locked.

## Formatting Notes

Formal Proposals are limited to 7 pages, not including appendices referenced above, and should be submitted on the form provided. Source files must be submitted for your proposal and budget (Word for your proposal, Excel for your budget). PDF is acceptable for additional documentation, e.g. leveraging.

## Reminders

### Be sure that you...

- Review and follow all instructions in the FAQs ([http://utcm.tamu.edu/funding/formal\\_faq.stm](http://utcm.tamu.edu/funding/formal_faq.stm)) prior to submission.
- List everyone involved with the project in #4.
- Explain in #8 the role of everyone listed in #4.
- Include hours and salary on the budget for everyone listed in #4 and #8, either in direct funds from UTCM or in leverage.
- Include a dated timeline for project tasks and deliverables in #8.
- Justify in #11 all expenditures in Section B, lines 4-12 of your budget.
- Include account numbers on the budget leverage columns for existing non-university funding (e.g. contracts, grants, IACs, fellowships, etc.).
- Follow FAQ guidelines for graduate student salary and tuition.
- Follow FAQ guidelines for including funds for final report editing.
- Submit source files (Word, Excel) of your Formal Proposal and budget.
- Exclude from the 7-page limit: RiP database form, Project Monitor form, budget forms and leverage documentation.
- Direct any questions about your submission to Martha Raney Taylor, 979-845-2538, [m-raneytaylor@tamu.edu](mailto:m-raneytaylor@tamu.edu).