

Fiscal Year 2023-24

UC ITS Grant Award Requirements and Expectations Agreement

When accepting funding from the UC ITS, the project Principal Investigator (PI) agrees to the following requirements and expectations. Failure to meet these terms will negatively impact future award decisions.

A. COMMITMENT TO ADVANCING CALIFORNIA TRANSPORTATION POLICY AND PRACTICE

PIs acknowledges that funding for the UC ITS research program comes from the State of California with the expressed purpose of supporting research activities that directly address and inform transportation engineering, policy, and/or planning issues in California.

B. STAKEHOLDER ENGAGEMENT

PIs agrees to actively engage California-based policymakers and/or California-based practitioners (e.g., public agency staff, community-based partners, industry representatives) at all stages of the research project—at the beginning to ensure alignment with stakeholder priorities, throughout the course of the project to share and discuss preliminary findings, and at the end to discuss implications of results and disseminate results.

PIs agree to report all engagement activities in a 6-month progress report and at the close-out of their project.

PIs agree to provide at least one presentation sharing their work with practitioners and policymakers through a UC ITS organized webinar or event, if requested, or through an event or meeting organized by the PI as specified in the scope of work.

C. FUNDING ACKNOWLEDGEMENT

PIs agree to acknowledge the support provided by the UC ITS and the State of California in all presentations, publications, and other products resulting in whole or in part from the PI's research award. Acknowledgement language for projects funded through the Resilient and Innovative Mobility Initiative (RIMI) and the UC ITS' Senate Bill 1 allocation are provided below:

For projects funded through RIMI: This study was made possible with funding received by the University of California Institute of Transportation Studies from the State of California for the California Resilient and Innovative Mobility Initiative (RIMI). This [presentation, website, blog post, etc.] is disseminated under the sponsorship of the State of California in the interest of

information exchange and does not necessarily reflect the official views or policies of the State of California.

For projects funded through UC ITS' Senate Bill 1 allocation: This study was made possible with funding received by the University of California Institute of Transportation Studies through the Road Repair and Accountability Act of 2017 (Senate Bill 1). This [presentation, website, blog post, etc.] is disseminated under the sponsorship of the State of California in the interest of information exchange and does not necessarily reflect the official views or policies of the State of California.

D. FUNDING DISCLOSURE

PIs agree to disclose research funding (e.g., contracts, grant awards, in-kind support) for a project substantially similar to the project supported by the UC ITS. Multiple sponsors are encouraged, but full disclosure is required. An agreement for joint funding is required for research funded or proposed for funding in whole or in part by other agencies, organizations, or research collaborative (e.g., National Center for Sustainable Transportation, Pacific Southwest Region UTC).

E. GRANT PERIOD

PIs agree to submit all final deliverables and products by the end of the grant period. In the event that the project cannot be completed by the expected end date, a formal request for a no-cost extension must be submitted online using [this form](#) at least two months prior to the grant end date. Failure to submit final products on schedule will adversely impact future award decisions.

F. BUDGET

PIs agree to use the awarded funding in a manner consistent with the submitted and approved budget. For budget-related questions that come up over the course of the project, PIs from ITS campuses should reach out to [the lead at their campus](#), and PIs at non-ITS campuses should reach out to the UC ITS Research Program Coordinator.

G. PROGRESS REPORT

PIs agree to submit a progress report every 6 months. Progress reports will be submitted online through a UC ITS Project Reporting form provided by the UC ITS Research Program Coordinator. The progress report template will ask for a general update on progress made during the prior 6-month period, updates (as needed) on the research team and project stakeholders, engagement activities (particularly with project stakeholders), and information on products and/or publications. **For Non-ITS campuses only:** PIs must also submit a 6-month financial report outlining project expenditures. There is no specific format for the financial report.

H. FINAL DELIVERABLES

- a. **Report and Policy Brief Deliverables:** The PI agrees to produce final project deliverables by the end of the grant period. At minimum, final deliverables include: i) a research report using the [UC ITS Report Template](#) or an open access publication in a

peer-reviewed academic journal (visit the [UC ITS Current Grantee Resource Page](#) for more information on open access journals); and ii) a policy brief or alternative technology transfer deliverable (e.g., website, tool, video, infographic) appropriate for a policymaker and/or practitioner audience(s). An extension to the deliverable deadline may be granted by the UC ITS Research Program Coordinator for PIs who are waiting for their journal article to be accepted and/or published. The PI may choose to submit a journal article along with a more detailed UC ITS research report.

- b. **Stakeholder Review:** The PI agrees to provide the project's public agency stakeholder(s) and/or community-based stakeholder(s)/partner(s) an opportunity to review and comment on the draft version of the final report deliverable before the deliverable is submitted to: i) the UC ITS for internal review or ii) a peer-reviewed academic journal. The PI is encouraged to also share a draft version of the policy brief with the project stakeholder(s)/partner(s) for review; however, this is not required as long as the project stakeholder(s)/partner(s) had an opportunity to review the final report deliverable.
- c. **Report Template and Style Guide:** All UC ITS-published reports should use the [UC ITS Report Template](#). The report length should be commensurate with the scope and budget. The [Style Guide for UC ITS Reports](#) provides more information in terms of audience, tone, and writing style.
- d. **Policy Brief Template and Guidance:** The PI agrees to use the [UC ITS policy brief writing guidelines and template](#). Policy briefs should summarize the main findings of the research relevant to practice and/or policy in California, and be suitable for an informed by non-technical audience. The policy brief may cover findings from related work beyond the UC ITS-funded project if/as appropriate. See examples of completed UC ITS policy briefs [here](#).
- e. **Submission Process:** Reports and policy briefs will be finalized through an iterative process, [as outlined here](#), involving UC ITS copy editors, UC ITS central staff, and possibly external referees if necessary. Reports and policy briefs should be submitted as Microsoft Word documents using [this online form](#).
- f. **Archival and Dissemination:** All UC ITS reports and policy briefs are archived on the [UC ITS eScholarship account](#). The PI agrees not to post the PDF file of final reports and / or policy briefs in other online locations (e.g., website, blog, social media), but may post the UC ITS eScholarship link.

A. PROJECT CLOSEOUT PROCESS

At the end of the project, the PI agrees to: i) complete an online close-out survey answering questions related to the project's outcomes and impact, and ii) review and update information reported in the UC ITS Project Reporting Form. A link to the PI's UC ITS Project Reporting Form will be provided by the UC ITS Research Program Coordinator once final deliverables are submitted. Per the instructions in the UC ITS Project Reporting Form, the PI will review and update information about the research team and external partners, list additional products / deliverables, describe how external partners were engaged throughout the project, and answer

several questions in regard to the expected and/or potential impacts of the research on policy and practice. **For Non-ITS Campuses Only:** The PI agrees to submit a final financial report outlining final project expenditures. There is no specific format for this report; however, the report must include balances for each budget category. In the event there are remaining funds after the project has been completed, then these funds must be transferred back to the UC ITS.

B. STAKEHOLDER SURVEY

After the completion of the project, the PI acknowledges that UC ITS staff may survey the project's public agency partner(s) and/or community-based partner(s) to gain a better understanding of the partner's participation in and/or contributions to the research, as well as the benefit / impact of the research.

C. RESEARCH PRODUCTS REPORTING

For two years subsequent to the closeout of the project, the PI agrees to provide the UC ITS with periodic updates on all publications and other products resulting from the project. The PI agrees to report on publications and other project-related deliverables through [this online form](#). The PI may submit (or report) publications and other project-related deliverables at any time using the online form; and will also be reminded to do so by the UC ITS Research Program Coordinator on a semi-annual basis.