



SPR-B Policy Guidance

(Updated 2018)

2019 RAC Meeting

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Agenda

- **Welcome and Introduction**
- **History**
- **Overview of changes**
- **Q&A**





Purpose

To assist the Federal Highway Administration (FHWA) staff and State Departments of Transportation (DOT):

1. Implement a program of RD&T activities for planning, design, construction, and maintenance of highways and public and intermodal transportation systems
2. Develop, establish, and implement a management process that identifies and implements RD&T activities
3. Document a management process in compliance with 23 CFR Part 420 Subpart B
4. Conduct periodic peer exchanges of an RD&T program



History

- **The 2018 SPR-B guidance was released October 16, 2018**
- **Previous SP&R Guidance, 1994**
- **Map 21, the Fast Act, and 2 CFR 200**



History

- **The 2018 SPR-B guidance retains all of the previous guidance**
Including:
 - **Citation of the governing authorities**
 - **Minimum funding requirements (25% of the SPR 2% set aside)**
 - **The requirement of a documented Research Program Management Process (the Research Manual)**
 - **The requirement of a Research Work Program (SPR II)**



Overview of Changes

- **Brings SPR Subpart B Guidance current with existing Law (MAP 21 and the FAST Act).**
- **Expands eligibility to include Innovation Life Cycle defined in 23 USC Section 502:**
 - (A) the identification of a need;**
 - (B) the establishment of the scope of research to address that need;**
 - (C) setting an agenda;**
 - (D) carrying out research, development, deployment, and testing of the resulting technology or innovation; and**
 - (E) carrying out an evaluation of the costs and benefits of the resulting technology or innovation.**





Overview Continued

- **Authorizes the use of SPR Subpart B funds to:**
 - **develop, administer, communicate, and promote the use of products of research, development, and technology transfer programs under 23 USC Section 505.**



Overview Continued

- **Includes adoption of requirements of 2 CFR 200 (Uniform Guidance).**
 - Requires Performance measurements
 - Requires Effective Internal Control
 - Defines requirement for Period of performance including end date.
 - Reinforces Pass-through agency responsibility for sub-recipient compliance
 - Clarifies Closeout requirements
 - Defines Cost Principles
 - Defines Indirect Costs, responsibilities and approval authority including definitions of specific relationships.



Overview Continued

- **Includes 23 USC 505 (a) (1-7) list of all eligible SPR activities which includes both Subparts A & B.**
 1. Engineering and economic surveys and investigations.
 2. The planning of future highway programs and local public transportation systems and the planning of the financing of such programs and systems, including metropolitan and statewide planning under 23 U.S.C. 134 and 135.
 3. Development and implementation of management systems, plans, and processes under 23 U.S.C. 119, 148, 149, and 167.
 4. Studies of the economy, safety, and convenience of surface transportation systems and the desirable regulation and equitable taxation of such systems.



Overview Continued

5. Research, development, and technology transfer activities necessary in connection with the planning, design, construction, management, and maintenance of highway, public transportation, and intermodal transportation systems.
6. Study, research, and training on the engineering standards and construction materials for transportation systems described in paragraph (5), including the evaluation and accreditation of inspection and testing and the regulation and taxation of their use.
7. The conduct of activities relating to the planning of real-time monitoring elements.

Only items 5 and 6 are eligible under Subpart B.



Overview Continued

- **Includes 23 CFR 420.203 definitions for RDT&I applicable to SPR Subpart B (25% set aside) which may limit eligibility of SPR activities.**
 - ***“RD&T activity*** means a basic or applied research project or study, development and technology transfer activity.”
 - ***“Research*** means a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. Research can be basic or applied.”
 - ***“Applied research*** means the study of phenomena to gain knowledge or understanding necessary for determining the means by which a recognized need may be met; the primary purpose of this kind of research is to answer a question or solve a problem.”



Overview Continued

- **Eligibility definitions continued:**
 - “**Basic research** means the study of phenomena, and of observable facts, without specific applications towards processes or products in mind; the primary purpose of this kind of research is to increase knowledge.”
 - “**Development** means the systematic use of the knowledge or understanding gained from research, directed toward the production of useful materials, devices, systems or methods, including design and development of prototypes and processes.”



Overview Continued

- **Eligibility definitions continued:**

- ***“Technology transfer*** means those activities that lead to the adoption of a new technique or product by users and involves dissemination, demonstration, training, and other activities that lead to eventual innovation.”

Note: RD&T activities cease to be eligible for SPR Subpart B funds upon completion of testing, evaluation, and dissemination under Technology Transfer as appropriate, and/or if they no longer meet the definitions listed above.



Questions?





Information and Support

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