



**Principal Investigator's Guide
to OTREC-Sponsored Activities**

**OREGON TRANSPORTATION RESEARCH
AND EDUCATION CONSORTIUM
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1. Introduction

Congratulations on receiving an OTREC award! OTREC is a National University Transportation Center funded by the United States Department of Transportation's (USDOT) Research and Innovative Technology Administration (RITA). This guide is intended to help OTREC-sponsored PIs understand expectations associated with the grant award. More about OTREC can be found in the FAQs in Appendix A.

OTREC awards are made only after a rigorous peer-review proposal selection process, and this ensures that the best projects that fit well with OTREC's theme and USDOT priorities are funded. Principal Investigators (PIs) are obligated to comply with all grant requirements. PIs should take seriously the grant obligations since successful adherence to and past performance on budget, schedule, and project requirements will be used as a review criterion for future proposals submitted. The expectations are also intended to ensure integrity of the project throughout the life of the grant.

OTREC projects must show significant progress during the grant year, demonstrate relevant outcomes, and provide breadth and depth relating to the OTREC theme of advance technology, integration of land use and transportation, and healthy communities. 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 and should result in dissemination of results via journal publications and presentations at recognized conferences.

2. Key OTREC Project Requirements

OTREC-sponsored research, education and technology transfer projects require that the PI understand key deliverables for each project. PI cooperation is essential to ensure timely reporting to our federal sponsor. Requirements are as follows:

- A. Progress reports (formally quarterly reports): Progress reports are due twice - once at the end of March, and again at the end of the project. These reports provide OTREC staff with a mechanism to ensure that the funded activity is progressing as planned, and will support OTREC's reporting to the federal sponsor. These brief reports will consist of the following:
 - Provide update on progress of tasks to date.
 - List specific accomplishments, noting 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.
 - Identify unexpected delays or issues, if applicable.
 - Include in the final progress report the following metrics:
 - Research
 - Number of research papers presented for this project at academic/professional meetings
 - Number of undergraduate students involved in this research

Number of graduate students involved in this research
Education or Technology Transfer
Number of events (transportation training seminars, workshops, symposia, etc.) held for transportation professionals
Number of transportation professionals participating in these events

PIs are asked to submit reports using OTREC's on-line project management system accessible via the OTREC web site (see Appendix B for sample).

- B. Final reports:** Every OTREC-sponsored project will require a summary of research findings and/or educational and technology transfer activities in an OTREC final report. OTREC final report templates, style guidelines and cover page specifications are available on the website. **The draft final report must be submitted 30 days prior to the official end date of the project.** The draft final report is subject to Executive Committee review, and will be peer-reviewed during a two-month review process. OTREC will send the draft final report to up to three peer-reviewers, including one federal reviewer. As applicable, at least one representative of the matching/partner entity will be asked to provide a review. PIs will also be asked to identify additional appropriate peer reviewers for their report. PIs should allow for two months of review time in their schedule for this to occur. **PIs are responsible for incorporating peer-review comments into the final report which is due 30 days (firm) after the end date of the project.**

OTREC's unique collaborative partnership between the four Oregon universities provides a great opportunity to showcase the diversity of funded activities. The use of visuals such as photographs, graphs, charts, etc. is highly encouraged to further enrich reports and deliverables.

Before publishing, final reports will be reviewed by an editor to ensure standard formatting requirements are met. All final reports will be produced as part of a numbered OTREC report series, and will include the required disclaimer and OTREC funding attribution (see section 7, "OTREC Attribution and Disclaimer"). All final reports will be posted on the OTREC website, and the URL of the full version of the reports will be provided to the TRB TRIS database to the USDOT's on-line National Transportation Library. OTREC will also produce printed copies for the OTREC library and for the following institutions, as required by our sponsor:

- Transportation Library at Northwestern University
- Volpe National Transportation Systems Center
- Institute of Transportation Studies Library at University of California, Berkeley
- National Technical Information Service
- Transportation Research Board Library

- C. Technology transfer:** OTREC strongly encourages 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 OTREC, and should include appropriate

attribution. Seminars, symposia, distance learning classes and any education or technology transfer activities undertaken with OTREC support requires collection of metrics on numbers of transportation professionals attending. Video or streaming web archives that can be posted on the OTREC web site are welcome.

3. Project Oversight - Technical Advisory Committees

OTREC recognizes that many of the selected projects have technical advisory committees (TAC) established by external match partners. OTREC encourages 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. PIs should contact OTREC if assistance is needed in identifying appropriate committee members. The TAC may also be a source for peer review of final reports.

4. Performance Indicators

The data requested in the progress reports and in the final report is required so that OTREC can collect performance measures and gauge how well programs are working towards achieving OTREC goals. These performance measures are reported to our federal sponsor (see Appendix C for more about our performance measures).

5. No-Cost Extension Requests

OTREC understands that unexpected project delays can occur, especially when awards are delayed. However, no-cost extension requests for 2007-2008 projects are not to exceed 15 months from the date of the award (see original award letter date). Extension request forms (see sample in Appendix D and find the form on the OTREC website) must **be filled out completely, signed, and given to the PI's University Research Administration office by August 24, 2008** (approved request forms are due to OTREC on August 31, 2008). OTREC will only accept extension requests that have been approved by the PI's university research office.

Because OTREC is performance driven and must report annually on performance measures that relate to program activities, principal investigators must show reportable progress throughout the life of a project, and must justify the need for an extension. Extreme circumstances for extensions will be considered on a case by case basis. You will be notified by OTREC within two weeks of submittal whether your extension has been approved. **PIs should recognize that schedule performance may factor into future funding decisions.**

6. Continuing Projects

OTREC expects that multi-year projects will be the exception for funding requests. PIs must note that OTREC cannot guarantee funding for future phases of continuing projects. Proposals for continuing projects must undergo the same rigorous peer-reviewed proposal selection process as new projects. In addition, funding will be contingent on progress made on currently funded projects and responsiveness to OTREC requests. Outstanding obligations must be met before any subsequent phases will be considered.

7. OTREC Attribution and Disclaimer

PIs should make proper attribution to OTREC in presentations, papers, submitted articles, websites, final reports, and other project dissemination with the following statement, or similar: *This project was funded by the Oregon Transportation Research and Education Consortium (OTREC).* All dissemination should include the OTREC logo and reference as a sponsoring agency. A copy of the logo is available below, or electronically from OTREC staff.

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 solely responsible for the facts and the accuracy of the material and information presented herein. This document is disseminated under the sponsorship of the U.S. Department of Transportation University Transportation Centers Program and [OREGON DEPARTMENT OF TRANSPORTATION or UNIVERSITY or other SPONSER/PARTNER] in the interest of information exchange. The U.S. Government and the [OREGON DEPARTMENT OF TRANSPORTATION or UNIVERSITY or other SPONSOR/PARTNER] assume no liability for the contents or use thereof. The contents do not necessarily reflect the official views of the U.S. Government or [OREGON DEPARTMENT OF TRANSPORTATION or UNIVERSITY or other SPONSOR/PARTNER]. This report does not constitute a standard, specification, or regulation.



APPENDIX A: OTREC FREQUENTLY ASKED QUESTIONS

What is OTREC?

The Oregon Transportation Research and Education Consortium (OTREC) is a National University Transportation Center (UTC) created by Congress in 2005. OTREC is based at Portland State University, and is a partnership between PSU, the University of Oregon, Oregon State University and the Oregon Institute of Technology.

Whom should I contact?

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What is a UTC?

U.S. Department of Transportation → Research and Innovative Technology (RITA) → University Transportation Center Program: Internationally recognized centers of excellence, fully integrated within institutions of higher learning, serving as vital sources of leaders who are prepared to meet the nation's need for safe, efficient and environmentally sound movement of people and goods. Mission: to advance U.S. technology and expertise in many disciplines comprising transportation through education, research and technology transfer at university-based centers of excellence.

What are UTC goals and performance criteria?

1. Education: multi disciplinary program of coursework and experiential learning reinforcing center's transportation theme.
2. Human Resources: increased number of students, faculty and staff attracted to and substantively involved in center's undergraduate, graduate and professional programs.
3. Diversity: students, faculty and staff reflecting growing diversity of U.S. workforce and are substantively involved in center's undergraduate, graduate and professional programs.
4. Research Selection: objective process for selecting and reviewing research balancing program's multiple objectives.
5. Research Performance: ongoing program of basic and applied research, products of which are judged by peers or other experts in the field to advance body of knowledge in transportation.
6. Technology Transfer: availability of research results to potential users in a form that can be directly implemented, utilized or otherwise applied.

What types of UTCs does RITA sponsor?

National, Regional, Tier 1, Tier 2, Transit. OTREC is a National UTC, funded at \$16 million over five years (\$2.0 first year, \$3.5 years two through five). Actual funding for first year: \$1.5 million, \$3.0 for second year.

Where are the other National UTCs?

- University of Alaska
- Marshall University, West Virginia, on behalf of a consortium of West Virginia colleges and universities.
- University of Minnesota.
- University of Missouri, Rolla.
- Northwestern University.
- Oklahoma Transportation Center.
- Portland State University, in partnership with the University of Oregon, Oregon State University, and the Oregon Institute of Technology.
- University of Vermont.
- Western Transportation Institute at Montana State University.

- University of Wisconsin.

What is OTREC's mission?

Stimulating and conducting collaborative multi-disciplinary research on multi-modal surface transportation issues; educating a diverse array of current practitioners and future leaders in the transportation field; encouraging implementation of relevant research results through technology transfer.

What is OTREC's theme?

Through collaboration and partnerships with faculty, transportation agencies and industry, the OTREC theme is: *Advanced Technology, Integration of Land Use and Transportation, and Healthy Communities*

How is OTREC governed?

An Executive Committee made up of one faculty member from each partner institution (Bertini, PSU; Schlossberg, UO; Higgins, OSU; and Lindgren, OIT), a representative appointed by ODOT (Barnie Jones) and one appointed by USDOT (Satvinder Sandhu, Oregon Division of the FHWA) guides project selection. Robert Bertini is the Director, guiding day to day activities. There is also an OTREC Board of Advisors, made up of representatives from transportation-related organizations, primarily in Oregon. The role of the BOA is to provide guidance on OTREC's overall mission.

How is OTREC organized at PSU?

The OTREC Director reports to William Feyerherm, PSU Vice Provost for Research and Graduate Studies, Office of Research and Sponsored Projects. OTREC's responsibilities include campus-wide coordination of transportation related research, education and technology transfer.

What kind of staff does OTREC have?

Robert Bertini is the director, Hau Hagedorn is the research program manager, Jenny Kincaid is the communications and education coordinator, and Carol Wallace is the fiscal coordinator. Alan Kolibaba is the PSU Assistant Vice Provost for Research Services and Tina Frost is the PSU Contracts Specialist.

What types of projects will OTREC fund?

OTREC will fund research, education and technology transfer projects, based on a peer-reviewed proposal process.

Is OTREC multimodal, multidisciplinary, multicampus, statewide and collaborative?

YES! We have identified more than 100 faculty in 27 disciplines who are interested in transportation research and education.

Who is eligible to serve as a PI?

Faculty at the four partner institutions are eligible to serve as PIs.

Is OTREC working with other UTCs and other states?

Yes! We have formed the Northwest University Transportation Consortium (Alaska,

Washington, Idaho, Oregon—four UTCs, four state DOTs and eight universities) and have begun talking with other National UTCs, and the six California UTCs about possible collaborative efforts.

What are the Federal Research Priorities that OTREC must comply with?

OTREC will support the national strategy for surface transportation research as outlined by USDOT in the following documents:

- a. National Highway Research and Technology Partnership's *Highway Research and Technology: The Need for Greater Investment*
<http://gulliver.trb.org/publications/rtforum/HwyRandT.pdf>
- b. Federal Transit Administration's *National Research and Technology Program*
http://www.fta.dot.gov/26_ENG_HTML.htm
- c. U.S. Department of Transportation's *Strategic Plan*
http://www.dot.gov/about_dot.html
- d. U.S. Department of Transportation's *Research, Development, and Technology Strategic Plan*, including its 2006 update
- e. <http://www.volpe.dot.gov/infosrc/strtplns/index.html>
- f. Maritime Administration's *Research, Technology, Demonstration, and Deployment (RTDD) Program* <http://www.marad.dot.gov/R&D/index.html>

What is match?

OTREC must meet a minimum 100% non-federal match requirement. PIs will be required to bring match to the table as cash or in-kind. Some federal funds will qualify as match: specifically, funds under U.S.C. Title 23, Sections 503, 504(b), or 505, which refer to technology deployment, local technical assistance, state planning and research (SPR) programs and cooperative research programs managed by the Transportation Research Board, including NCHRP and TCRP. Indirect cost return can be used as cash match. Faculty salary, student tuition remission and stipend, scholarships, OPE, and federal indirect (indirect Facilities and Administration or F&A) on all of these expenses qualifies as in-kind match.

What is the process for research project solicitation?

The basic research project solicitation process will consist of the following steps:

1. The Executive Committee will develop an RFP for research projects (new, continuing and faculty development), as well as for education and technology transfer projects (including student fellowships). PIs must choose one (research, education or technology transfer) that best describes their primary proposed efforts.
2. The RFP will be distributed to faculty partners, department chairs, existing center directors, deans, the Board of Advisors and a larger stakeholder email list. It will also be available on the OTREC website.
3. A list of potential proposal peer-reviewers will be compiled based on specific expertise in the fields related to our theme.
4. Project proposals will be submitted to OTREC and sent to 3-4 peer-reviewers for confidential review. This will include at least one USDOT reviewer. If authorized by PIs, proposal abstracts can be posted on the OTREC website and made available to agency partners to determine whether matching opportunities may exist.

5. We will follow National Science Foundation procedures for conflict of interest (reviewers will have no affiliations with applicant institution, no relationship with an investigator: <http://www.nsf.gov/pubs/2002/form1230p/form1230p.pdf>)
6. Peer-reviewers will review proposals on the basis of intellectual merit, broader impacts, relevance to OTREC's theme and the national transportation research agenda. Scoring of the proposals will consist of:
 - Excellent: outstanding proposal in all respects; deserves highest priority for support.
 - Very Good: high quality proposal in nearly all respects; should be supported if at all possible.
 - Good: a quality proposal worthy of support.
 - Fair: proposal lacking in one or more critical aspects; key issues need to be addressed.
 - Poor: proposal has serious deficiencies.
7. Reviewed proposals will be ranked and distributed to Executive Committee members. In addition to project merit (via peer-reviewers), the Executive Committee will evaluate the acceptable proposals based on OTREC priorities, equity across partner campuses, collaboration across disciplines or campuses, support of junior faculty, match sources and commitment, and student involvement. Projects will then be ranked for consideration by the Executive Committee to address campus balance, basic vs. applied research and other factors considered appropriate.

What are the Peer-Review Criteria?

1. What is the intellectual merit of the proposed activity? (*source: NSF*)
 - a. How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?
 - b. How well qualified is the proposer (individual or team) to conduct the project?
 - c. To what extent does the proposed activity suggest and explore creative and original concepts?
 - d. How well conceived and organized is the proposed activity?
 - e. Is there sufficient access to resources?
2. What are the broader impacts of the proposed activity? (*source: NSF*)
 - a. How well does the activity advance discovery and understanding while promoting teaching, training, and learning?
 - b. How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, modal, urban/rural etc.)?
 - c. To what extent will it enhance the infrastructure for research, education and technology transfer, such as partnerships or activities beyond the funded project that will live on past the life of the specific project and further OTREC's objectives?
 - d. Will the results be disseminated broadly to enhance scientific and technological understanding?
 - e. What may be the benefits of the proposed activity to the national surface transportation research agenda?
3. To what extent is this project consistent with the OTREC theme? The campus Associate Directors (Executive Committee members) will ensure that each proposal is consistent with the OTREC theme before peer-review begins.

4. Supports and involves students in the form of research that fulfills degree requirements (publication/presentation/conference/journal).
5. Matching funds are provided. Priority may be given to external cash match.
6. Supports untenured tenure track (junior) faculty.
7. To what extent does this project support substantive collaboration?
 - a. More than one discipline.
 - b. Two/three/four campuses.
 - c. External agency, nonprofit, industry, private, other state/country.
 - d. Northwest Consortium (Region 10).
8. Satisfies USDOT multimodal research priorities as defined in SAFETEA-LU. Each principal investigator (PI) must identify one or more specific citation from these resources:
 - a. *Highway Research and Technology: The Need for Greater Investment*
 - b. National Research and Technology Program of the Federal Transit Administration
 - c. *Department of Transportation Strategic Plan*
 - d. *U.S. Department of Transportation Research, Development, and Technology Plan*
 - e. Advanced Research
 - f. Congestion Chokepoints
9. Past performance on OTREC or other UTC projects (on time, reporting, etc.), likelihood of successful completion, potential for technology transfer.
10. Plan for research implementation.

What are ODOT's research priorities?

See http://www.oregon.gov/ODOT/TD/TP_RES/ResPriorities.shtml

APPENDIX B: PROGRESS REPORT SAMPLE



Progress Report

Progress reports are due at the end of March and again at the end of the project.

1. PROJECT INFORMATION			
Report Date:		Mid-year or Final progress report:	
Project Start Date:		OTREC Project No:	
Project Title:			
Principal Investigator (PI):			
University:			
Phone:			
Email:			

2. TASK PROGRESS		
Please provide detailed progress on your project to date.		
Task	% Completed to Date	Progress to Date
Task # or Title		
Task # or Title		
Task # or Title		

3. NOTABLE ACCOMPLISHMENTS

Notable accomplishments, outstanding students, notable collaboration or exciting results and activities undertaken that support the national strategy for surface transportation research and/or respond to DOT priorities. This information may be used in OTREC newsletters and included in the OTREC Annual Report:

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4. ISSUES

Please note any issues of concern.

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5. PERFORMANCE METRICS (required for final progress report) - please provide the following information.

Research:	
Number of research papers presented for this project at academic/professional meetings:	
Number of undergraduate students involved in this project:	
Number of graduate students involved in this project:	
Education or Technology Transfer:	
Number of events (transportation training seminars, workshops, symposia, etc.) held for transportation professionals:	
Number of transportation professionals participating in these events:	

APPENDIX C: PERFORMANCE INDICATORS FOR UNIVERSITY TRANSPORTATION CENTERS (UTCs)

Report for the completed grant year and for the institution(s) comprising your UTC.

Research Selection

1. Number of transportation research projects selected for funding using your UTC grant funding (Federal and/or match).
 - 1a. Number of those projects that you consider to be: basic research, advanced research and applied research. Projects may be included in more than one category if applicable.
2. Total budgeted costs for the projects reported in 1 above.

Research Performance

3. Number of reports issued that resulted from transportation research projects funded by the UTC grant.
4. Number of transportation research papers presented at academic/professional meetings that resulted from projects funded by the UTC grant.

Education

5. Cumulative number of transportation-related courses that have been added since the beginning of the grant to the number of courses you reported in Baseline Measure 1 in your UTC Strategic Plan. Include courses added to the university course catalog whether or not they were conducted during a particular grant year (undergraduate and graduate).
6. Number of undergraduate and graduate students participating in transportation research projects. Count individual students (one student participating in two research projects counts as one student).

Human Resources

7. Cumulative number of transportation-related advanced degree programs that have been added since the beginning of the grant to the number of degree programs you reported in Baseline Measure 3 in your UTC Strategic Plan (master's level and doctoral level).
8. Number of students enrolled in transportation-related advanced degree programs (the baseline programs and any added since the beginning of the grant (master's level, doctoral level).
9. Number of students who received degrees through the baseline and any added transportation-related advanced degree programs (master's level and doctoral level)

Technology Transfer

10. Number of transportation seminars, symposia, distance learning classes, etc. conducted by your UTC for transportation professionals.
11. Number of transportation professionals participating in those events.

APPENDIX D: NO-COST PROJECT EXTENTION SAMPLE



No-Cost Project Extension Request Form 2007-2008

Please fill out the form completely, sign and give to your institution's research office for processing by **August 24, 2008** (approved request forms are due to OTREC on August 31, 2008). OTREC will only accept extension requests that have been approved by the PI's university research office. No-cost extensions for 2007-2008 projects are not to exceed 15 months from the date of the project award (see the award letter date). OTREC is performance driven and must report annually on performance measures that relate to program activities. Therefore principal investigators must show reportable progress throughout the life of a project, and must justify the need for no-cost extensions.

1. PROJECT INFORMATION			
Project Start Date:		OTREC Project No:	
Project Title:			
Principal Investigator (PI):			
University:			
Phone:			
Email:			

2. NO-COST PROJECT EXTENSION REQUEST INFORMATION	
Please provide detailed progress on your project to date.	
% Project Completed to Date:	
Describe Progress to Date (include technical progress as well as number of students involved, etc.):	
Reason for Extension:	
% OTREC Grant Award Expended:	
% Match Expended and Documented:	
Anticipated Project End Date (see maximum extension rules in above instructions):	
Principal Investigator Signature & Date:	

3. APPROVALS	Signature	Date
Dean or Department Chair (OSU only)		
University Research Office		
OTREC		

3. APPROVALS	Signature	Date
Approved new project end date (OTREC use only)		