

STATE PLANNING AND RESEARCH SUBPART B - DIVISION PROGRAM ACTION CHECKLIST

Program Category	Program Element	Reference	Mandate	Timeline	Brief Description	State DOT	FHWA Division
SPR-B Program Management							
	Research Management Process Developed	23 CFR 420.209(a)	Required	Periodically. Recommended every 5 yr ⁽¹⁾	Management process that identifies and results in implementation of RD&T activities expected to address high-priority transportation issues.	Develop, establish, and implement.	Review management process periodically. Recommend once every 5 yr.
	Research Manual Documents Management Process	23 CFR 420.209(b)	Required	Periodically. Recommended every 5 yr ⁽¹⁾	Documentation that describes the State DOT's management process and the procedures for selecting and implementing RD&T activities.	Develop, establish, and implement. Submit significant updates for approval.	Review and approve, as needed.
	Procedure to Determine the Effectiveness of the State DOT's Management Process	23 CFR 420.209(a)(5)	Required	Ongoing	Procedures that determine the effectiveness of the State DOT's management process in implementing the RD&T program.	Develop, establish, and implement.	Review and approve, as needed.
	Minimum Expenditure	23 CFR 420.107(a)	Required	Annual	A minimum of 25 percent of the allocated SPR program funds on RD&T transfer activities. See exceptions in regulation.	Minimum of 25 percent of allocated SPR Program funds. Document expenditures.	Review and confirm. Compare with Annual Performance and Expenditure Report.
	SPR-B Funds Used to the Maximum Extent Possible	23 CFR 420.209(a)(2)	Required	Ongoing	Use of all FHWA planning and research funds set aside for RD&T activities to the maximum extent possible.	Maximize use of SPR-B funds.	Review and confirm. Compare with Annual Performance and Expenditure Report.
	Procedures Developed for Documenting RD&T Activities	23 CFR 420.209(a)(6)	Required	Ongoing	Procedures for documenting RD&T activities through the preparation of final reports. See regulation for minimum requirements.	Develop, establish, and implement.	Ensure that minimum documentation is included in the procedures.
	Federal Share and Match Documented	23 CFR 420.111(b)(1)	Required	Annual	Work program must include description of work, cost estimates, and Federal share and matching share information.	Show Federal share in work program and/or Annual Performance Expenditure Report.	Review and confirm.
	Costs Principles	23 CFR 420.113	Required	Ongoing	Costs eligible for Federal participation are those that meet the requirements of 23 CFR 420.113. ⁽¹⁾	Ensure all cost principles are met, outlined in Federal regulations.	Review and approve, as needed. Assist with regulation interpretation.
	Periodic Review of States' Management Process	23 CFR 420.209(d)	Required	Periodically. Recommend every 5 yr ⁽¹⁾	The FHWA Division Administrator shall periodically review the State DOT's management process to determine the State is in compliance.	Participate and provide supporting data.	Perform review and determine compliance. Invite HRTM to participate, as needed.

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SPR-B Program Management (Continued)							
	Peer Exchange	23 CFR 420.209(a)(7)	Required	Periodically. Recommend every 5 yr ⁽²⁾	Participation in peer exchanges of its RD&T management process and of other State DOTs' programs on a periodic basis.	Host and provide supporting data. Provide report. Could attend other States' peer exchanges.* Could host an Innovation Day.*	Participate and support. Invite HRTM to attend.
	Performance and Expenditure Report	23 CFR 420.117(b)(1)	Required	Annual, unless required more frequently by the FHWA Division Office	The State DOT must submit performance and expenditure reports, including a report from each subrecipient. See regulation for minimum requirements.	Prepare annually. Submit for review.	Review and comment.
SPR-B Project Identification and Management							
	Projects Identified and Prioritized	23 CFR 420.209(a)(1)	Required	Ongoing	An interactive process for identification and prioritization of RD&T activities for inclusion in an RD&T work program.	Develop, document, and use.	Review and ensure eligible as appropriate.
	Research Project Tracking	23 CFR 420.209(a)(3)	Required	Ongoing	Procedures for tracking program activities, schedules, accomplishments, and fiscal commitments.	Track and submit.	Ensure projects are tracked and monitored according to approved procedures.
	Pooled Fund Projects	23 CFR 420.207	Required	As needed	Funding RD&T transfer activities of mutual interest on a pooled-funds basis.	Lead or join as appropriate.	Review and comment. Send to HRTM for review and approval.
	Equipment Purchases over \$5,000	2 CFR 200.439(b)(2)	Required	Ongoing	Equipment purchases over \$5,000 require prior approval by the FHWA DA, unless waived.	Submit for approval prior to purchase. Follow all required Federal requirements for equipment purchases, i.e., Buy America, Disposition.	Review and approve.
	Final Research Reports	23 CFR 420.209(a)(6)	Required	Ongoing	Procedures for documenting RD&T activities through the preparation of final reports. See regulation for minimum requirements.	Publish research reports.	Inform State DOT of final report distribution list. Ensure HRTM received a copy of the report.
	TRIS Database Submittal (also known as TRID)	23 CFR 420.209(a)(4)	Required	Ongoing	Support and use of the TRIS database for program development, reporting of active RD&T activities, and input of the final report information.	Submit final reports to TRIS database. Reports are Section 508 compliant.* ⁽³⁾	Verify reports are uploaded to the TRIS database, as needed.

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SPR-B Work Program Development, Content, and Approval							
	Research Activities and Costs Identified	23 CFR 420.207	Required	Typically annual or biannual	A description of RD&T activities to be accomplished during the program period, estimated costs for each eligible activity, and a description of any cooperative activities.	Prepare. Submit for approval. Include non-Federally funded projects.*	Review, comment, and approve. Project agreement must be executed for each RD&T work program.
	Amendments	2 CFR 200.308	Required	As needed	Documentation that describes significant additions, deletions, or modifications including funding changes and transfer of funds among RD&T activities.	Prepare, as needed. Submit for approval.	Review, comment, and approve.
	Certification of SPR Research Program	23 CFR 420.209(c)	Required	Annual or biannual	The State DOT must include a certification that it is in full compliance with the requirements SPRB. Include with each work program. See regulations for discussion exception and conditional approval.	Prepare and submit signed certification statement with work program.	Review, comment, and approve.
Other SPR-B-Related Programs							
	Innovation TIDP	23 U.S.C. 502-503	Recommended	Ongoing	Fund RD&T transfer activities, including EDC.	Coordinate innovations; identify/share best practices and lessons learned.	Identify and disseminate best practices and lessons learned.
	Experimental Features Program (No longer a Federal requirement)	None	Recommended	Ongoing	Evaluate new or innovative highway technology under actual construction and operating conditions by means of a program or experimental construction projects.	Coordinate innovations; identify/share best practices and lessons learned.	Support, as needed.
	EDC	EDC	Recommended	Ongoing	State-based model that identifies and rapidly deploys proven, yet underutilized innovations.	Coordinate innovations; identify/share best practices and lessons learned.	Participate and support. Inform State of new initiatives.
	STIC	STIC	Recommended	Ongoing	The leadership platform in every State used to identify critical needs, find best solutions, and implement them quickly.	Meet with stakeholders to consider all sources of innovation.	Participate and support.

SPR-B Program Checklist

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Other SPR-B-Related Programs (Continued)							
	NCHRP	NCHRP	Recommended	Ongoing	Cooperative RD&T program directed toward solving problems of national or regional significance identified by State DOTs and FHWA.	Lead or join as appropriate. Provide supporting information.	Participate and support.
	TRB	TRB	Recommended	Ongoing	Provide leadership in transportation improvements and innovation through exchange, research, and advice regarding all modes of transportation. NCHRP and TRIS fall under TRB.	Lead or join as appropriate. Provide supporting information.	Participate and support.
	LTAP	LTAP	Recommended	Ongoing	Provide education and training, technical assistance, and related support services to assist rural, local transportation agencies and tribal governments.	Look for opportunities to align research activities with local needs.	Participate and support.
	UTC	UTC	Recommended	Ongoing	Advance U.S. technology and expertise in the modes and disciplines of transportation through research, education, and technology transfer.	Participate in the advisory committees to advance State research needs.	Provide information on USDOT strategic goals for research (FHWA Strategic Plan).

*Denotes best practices.

¹Federal Highway Administration. 2018. "Planning and Research Program Administration Guidance" (web page). https://www.fhwa.dot.gov/publications/research/general/spr/subpartB/spr_subpartB.pdf, last accessed April 7, 2021.

²Moulden J. 2010. State Planning and Research Guide for Peer Exchanges. Report No. FHWA-HRT-10-048. McLean, VA: Federal Highway Administration. <https://www.fhwa.dot.gov/publications/research/spr/10048/10048.pdf>, last accessed April 7, 2021.

³GSA. n.d. "Section 508 of the Rehabilitation Act of 1973" (web page). <https://www.section508.gov/manage/laws-and-policies>, last accessed April 7, 2021.

CFR = Code of Federal Regulations; DA = Division Administrator; DOT = department of transportation; EDC = Everyday Counts; FHWA = Federal Highway Administration; HRTM = Office of Corporate Research, Technology, and Innovation Management; LTAP = Local Transportation Assistance Program; NCHRP = National Cooperative on Highway Research Program; RD&T = research, development, and technology transfer; SPR = State Planning and Research; SPR-B = SPR, part B; STIC = State Transportation Innovation Council; TIDP = Technology and Innovation Deployment Program; TRB = Transportation Research Board; TRID = Transport Research International Documentation; TRIS = Transportation Research Information Services; U.S.C. = U.S. Code; USDOT = U.S. Department of Transportation; UTC = University Transportation Centers.

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Recommended citation: Federal Highway Administration, State Planning and Research Subpart B—Division Program Action Checklist (Washington, DC: 2021) <https://doi.org/10.21949/1521659>.