Enhancing and Evaluating Researcher Performance
WisDOT RD&T Peer Exchange

Hosted by the Wisconsin Department of Transportation
Division of Business Management

May 18–20, 2010

WISCONSIN DOT
Wisconsin Department of Transportation Research & Library Unit

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Final Report by
CTC & Associates LLC

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WisDOT RD&T Peer Exchange
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Introduction

The Wisconsin Department of Transportation Research & Library Unit hosted a peer exchange May 18-20, 2010 in Madison, Wisconsin. Representatives from six state DOTs joined representatives from WisDOT, University of Wisconsin – Madison and Federal Highway Administration – Wisconsin Division to share experiences in tracking and enhancing researcher performance. The meetings consisted of both presentations and roundtable discussions aimed at highlighting shared practices and lessons learned.

This report presents the key observations that came out of the peer exchange discussions.

Objectives

The peer exchange covered a range of topics related to measuring and improving researcher performance. On the first day, state panel participants provided overviews of their programs and the challenges they face in keeping the quality of researcher results high. They also discussed stakeholder involvement and accountability for administrative performance. The second day covered accountability for research performance, quality of research deliverables and evaluating performance. The peer exchange ended on the third day with a report out to WisDOT managers.

Participants

Visiting team members

- Patty Broers, Illinois DOT
- Amy Estelle, New Mexico DOT
- Rod Montney, Kansas DOT
- Jim Sime, Connecticut DOT
- Bill Stone, Missouri DOT
- Ben Worel, Minnesota DOT

Peer exchange planning team

- Peg Lafky, Research & Library Unit, Wisconsin DOT
- Ann Pahnke, Research & Library Unit, Wisconsin DOT
- Daniel Yeh, Research & Communication Services Section, Wisconsin DOT
- Dwight McComb, FHWA – Wisconsin Division
- Pat Casey, CTC & Associates for Research & Library Unit
- Kim Linsenmayer, CTC & Associates for Research & Library Unit
- Kirsten Seeber, CTC & Associates for Research & Library Unit

Other peer exchange participants

- Colleen Bos, CTC & Associates for Research & Library Unit
- Andrew Hanz, UW-Madison, Wisconsin Highway Research Program
- Judie Ryan, Wisconsin DOT, Materials Management Section, Wisconsin DOT
- Greg Waidley, UW-Madison, Center for Freight and Infrastructure Research and Education
- Gary Whited, UW-Madison, Construction and Materials Support Center

Management report out participants
- Sandy Beaupre, Bureau of Planning and Economic Development, Wisconsin DOT
- Brenda Brown, Division of Business Management, Wisconsin DOT
- Pat Jackson-Ward, Division of Business Management, Wisconsin DOT
- Steve Krebs, Materials Management Section, Wisconsin DOT

Left to right: Jim Sime, Rod Montney, Daniel Yeh, Amy Estelle, Peg Lafky, Dwight McComb, Judie Ryan, Patty Broers, Bill Stone, Andrew Hanz, Ann Pahnke

State program overviews

Connecticut DOT
- Budget: $2.4M federal/year, $2.4M state/year.
- Multi-modal transportation agency.
- Research program handles Local Technical Assistance Program activities.
- 9 In-house engineers carry out in-house research, and universities (primarily University of Connecticut) carry out additional research. 136 projects right now, 36 in-house.

Illinois DOT
- Budget: 3-year contracts to conduct research with the Illinois Transportation Center, the most recent of which was $15M.
- 3 in-house staff in Bureau of Materials and Physical Research manage the program and negotiate university contracts.
- Used to do in-house research but now contracts for research primarily through the Illinois Center for Transportation.
- Expanded research topics to include planning, environment, multi-modal, etc.
- Reaching out some to consultants and out-of-state universities.

Kansas DOT
- Budget: $1.4M in state funds that goes to university researchers, $1.4M in federal money is used for in-house research and technology transfer. There is also an estimated $1.1M in State Planning & Research funds.
- 23 Research staff in the Division of Operations/Bureau of Materials and Research.
- Carry out internal research and university research. $800K per year earmarked for Kansas State University and the University of Kansas. Another $600K in non-earmarked money for ad hoc in-state university research.
- 40 KDOT employees serve as project monitors—strong staff buy-in.

Minnesota DOT
- Budget: $9.5M. $1M for implementation (SPR 80/20).
- Research program included the library and financial sections.
- 7 support consultants, temporary staff, and partnerships with 10 universities to carry out work.

Missouri DOT
- Budget: $3M/year with $2M in contract research.
- Research program is combined with performance measures responsibilities for the department in the Organizational Results Division. Report directly to the director of transportation.
- 18 staff, including five engineers.
- Qualifications-based selection of contract researchers.

New Mexico DOT
- Budget: $1M/year SPR. Moving to multi-year budgeting of projects so that more can be funded each year.
- 7 staff members.
- Major reorganization of the program in 2007. Now there are more checks and balances and responsiveness to department research needs.
- Universities compete for research contracts.
- Contracts primarily with in-state universities but looking at contracting more with private sector because of research quality issues.

Wisconsin DOT
- Budget: $3.5M – 4M/year.
- Up to $900K per year contributed to pooled funds.
- Two full-time staff and one three-fourths time staff.
- Virtually no in-house research. Some internal product testing and technology transfer.
- Funds a wide range of research topics serving all department divisions.
- Contracts both in-state and out-of-state with universities and private sector consultants.

Topic #1: Involving stakeholders in the conduct of research

WisDOT challenges
- Researchers seem unable or unwilling to identify potential WisDOT sponsors for research ideas.
- WisDOT staff often are too busy to participate on research projects.
- Poor communication between researchers and WisDOT staff who supply guidance or data on the project results in confusion and delay.

Shared practices

Communicating roles and project expectations
- Kansas DOT holds a Research Needs Day to solicit ideas and encourage involvement from staff, universities and industry.
- Include districts and locals at beginning of project to better support implementation.
- Include DOT data owners (or others whose help is needed on the project) on the project panel.
- Research programs need to take responsibility for coordinating with researchers, stakeholders and DOT staff who assist with the project.
- The Illinois Center for Transportation held an informational webinar last year for principal investigators and project panel chairs about the whole process. They posted the webinar on their [Web site](#).
- Invite industry representatives to serve on project committees. (Illinois, Missouri, Wisconsin)
- Connecticut DOT brings together 12-15 managers each year with the University of Connecticut Academy of Science and Engineering for an hour and a half meeting. They explain what the academy does and can do for the DOT and then the DOT representatives explain problems they're experiencing that might be appropriate for the academy to do a project on. The chief engineer follows up with managers and comes back with a prioritized project list.
- Have clear expectations for sponsors, committees, etc.

Recognizing research participants
- Consider giving out awards for outstanding project committee panel members, chairs, and researchers. (Illinois, Missouri, New Mexico)
- The Illinois Center for Transportation showcases a project of the month and includes information about the technical review panel.

Monitoring progress
- Illinois holds monthly meetings to discuss project status and any problems experienced either by DOT staff or the researchers.
- Minnesota is working to make guidelines for committee roles and responsibilities flexible to encourage participants to get the work done however they agree to.

Topic #2: Accountability for administrative performance

WisDOT challenges
- The solicitation and contracting process can be cumbersome.
- Researchers don't submit progress reports or invoices in timely manner.
- Researchers are often late in submitting quarterly reports.
- There have been a significant number of no-cost time extensions.
- Time constraints of department staff make stronger oversight for projects difficult.
- Researchers or their institutions request changes to contract boilerplates.

Shared practices

Establishing expectations
- Hold a pre-proposal meeting so that interested researchers can learn more about the project. The discussions at this meeting are used to modify the proposal if needed. (New Mexico)
- Build in a question and answer period to the Request for Proposal process to make sure researchers can clarify what's needed. (Missouri, Wisconsin)
- Provide handouts and/or training for researchers outlining contract requirements and providing resources they'll need for carrying out the projects. Make these resources available online. New Mexico has an instructions handbook patterned after NCHRP. CFIRE posts resources for researchers on their Web site.
- Once a researcher's proposal has been selected, hold a meeting with the researcher and project committee to make sure everything looks good in terms of goals, tasks and timeline. This will help avoid no-cost time extensions and other problems. (Illinois, Minnesota, Missouri)
- Connecticut looks at how many projects a professor has in progress and will limit new projects if necessary. It's important to remain positive about the process and work with the researchers to make sure all projects get done.
- Kansas unofficially looks at how many projects a single researcher has in progress when making new awards. The goal is to avoid having multiple projects late because a researcher takes on too much at once.

Addressing administrative issues
- The Illinois Center for Transportation employs a financial person who helps researchers develop a budget and works with the university's sponsored programs office to track the budget and invoices.
- Several states withhold payment at the end of the project (typically 10%) until all final deliverables have been submitted and approved. This appears to be more effective with private sector contractors than with university professors who get paid through the university regardless of the invoice status. States hold back the following contract percentages: Minnesota makes payments by task or deliverable throughout the project.
- Wisconsin may withhold payment if no quarterly progress report is received.
- Consider sharing and reviewing contract boilerplate language among states on key items like indemnification, liability and ownership.
- Wisconsin requires that researchers submit a No-Cost Time Extension form (signed by the researchers and their supervisors) for approval by WisDOT. See Appendix D.
- Illinois maintains an online reporting tool of project progress (dashboard) based on electronically submitted quarterly reports. Projects that are not meeting administrative requirements, like quarterly reports, are flagged for follow up.

Topic #3: Accountability for research performance

WisDOT challenges

- Researchers may not have the access to data and testing locations expected at the beginning of the project, which leads to delays, scope changes and insufficient results.
- Projects may get off target, and the extent of the problem is not clear until the final report is drafted.
- Staff often do not have the time to properly oversee research project progress and review deliverables in a timely manner.

Shared practices

Providing a project foundation

- The Illinois research office takes responsibility for finding testing locations for researchers because of variability in project delays and lettings. They ask district staff to participate on project panels and identify which locations would work best.
- Hold a project kickoff meeting with researchers and DOT staff to make sure expectations are clearly communicated and everyone agrees on tasks, goals, timeline and data availability. The research office coordinates these meetings and makes sure the right people with the right information are present. The researcher explains what work they'll be doing during the first quarter. (Illinois, Missouri, New Mexico)
- Don't fund a phase II project before phase I is complete. (Illinois)

Keeping the project on track

- Build multiple deliverables into a project to provide regular checkpoints of project progress and direction. Have the researchers present periodically to make sure the project is on target. Connecticut now requires a mid-point presentation, which has made a big difference in tracking project progress.
- Approve any research approaches (test matrices, surveys, etc.) before the researchers use them.
- Be aware of unique challenges of data access. Address problems promptly to ensure usable results.
- Consider establishing minimum laboratory standards and operator requirements to maintain reliability of test results as appropriate to the project.
- Ask DOT staff assigned to pooled fund studies to submit periodic reports of their involvement and the value of the project for the department.
- Have project committees review No-Cost Time Extension forms submitted by researchers.

Ensuring quality research

- Connecticut encourages participation in National Highway Institute courses by researchers and staff. Course #FHWA-NHI-123002, "Scientific Approaches to Transportation Research," was developed under NCHRP 20-45.
- The Illinois Center for Transportation hired two engineers specifically to help students with testing. They've gone through classes on testing so problems don't arise as often now.
- There's a tendency to have a higher level of expectation for the work done by consultants versus universities, but that may not be fair. The principal investigator (professor) at a university is ultimately responsible for the published report and the testing carried out, not the students, so the quality should be there.

- Some DOT research programs include the support of higher education and learning in their missions.
- Good researchers can make the distinction between delivering a final report and delivering a graduate thesis.

Topic #4: Quality of research deliverables

WisDOT challenges
- Clarity and focus are sometimes a problem with final reports. Many research reports read like a thesis.
- Basic editing and proofreading is often lacking in final reports.
- Despite efforts to promote implementation, many reports still fail to discuss the steps needed to put the research into practice, especially from a WisDOT context.

Shared practices
- Provide guidance to researchers on what's required in draft and final reports – length, quality, grammar, formatting, content. (Illinois, Missouri)
- Consider requiring an editorial review of reports prior to submittal to the project panel. (Illinois, Missouri). Illinois has a technical editor funded through the DOT's contract with the Illinois Center for Transportation. New Mexico is considering requiring by contract that researchers include technical editing in their project.
- Build in sufficient time for report review. Missouri allows one month and Illinois allows three to six months.
- Review accessibility of reports posted online per Section 508 of the Rehabilitation Act. "Section 508 was enacted to eliminate barriers in information technology, to make available new opportunities for people with disabilities, and to encourage development of technologies that will help achieve these goals. The law applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology. Under Section 508 (29 U.S.C. ' 794d), agencies must give disabled employees and members of the public access to information that is comparable to the access available to others."
- Have researchers provide multimedia presentations and/or communication materials that the DOT can use to present results internally or externally to a non-technical audience.
- Provide opportunities for researchers to make technical project presentations to DOT staff in advance of public presentations.
- Wisconsin is looking for ways to count the technology transfer activities on projects, such as research workshops and presentations, toward continuing education credits and professional development hours. Kansas, Illinois and Missouri all have opportunities for doing this.

Topic #5: Evaluating performance at the close of the project

WisDOT challenges

- When researchers submit reports that have grammatical errors, read like thesis reports and include content outside the scope provided by WisDOT, it is difficult to evaluate the accuracy and value of the research results.
- It's challenging to quantify the potential value of implementing research results.
- More follow-up is needed on research projects after they close. What actions are required to speed implementation?
- How should a researcher's performance both administratively and technically affect future project awards?

Shared practices

- Several states have forms and practices in place for evaluating researcher performance at the end of a project. This evaluation may be completed online and submitted to the research program or completed as part of a project closeout meeting for just the project oversight committee. See Appendix E for examples of evaluation forms. (Illinois, Kansas, Missouri, New Mexico)
- New Mexico uses previous researcher performance as 20% of the score when rating research proposals.
- Missouri adds research performance data to a department wide contractor evaluation database that can be searched.
- Several states also provide an opportunity for researchers to evaluate the DOT project team. This is useful for highlighting where there is real conflict between a researcher and staff, but overall the researchers hesitate about sharing any negative experiences. (Illinois, Kansas, Missouri)
- Make sure evaluation forms are concise, targeted and will be used for a specific purpose.
- Review NCHRP 20-63 for performance measure and evaluation tools.
- It could be helpful for states to share their evaluations of researchers with one another. The National Cooperative Highway Research Program may already maintain a database that states could add to.

Participant takeaways

Patty Broers – Illinois DOT
- Database of investigator performance.
- Wisconsin's No-Cost Time Extension form.
- Pre-bid meetings.
- Keep track of pooled funds studies better. Implement a reporting process.
- Research Needs Day.
- Recognition of investigators or panel members.
- Look at 508 compliance and discuss internally.
- Better guidance to investigators on what's expected in final reports.
- Technical update presentations during committee meetings.
- Closeout presentations to be provided by the investigators that the DOT could present to public.
- Improve closeout evaluation. Kansas includes investigator evaluation in their implementation plan. Add a question about investigator knowledge of IDOT needs.
- NHI course on transportation research.
- Develop a multi-year plan for research staff needs.
- Develop a better plan for what any new engineers would do if they're hired.
- Market IDOT's research program internally to obtain more panel participation.

Amy Estelle – New Mexico DOT
- Missouri's database of performance evaluations for investigators.
- Kansas' Research Needs Day.
- Illinois' Project of the Month—give more credit and help people see involvement of staff.
- Certification of labs and the NHI course on transportation research.
- Wisconsin's 10% holdback until final deliverables received and approved.
- Illinois' online project status report/dashboard.
- Technical editor line item in contracts.
- Review requirements for 508 compliance.
- Revisit the length of time allowed for reviewing the draft final report.
- Come up with quantifiable value for evaluation including number of NCTEs requested, number of projects on time /on budget, implementable projects. Create database of those values.
- Presentation by investigator to project panel prior to presentation at TRB.
- Don't fund phase II of a project before phase I is complete.
- Wisconsin's No-Cost Time Extension form and requirement of investigator's supervisor signature.

Rod Montney – Kansas DOT
- Recognition of project monitors and investigators for jobs well done and any projects that are on time and on budget.
- Investigator training and/or handbook.
- Minimum standards for testing laboratories at the university.
- NHI course on transportation research for graduate students and faculty.
- Require technical writer/editor at the university to review reports.
- Clarify requirements for draft and final report, templates, use of technical writers, etc.
- Have the DOT staff that represent Kansas on pooled funds fill out questionnaires or quarterly reports on the status of these projects.
- Simplify evaluation forms and make them electronic.
- Make sure data collected on project status and performance is used.

Jim Sime – Connecticut DOT
- CFIRE's [Web site](#) of resources for investigators.
- Ask pooled fund staff representatives to put in periodic/annual statements of progress. Give them to-do items like looking at progress statements on the TPF Web site, noting if any teleconferences have happened, etc.
- Review 508 compliance and look for some training on this.
- Evaluation forms used by other states and how they may relate to the performance measures in [NCHRP 20-63](#).
- Pre-bid question and answer session via teleconference.
- Illinois' guidelines for panels and implementation meetings.

Bill Stone – Missouri DOT
- Include district and local stakeholders in the project development.
- Hold a pre-proposal conference. (New Mexico)
- New Mexico's Administration Handbook.
- Monthly project meetings like those held between Illinois DOT and the Illinois Center for Transportation.
- Kansas' training for project managers.
- How to share pooled fund information gathered from the staff representatives.
- Kickoff meetings that are face-to-face versus by teleconference.
- Mid-point presentations by investigators.
- Review copyright contract language.
- Consider allowing a little more time for final report review or scheduling a final wrap-up meeting well in advance.
- Wisconsin's withholding of 10% of the contract amount until all deliverables have been received and approved.
- Performance evaluation documents shared by the other states.

Ben Worel – Minnesota DOT
- Quarterly reports for all projects, regardless of funding source.
- Pre-contract checklist of responsibilities for committee members.
- Pre-proposal meeting for interested investigators.
- Illinois' dashboard of project progress.
- Awards for project committee members.
- Project of the month.
- Involve industry more formerly—collect their ideas.

Opportunities for WisDOT

- Provide guidance on roles and responsibilities of researchers and technical representatives.
- Consider holding a pre-proposal meeting or webinar for interested researchers.
- Consider holding a project kick-off meeting to make sure DOT staff and researchers have the same expectations. Make sure test matrices, surveys, etc. are approved by the project committee prior to deployment.
- Evaluate the R&L Unit's role in connecting researchers, sponsors and technical staff at all points – from preaward to implementation.
- Review staffing level and composition for desired level of oversight.
- Consider hiring an engineer or formally arranging part-time consultation by an engineer already in the department to assist with developing and overseeing projects.
- Review contract boilerplates and contract exhibits, like the work plan, for overlap.
- Look for opportunities to standardize intellectual property and indemnification language in contracts among states.
- Review enforcement approaches to contract provisions. New Mexico has a contracting handbook that can strengthen position of enforcement.
- Consider payment to investigator by task as in Minnesota.
- Review survey and evaluation forms being used by other states to track researcher and DOT performance and the database of researcher performance used in Missouri. Look for ways to link tracking of research performance to performance measures (NCHRP 20-63).
- Consider additional meetings, presentations and points of feedback between the researchers and stakeholders throughout the project.
- Look at feedback received from technical representatives on pooled fund projects and consider how often and how much to document. Look at expanding pooled fund reporting requirements for staff representatives on these projects.
- Consider options for improving the quality of the research reports. Consider providing guidelines on content and length. Evaluate the need for a technical editor to review all research reports.
- Continue explorations of CEU and PDH related to research closeout workshops.
- Consider providing awards to staff who volunteer time on projects and investigators who perform well.
- Consider options for better tracking project status and problem projects, such as Illinois' online dashboard.
- Look into the NHI course on conducting research and consider partnership opportunities with University of Wisconsin.
- Consider inviting investigators to present research findings to DOT staff prior to presenting at TRB.
- Review requirements for 508 compliance when posting research reports online.

Additional Resources

- ConnDOT has used DVD training material on how to run effective meetings: *Meetings, Bloody Meetings* by Video Arts and starring John Cleese.

- ConnDOT hired Dr. Bev Browning, author of "Grant Writing for Dummies" to present 16 hours of training on grant writing. There's an opportunity to increase your research budget by bringing in funds from federal agencies and private foundations. See www.bevbrowning.com.

AGENDA

WisDOT RD&T Peer Exchange
Enhancing and Evaluating Researcher Performance

Concourse Hotel – University Rooms A and B
1 West Dayton Street, Madison

May 18 - 20, 2010

Tuesday, May 18, 2010

7:45 – 8:00	**Registration and refreshments**
8:00 – 8:20	**Welcome, introductions and agenda overview** • Daniel Yeh, WisDOT
8:20 – 8:25	**Materials and logistics** • Kirsten Seeber, CTC & Associates
8:25 – 9:40	**Panel presentations** • 8:25 – 8:40 Daniel Yeh, WisDOT • 8:40 – 8:55 Patty Broers, Illinois DOT • 8:55 – 9:10 Amy Estelle, New Mexico DOT • 9:10 – 9:25 Rod Montney, Kansas DOT • 9:25 – 9:40 Jim Sime, Connecticut DOT
9:40 – 9:50	**Break**
9:50 – 10:20	**Panel presentations (continued)** • 9:50 – 10:05 Bill Stone, Missouri DOT • 10:05 – 10:20 Ben Worel, Minnesota DOT
10:20 – 12:15	**Involving stakeholders in the conduct of research** • Introduction by Daniel Yeh, WisDOT. • Facilitated question and answer/round table discussion.
12:15 – 1:30	**Lunch**
1:30 – 3:30	**Accountability for administrative performance** • Introduction by Peg Lafky, WisDOT. • Facilitated question and answer/round table discussion.
3:30 – 3:45	**Break**
3:45 – 4:30	**Recap discussions and takeaways**
6:00	**Group dinner**

Appendix A

7:45 – 8:00	**Networking and refreshments**
8:00 – 8:10	**Welcome** Daniel Yeh provides welcome, recap of Tuesday meeting, and overview of goals for the day.
8:10 – 10:00	**Accountability for research performance** • Introduction by Ann Pahnke, WisDOT. • Facilitated question and answer/round table discussion.
10:00 – 10:15	**Break**
10:15 – 12:00	**Quality of research deliverables** • Introduction by Dwight McComb, FHWA – Wisconsin Division. • Facilitated question and answer/round table discussion.
12:00 – 1:30	**Lunch on your own**
1:30 – 3:30	**Evaluating performance at the close of the project** • Introduction by Andrew Hanz, UW-Madison. • Facilitated question and answer/round table discussion.
3:30 – 3:45	**Break**
3:45 – 4:30	**Recap discussions and takeaways**
	Dinner on your own

Thursday, May 20, 2010

7:45 – 8:00	**Networking and refreshments**
8:00 – 8:10	**Welcome** Daniel Yeh provides welcome, recap of Wednesday meeting, and overview of goals for the day.
8:10 – 10:00	**Group development of executive summary report**
10:00 – 10:30	**Break and report printing**
10:30 – 11:30	**Report out to stakeholders**
11:30 – 12:00	**Peer exchange wrap up and closing remarks**

Enhancing and Evaluating Researcher Performance
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Common Goals

- Ensure validity of research
- Department priorities drives the research
- Focus on implementation
- Increase quality of project deliverables

- Keep projects on time and on budget
- Optimize and streamline staff time needed
- Involve the right stakeholders at the right time
- Provide timely and responsive oversight

Shared Practices and Lessons Learned

Involving stakeholders

a) Hold a Research Needs Day to solicit ideas and encourage involvement from staff, universities and industry.
b) Include districts and locals at beginning of project to better support implementation.
c) Include DOT data owners (or others whose help is needed on the project) on the project panel.
d) Recognize effective researchers and DOT staff who oversee projects with awards.
e) The Research Program needs to take responsibility for coordinating with researchers, stakeholders and DOT staff who assist with the project.

Accountability for research performance

a) Hold project kickoff meetings with researchers and DOT staff to make sure expectations are clearly communicated and everyone agrees on tasks, goals and timeline.
b) Have researcher present periodically or after key tasks to make sure project is on target.
c) Build multiple deliverables into project for regular checkpoints.
d) Approve any research approaches (test matrices, surveys, etc.) before the researchers use them.
e) Be aware of unique challenges of data access. Address problems promptly to ensure usable results.
f) Ask DOT staff assigned to pooled funds to submit periodic reports of their involvement and the value of the project for the department.
g) Consider minimum laboratory and testing requirements as appropriate to the project.
h) Encourage participation in National Highway Institute courses by researchers and staff.
i) Have project technical panels review No-Cost Time Extension forms submitted by researchers.

Accountability for administrative performance

a) Hold a pre-proposal meeting so that researchers can learn more about the project.
b) Provide handouts and/or training for researchers outlining contract requirements and providing resources they'll need for projects. Make resources available online.
c) Consider payment by task or deliverable.
d) Share and review contract boilerplate language among states on key items like indemnification, liability and ownership.
e) Withhold payment if no quarterly progress report is received.
f) Require a No-Cost Time Extension form that researchers must get signed by supervisors and submit for approval.
g) Maintain an online reporting tool of project progress based on electronically submitted quarterly reports.

Shared Practices and Lessons Learned (continued)

Quality of research deliverables

a) Provide guidance to researchers on what's required in draft and final reports – length, quality, grammar, formatting, content.

b) Consider requiring an editorial review of reports prior to submittal to the project panel.

c) Build in sufficient time for report review.

d) Review accessibility of reports posted online per Section 508 (ADA).

e) Have researchers provide presentations and/or communication materials that the DOT can use to present results internally or externally.

f) Provide opportunities for researchers to present on projects to DOT staff in advance of public presentations.

Evaluating project performance

a) Evaluate and document the researcher's performance.

b) Consider providing opportunities for researcher to evaluate the DOT project team.

c) Make sure evaluation forms are concise, targeted and will be used for a specific purpose.

d) Consider using quantifiable evaluation results as a factor in awarding future projects.

e) Review NCHRP 20-63 for performance measure and evaluation tools.

Opportunities for WisDOT

a) Provide guidance on roles and responsibilities of researchers and technical representatives.

b) Evaluate the R&L Unit's role in connecting researchers, sponsors and technical staff at all points – from preaward to implementation.

c) Review staffing level and composition for desired level of oversight.

d) Consider hiring an engineer or formally arranging part-time consultation by an engineer already in the department to assist with developing and overseeing projects.

e) Review contract boilerplates and contract exhibits, like the work plan, for overlap.

f) Review enforcement approaches to contract provisions.

g) Review survey and evaluation forms being used by other states to track researcher and DOT performance.

h) Consider additional meetings, presentations and points of feedback between the researchers and stakeholders throughout the project.

i) Look at feedback received from technical representatives on pooled fund projects and consider how often and how much to document.

j) Consider options for improving the quality of the research reports.

k) Continue explorations of CEU and PDH related to research closeout workshops.

Visiting Team Members

Patty Broers, Illinois DOT
Amy Estelle, New Mexico DOT
Rod Montney, Kansas DOT

Jim Sime, Connecticut DOT
Bill Stone, Missouri DOT
Ben Worel, Minnesota DOT

Appendix C

WisDOT RD&T Peer Exchange – 2010
Participant roster

Visiting state research program participants

Name	Organization/ Web site	Mailing address	Phone	E-mail
Patty Broers	**Illinois DOT** **Bureau of Materials and Physical Research** **http://www.dot.state.il.us/materials/research/physresearch.html** **http://ict.illinois.edu/**	**126 Ash Street** **Springfield, IL 62704**	**217-782-3547**	**patricia.broers@illinois.gov**
Amy Estelle	**New Mexico DOT** **Research Bureau** **http://www.nmshtd.state.nm.us/main.asp?secid=11071**	**7500 Pan American** **Freeway NE** **Albuquerque, NM** **87109**	**505-841-9149**	**amy.estelle@state.nm.us**
Rod Montney	**Kansas DOT** **Materials & Research Center** **http://www.ksdot.org:9080/bureaus/burMatrRes/**	**2300 SW Van Buren** **Street** **Topeka, KS 66611**	**785-291-3841**	**rodney.montney@ksdot.org**
Jim Sime	**Connecticut DOT** **Division of Research** **http://www.ct.gov/dot/cwp/view.asp?a=1387&q=259624**	**280 West Street** **Rocky Hill, CT 06067**	**860-258-0309**	**james.sime@ct.gov**
Bill Stone	**Missouri DOT** **Office of Organizational Results** **http://www.modot.mo.gov/services/OR/index.htm**	**PO Box 270** **Jefferson City, MO** **65102**	**573-526-4328**	**william.stone@modot.mo.gov**
Ben Worel	**Minnesota DOT** **Research Services Section** **http://www.dot.state.mn.us/research/index.html**	**395 John Ireland** **Boulevard** **St. Paul, MN 55155**	**651-366-3757**	**ben.worel@state.mn.us**

Appendix C

Wisconsin research partner participants

Name	Organization/Web site	Mailing address	Phone	E-mail
Andrew Hanz	Wisconsin Highway Research Program UW-Madison College of Engineering http://www.whrp.org	1415 Engineering Drive Madison, WI 53706	608-262-3835	ajhanz@wisc.edu
Dwight McComb	FHWA Wisconsin Division http://www.fhwa.dot.gov/widiv/index.htm	525 Junction Road, Suite 8000 Madison, WI 53717	608-829-7518	dwight.mccomb@fhwa.dot.gov
Judie Ryan	Wisconsin DOT Materials Management Section http://on.dot.wi.gov/wisdotresearch/index.htm	3502 Kinsman Boulevard Madison, WI 53704	608-246-5456	judith.ryan@dot.wi.gov
Greg Waidley	Center for Freight & Infrastructure Research & Education UW-Madison College of Engineering http://www.wistrans.org/cfire/	1410 Engineering Drive Madison, WI 53706	608-262-2013	gwaidley@engr.wisc.edu
Gary Whited	Construction & Materials Support Center UW-Madison College of Engineering http://cmsc.engr.wisc.edu/index.html	1415 Engineering Drive Madison, WI 53706	608-262-7243	whited@engr.wisc.edu

Appendix C

WisDOT Research & Library participants

Name	Organization/ Web site	Mailing address	Phone	E-mail
Pat Casey	CTC & Associates for WisDOT Research & Library Unit http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-345-8601	pat.casey@ctcandassociates.com
Peg Lafky	Wisconsin DOT Research & Library Unit http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-266-3663	marguerite.lafky@dot.wi.gov
Kim Linsenmayer	CTC & Associates for WisDOT Research & Library Unit http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-628-3806	kim.linsenmayer@ ctcandassociates.com
Ann Pahnke	Wisconsin DOT Research & Library Unit http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-267-2294	ann.pahnke@dot.wi.gov
Kirsten Seeber	CTC & Associates for WisDOT Research & Library Unit http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-333-8724	kirsten.seeber@ ctcandassociates.com
Daniel Yeh	Wisconsin DOT Research & Communication Services Section http://on.dot.wi.gov/wisdotresearch/index.htm	PO Box 7915 Madison, WI 53707-7915	608-267-6977	daniel.yeh@dot.wi.gov

Appendix D

RESEARCH, DEVELOPMENT & TECHNOLOGY TRANSFER
NO-COST TIME EXTENSION REQUEST
Wisconsin Department of Transportation
DT1243   2010

WisDOT research program category:		
☐ Policy research	☐ Wisconsin Highway Research Program	
☐Other	☐ Pooled fund TPF#	
Project title:		
Project investigator:	Phone:	E-mail:
Administrative contact:	Phone:	E-mail:
WisDOT contact:	Phone:	E-mail:
WisDOT project ID:	Other project ID:	Project start date:

Current project end date:

Requested project end date:

Number of extensions approved to-date:

Reason for delay (check any that apply):

☐ Construction delay   ☐ Medical / personal emergency
☐ Contract execution / signing delay   ☐ Test procedure review delay
☐ Data access delay   ☐ Testing / data collection delay
☐ Final report review / approval delay   ☐ Work plan / scope modification
☐ Interim report review / approval delay ☐ Other:

General explanation for the delay (attach documentation if desired):

Steps taken to ensure completion by the requested project end date:

_____   _____
Principle investigator signature / date   Department chair or supervisor signature / date

_____   _____
Print name and title   Print name and title

FOR WISDOT USE ONLY

_____   _____
Approval signature and date   Print name and title

**Illinois Department
of Transportation**

**Technical Review Panel Evaluation
of Principal Investigator**

Date:	
Project Number:	
Project Title:	
Principal Investigator (PI):	Co-PI:
University/Consultant Name:	University/Consultant Name:

Effectiveness and efficiency of the research staff: Choose an item.

If "Needs Improvement" was selected please provide comments:

The research team responded positively to requests for making revisions: Choose an item.

If "Needs Improvement" was selected please provide comments:

The research team coordinates and communicates with the Technical
Review Panel to accomplish tasks and resolve problems: Choose an item.

If "Needs Improvement" was selected please provide comments:

Initiative in identifying important issues and developing alternative solutions: Choose an item.

If "Needs Improvement" was selected please provide comments:

Quarterly Reports were provided in a complete and timely manner: Choose an item.

If "Needs Improvement" was selected please provide comments:

Quality of deliverables is acceptable: Choose an item.

If "Needs Improvement" was selected please provide comments:

Work was accomplished on time and met established schedules: Choose an item.

If "Needs Improvement" was selected please provide comments:

Identify the research benefits for IDOT:

Additional comments or observations:

Technical Review Panel Chair Name:

Illinois Department of Transportation

Research Quarterly Progress Report
Ending MARCH 2009

Project Title:		Today's Date: / /
		Function Code: R
		Project Number: R

QPR Author Name:		Estimated Dates		Fiscal Year: 2009			
Telephone: ( ) -	% Project Completed: %			JUL	OCT	JAN	APR
Task Title		Start	Complete	SEP	DEC	MAR	JUN
Task 1:		/	/				
Task 2:		/	/				
Task 3:		/	/				
Task 4:		/	/				
Task 5:		/	/				
Task 6:		/	/				
Task 7:		/	/				
Task 8:		/	/				
Task 9:		/	/				
Task 10:		/	/				

Principal Investigator Name/Contact:	P.I. Organization Name/Address:	Co-Investigator Name/Contact:
Telephone: ( ) - e-mail:		

Description of Research:	Keywords:

Technical Review Panel Names	TRP Telephone	TRP E-mail Address	Meeting Dates	Minutes Available?
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	
	( ) -		/ /	

Short Title & Date Reports Available:	End User(s) and Result(s) Expected:

Instructions for each field appear at the bottom of the screen. Complete and forward to BMPR_Research@dot.il.gov
For questions, please contact the Research Coordinator at 217-782-3547.

QUARTERLY PROGRESS REPORT (CONTINUED)

Project Title:	Today's Date: / /
	Project Number: R

Progress to Date (Limit narrative to what fits on this page):
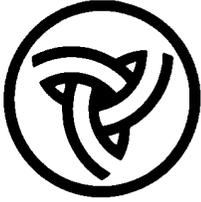
Illinois Department of Transportation

Division of Highways / Bureau of Materials and Physical Research
126 East Ash Street / Springfield, Illinois / 62704-4766

<u>Administrative Performance Evaluation</u>
(to be completed by IDOT)

1.   Timeliness with meeting established goals, i.e. scope, schedule, budget.

2.   Responsiveness in meeting IDOT requests and making revisions.

3.   Coordination and communication with the IDOT research administrative staff.
.

4.   University outreach initiatives within the University of Illinois system and externally.

5.   Were Quarterly Reports provided in a complete and timely manner?

6.   Quality of technical reports for publication.

7.   Extent of corrections and re-submittals for reports.
.

8.   Initiative in identifying important issues and developing alternative solutions.

9.   Commentary regarding items that need improvement.

Administrative Performance Evaluation
(To Be Completed By Project PI)

Project Title:

PI/ Co-PI:

Date:

1. TRP has been responsive to research team requests

2. TRP is organized with clear objectives to guide the research.

3. There are unresolved issues remaining at this point of the project

4. Report reviews provided were complete and timely

5. Comments provided on the report are of high quality

* If any of the evaluated items are identified as "Needs Improvement", please provide an explanation below.

KDOT RESEARCH PROJECT IMPLEMENTATION PLAN

RESEARCH STUDY NO.:   KDOT PROJECT NO.:

TITLE:

PRINCIPAL INVESTIGATORS:

PROJECT MONITOR:

AREA PANEL LEADER:

CONTRACTING AGENCY:

STUDY COST:

A. <u>SUMMARY OF RESEARCH FINDINGS</u> - Enough detail should be given to provide a basic understanding of the project without necessitating reading the final report

_____
_____
_____
_____
_____
_____

B. <u>IMPLEMENTATION POTENTIAL </u> - Explain how the research study solved the problem, specify the types of changes being recommended, and describe the expected benefits of implementation (see Part F of this Form). Determine if implementation is warranted or further research or development is needed

_____
_____
_____
_____
_____
_____
_____

C. <u>IMPLEMENTATION STRATEGIES</u> - The goals and scope of implementation, any potential problems or constraints, and the tools needed to achieve implementation. Include any approvals required.

_____
_____
_____
_____
_____
_____
_____

D. TASK SCHEDULING - Describe tasks and assign responsibilities to functional areas and a time schedule for completion of activities.

_____
_____
_____
_____
_____
_____
_____
_____

E. BUDGET ESTIMATING - Detail the expected costs of implementation as well as the anticipated benefit saving from implementation (See Part F of this Form).

_____
_____
_____
_____
_____
_____
_____
_____

F. PROJECT ASSESSMENT USING MULTI-OBJECTIVE CRITERIA – In the following Table, rate the project on the basis of the extent to which the project, if implemented, would result in a benefit in each of the assessment categories. Rate from 1 to 10, with 10 being the most successful. Rating Guide: N/A = factor does not apply to this project; 0 = absolutely no benefit; 1 = intuitive feeling that the project has some slight benefit; 5 = no clear evidence but strong subjective feeling that the project has a significant benefit; 10 = clear evidence or strong feeling the project has an excellent to outstanding positive benefit. [Note: A rating of "5" in at least one of the Assessment Categories indicates a "successful" (cost effective) project. This criterion should be considered when assigning numeric ratings.]

Assessment Category	Subjective Rating	Triennial Benefits ($)	Comments
Construction Savings (materials, Labor, equipment, time, quality)			

	Strongly Agree	Agree	Disagree	Strongly Disagree
Operation and Maintenance Savings (materials, labor, equipment, time)				
Increase Lifecycle				
Decrease Lifecycle Costs				
Safety (Reduction of crash frequency, Reduction of crash severity)				
Decrease Engr./Admin. Costs (planning/design costs, paperwork)				
Environmental Aspects (pollution, hazardous waste reduction, recycling)				
Technology (technology transfer, new materials, new methods)				
User benefits (time, dollars)				
Impact On KDOT Policy				

G. CONTRACT RESEARCH PERFORMANCE ASSESSMENT:

Please mark one selection for each statement:	Strongly Agree	Agree	Disagree	Strongly Disagree
Principal investigator maintained good communication throughout project.				
Final report fulfilled the study objectives and tasks as stated in the proposal.				
Final report was accurate and clearly written.				
Project was kept on schedule and completed within the expected time frame.				
PI and project team were competent, understood and responded to KDOT needs.				
Benefits were received that corresponded to project costs.				

Comments:_____

_____

_____

_____

_____

Prepared by: _____   _____

                K-TRAN Project Monitor   Date

Approved by: _____

                K-TRAN Area Panel Leader

CONTRACT RESEARCH
PROJECT MONITOR PERFORMANCE ASSESSMENT

K-TRAN STUDY NO.:

TITLE:

PRINCIPAL INVESTIGATORS:

PROJECT MONITOR:

Please mark an X by one selection for each statement:	Strongly Agree	Agree	Disagree	Strongly Disagree
PM provided information and data for project as earlier agreed during proposal development.				
PM responded to correspondence, e-mail and phone calls in timely fashion.				
PM reviewed and returned draft final report with comments within six weeks.				
PM understood requests and responded appropriately.				

Comments:_____
_____
_____
_____
_____

Completed by: _____

Date:_____

Organizational Results
Evaluation Form for Projects

General Information

Date: _____   **Job Number:** _____

Consultant Name:_____ **Company Name:**_____

Project Name: _____

Summary

Overall Rating:
- ❑ Excellent
- ❑ Good
- ❑ Satisfactory
- ❑ Substandard
- ❑ Unacceptable

Should this firm be selected for future work of this type?
- ❑ Yes
- ❑ No
- ❑ Yes with reservation, see comments

Comments: _____

_____

_____

_____

_____

Evaluator(s)

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Name:_____ **Title:** _____

Organizational Results
Evaluation Form for Projects

Please provide a response to the following:

1. Timeliness with which work was accomplished and meeting established schedules:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

2. Cooperation in meeting MoDOT requests and making revisions:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

3. Coordination exhibited by the consultant communicating with MoDOT, subconsultants, agencies, and others to accomplish tasks, provide progress updates and resolve problems:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

4. Quality and adequacy of study or report:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

5. Quality and completeness of data supporting study or report:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

6. Timeliness of invoicing within the proposed and/or revised budget timeline:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

7. Initiative in identifying important design issues and developing alternative solutions:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

8. Effectiveness and efficiency of the consultant's staff:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

9. Initiative in presenting recommendations and implemental results:

   ❑ Exceeds Expectations ❑ Meets Expectations ❑ Needs Improvement ❑ NA

10. Was there a time extension?

   ❑ Yes, MoDOT requested ❑ Yes, Contractor requested ❑ Both Requested ❑ No

Organizational Results
Evaluation Form for Projects

11. Was there a cost extension?

   ❑ Yes, MoDOT requested ❑ Yes, Contractor requested ❑ Both Requested ❑ No

12. Did the contractor meet final schedule?

   ❑ Yes ❑ No

13. Did the contractor meet final budget?

   ❑ Yes ❑ No

14. Extent of corrections and resubmittals.

   ❑ Low ❑ Average ❑ High

New Mexico Department of Transportation
Research Bureau

Technical Panel (TP)/Project Manager (PM)
Contractor Performance Evaluation & Project Close-out

Research Bureau Project No: [ ]   Name of Contractor Evaluated: [ ]

Project Title: [ ]   Contractors Address: [ ]

Contract Number: [ ]   Date Contract Initiated: [ ]

Evaluators Name: [ ]   Date Contract Terminated: [ ]

Evaluators Title: [ ]   Evaluation Date: [ ]

TP Affiliation: TP Sponsor [ ]   TP Advocate [ ]   TP Member [ ]

Project Manager [ ]   Research Bureau Administrator [ ]

Part 1: PERFORMANCE EVALUATION

Evaluation Scoring: Evaluate the contractor in each of the following criteria. Each contractor performing services for NMDOT Research Bureau shall be subject to performance evaluations. Evaluations are a key factor when evaluating contractor's proposals on future research projects; only main contractor awarded project is evaluated.
Rate the contractor with scores of 5 through 1: Total Possible Points=100
Score: 5= Excellent   4=Good   3=Satisfactory   2=Less Than Satisfactory   1=Unacceptable   N/A=Not Applicable
Comments are required if any score is less than 3.

Criteria Number	Evaluation Criteria	Score (circle choice)
1.	Did the contractor communicate with the TP in accordance with Manual requirements?	5 4 3 2 1 N/A
2.	Did the contractor adequately convey potential issues on research project to TP?	5 4 3 2 1 N/A
3.	Were the quality and timeliness of the contractor's quarterly reports acceptable and in accordance to Manual?	5 4 3 2 1 N/A
4.	Were the quality and timeliness of the contractor's Final Deliverables (Final Report, Multimedia Presentation & Implementation Plan acceptable and in accordance to Manual/Contract requirements?	5 4 3 2 1 N/A
5.	Did the contractor adequately address TP (your) member's comments and suggestions on quarterly reports?	5 4 3 2 1 N/A
6.	During quarterly reporting/meeting Fiscal Year quarter, did the contractor adequately document/discuss the progress of research in accordance with Manual requirements?	5 4 3 2 1 N/A
7.	Did the contractor adequately staff the research endeavor?	5 4 3 2 1 N/A

8.	Were the contractor's submitted deliverables in accordance with Contract Timeline and Milestones Schedule?	5 4 3 2 1 N/A
9.	Did the contractor comply with Style Manual requirements for Final Report as documented in the Manual?	5 4 3 2 1 N/A
10.	Did the contractor cause any delays to the research project?	5 4 3 2 1 N/A
11.	Did the contractor actively work to resolve problems encountered during research?	5 4 3 2 1 N/A
12.	Did the contractor adequately convey need for assistance in resolving project issues to TP members?	5 4 3 2 1 N/A
13.	Did the contractor comply with Manual/Contract requirements pertaining to travel requests?	5 4 3 2 1 N/A
14.	Did the contractor address the need for Contract Amendments or Budget Modifications in a timely manner?	5 4 3 2 1 N/A
15.	When participating in meetings, did the contractor come prepared and did they conduct themselves professionally?	5 4 3 2 1 N/A
16.	Did the contractor adequately track and follow budget to ensure that expenditures did not exceed budget in all line items before they became an issue?	5 4 3 2 1 N/A
17.	Did the contractor involve themselves in solving invoice issues, and actively take steps to resolve potential problems before they became an invoice issue?	5 4 3 2 1 N/A
18.	Did the contractor adequately convey to the TP the need to purchase of software or equipment, and was advanced approval obtained?	5 4 3 2 1 N/A
19.	Did the contractor coordinate and cooperate with co-contractors /research team (prepared team for contingencies, manage team effectively, delegated efficiently, etc,) and sub-contractors?	5 4 3 2 1 N/A
20.	Was the project/contract completed in accordance with the scope of work, within anticipated cost (on-time & on-budget), and was every effort made to provide a quality product?	5 4 3 2 1 N/A
Total	Accumulated scoring.	=

PERFORMANCE EVALUATION COMMENTS SECTION:

Criteria Number	Comments for scores on Evaluation Criteria of less than 3
1.	_____ _____ _____ _____
2.	_____ _____ _____ _____
3.	_____ _____ _____ _____
4.	_____ _____ _____ _____
5.	_____ _____ _____ _____
6.	_____ _____ _____ _____
7.	_____ _____ _____

Appendix E - New Mexico DOT

8.	_____
9.	_____
10.	_____
11.	_____
12.	_____
13.	_____
14.	_____
15.	_____
16.	_____
17.	_____
18.	_____
19.	_____
20.	_____

PART 2: PROJECT CLOSE-OUT

Subsection A: Specific For Technical Panel & Project Manager's Evaluation.

1. Were the appropriate stakeholders represented on the Technical Panel?

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

2. Were you as a TP member closely involved during the conduct of the research to be sure the results are valid and that you understood any limitations to the findings and recommendations?

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

3. (a) Was the TP adequately involved? (b) Did the TP give sufficient direction to the contractor to ensure the success of the research endeavor? (c) Did the Technical Panel meet the requirements of the Technical Panel Handbook, specifically duties, roles and responsibilities?

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

4. (a) As a TP/PM member what lessons do you think can be learned from this research endeavor? (b) What could have been done differently to achieve better results?

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

Subsection B: General Questions - Evaluate Research Results (All Evaluators).

1. (a) Did the results of this research meet your expectations? (b) What led to the difference, if any, between what you expected and what you actually experienced in this research endeavor? Please elaborate.

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

2. (a) Did the contractor fulfill all tasks and deliverables required in the contract? (b) Were project objectives met?

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

3. Did the contractor's research team have the necessary expertise to accomplish the research?

*Comments:*_____
_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

4. Did this research result in any cost-saving opportunities for NMDOT? If so, please explain and give a qualified estimate.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

5. Was the contract written adequately and in sufficient detail to meet project objectives?

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

6. Were the results of the research available in time to be useful to the TP and NMDOT?

*Comments:*_____
_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

Subsection C: Implementation Obstacles (TP & PM Evaluators).

1. **Do you foresee any obstacles to implementation of this research that were not addressed by the contractor and TP before conclusion of the project? Explain in detail below.**

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

2. **Was implementation of research adequately addressed and anticipated during the project and sufficiently documented within the Implementation Plan?**

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

3. **Did the costs billed to the Department correspond with the work accomplished as described in the quarterly reports and did they adequately reflect the timeline associated with each task on the contract?**

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

4. **Additional comments and recommendations.**

*Comments:*_____
_____
_____
_____
_____
_____.

Subsection D: Performance of Research Bureau Project Manager (All Evaluators).

1. Was there open and active communication among the Research Bureau project manager, the TP and the contractor throughout the project? Note any problems with communication that occurred.

*Comments:*_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

2. Was the Research Bureau project manager responsive to the TP and contractors inquires and requests?

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

3. Were the responses of the Research Bureau project manager clear and helpful?

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

4. Did the Research Bureau project manager coordinate with TP and contractor in setting up quarterly meetings, and was sufficient time given to comment on quarterly reports?

*Comments:*_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

5. Rate the Research Bureaus project manager's overall management of this project. Please provide a brief narrative in the comments section to support your assessment.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

6. Additional comments and recommendations.

*Comments:*_____
_____
_____
_____
_____
_____.

Subsection E: Disposition of Equipment Purchased During Research.

1. Has a NMDOT Research Bureau Asset Control Sheet for Research in Progress been generated for this project? If so (list or attach Asset Control Sheet) attach for review by TP and Research Bureau Project Manager for consensus on disposition of equipment (to be retained by NMDOT or allow contractor to retain).

*Comments:*_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

2. Did this project require equipment acquisition (valued at over $500)? If so (list or attach Asset Control Sheet) list for review by TP and Research Bureau Project Manager.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

3. Do the TP and/or Research Bureau want any of the listed equipment retained by the NMDOT for implementation of project by the department? If so, list the desired equipment.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

4. Do the TP and/or Research Bureau want any of the listed equipment transferred to another research project? If so, list the desired equipment.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

5. Do the TP and/or Research Bureau want any of the listed equipment transferred to another bureau/section within NMDOT? If so, list the desired equipment and name of bureau/section.

*Comments:*_____
_____
_____
_____
_____
_____.

Rating: Excellent ☐   Satisfactory ☐   Unsatisfactory ☐   N/A ☐

6. Additional comments and recommendations.

*Comments:*_____
_____
_____
_____
_____
_____
_____
_____.

Subsection F: Research Bureau Administrative Section (This Section To Be Completed by Research Bureau Administrative Section ONLY).
1. Did the contractor's administrative section expedite the contract development process? *Comments:*_____ _____ _____ _____ _____ _____. Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐
2. How was the performance of the contractor's administrative section in resolving issues with contractual approval delays? *Comments:*_____ _____ _____ _____ _____. Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐
3. Did the contractor's administrative section submit accurate invoices, provide all backup documentation and level of effort letter in accordance with manual/contract requirements? *Comments:*_____ _____ _____ _____ _____ _____. Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐
4. Did the contactors administrative section/accounting section work to resolve invoice issues in a timely fashion? *Comments:*_____ _____ _____ _____ _____. Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

5. Did the contractor's administrative section resolve invoice issues to the requirements and satisfaction of the NMDOT Research Bureau administrator?

*Comments:*_____
_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

6. Did the NMDOT Research Bureau administrative section do everything possible and in a diplomatic/professional manner to facilitate the resolution of invoice issues?

*Comments:*_____
_____
_____
_____
_____
_____
_____.

Rating: Yes ☐   Yes, Partially ☐   Somewhat ☐   No ☐

7. Additional comments and recommendations.

*Comments:*_____
_____
_____
_____
_____
_____
_____.

The performance evaluation of the Contractor and Contractors Administrative Section, NMDOT Technical Panel and NMDOT Research Bureau Project Manager, as well as the documentation of the overall success of the research endeavor will assist in making future improvements for research management.

Performance Evaluations and Project Close-out meeting shall be conducted within 90 days after completion of research project and termination of contract to allow for final invoicing, payments and to finalize the NMDOT Research Bureau Asset Control Sheet.

Wisconsin Department of Transportation
Research & Library Unit
4802 Sheboygan Avenue, Room 104
P.O. Box 7915
Madison, WI 53707