



## INNOVATIVE MOBILITY

### **Guidelines for Pilot Grantees**

Questions?

Reach out to Innovative Mobility Program Staff:

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## Table of Contents

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Table of Contents.....	1
Disclaimer.....	2
Purpose.....	2
Program Overview.....	2
Program Framework.....	3
Roles.....	3
Pilot Grant Award Process.....	4
Grant Award Process.....	4
Legal Agreement with ODOT.....	4
Scope of Work.....	4
Notice to Proceed.....	4
Insurance Coverage.....	5
Fiscal Sponsorship.....	5
Eligible Expenses.....	5
Eligible Expenses.....	5
Restrictions on Use of Funds.....	6
Contracting.....	7
Grant Fund Disbursement.....	8
Initial Disbursement.....	8
Residual Value Agreement.....	8
Reimbursement.....	8
Reimbursement Documentation.....	9
Records Retention.....	10
Quarterly Progress Report.....	10
Grant Agreement Adjustments.....	10
Technical Assistance.....	11
Annual Project Check-in.....	11
Consultant Support.....	11
Escalation Process.....	11
Project Close Out.....	12
Final Report.....	12
Resources.....	12
FAQ.....	13

## Disclaimer

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These guidelines are intended as a general resource for Innovative Mobility Program Pilot Grant fund recipients and should not be considered legal advice. They do not cover all details in the agreement or all circumstances, nor do they replace the agreement between the grantee and the Oregon Department of Transportation (ODOT). The grant agreement remains the binding legal document. The Innovative Mobility Program is governed by Oregon Revised Statutes 184.730, which allows ODOT to develop and finance transportation demand management (TDM) projects. This is a living document as future changes to the program are made at staff discretion.

## Purpose

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These guidelines will assist Innovative Mobility Program Pilot Grant fund recipients in administering their awarded projects. While not all-inclusive, the guidelines touch on the most commonly asked questions from grant recipients and should serve as a quick reference to ensure grant funds are spent according to the applicable policies and rules. Grantees are responsible to ensure expenditures are reasonable and necessary for their project.

## Program Overview

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The Innovative Mobility Program (IMP) is a new initiative that is designed to increase social equity and mobility while reducing the effects of climate change. The IMP is funded by the Bipartisan Infrastructure Law (BIL) passed by Congress in November 2021, as well as State of Oregon dollars. It was created in 2022 at the direction of the Oregon Transportation Commission (OTC). The program has a total of \$20 million for grants, contracts, and administration.

The core objectives of the program are to:

1. Improve **historically underserved communities'** access to public and active transportation.
2. Reduce the number of drive-alone trips.
3. Reduce greenhouse gas emissions.

**The term “historically underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, whose access to resources and opportunities have been historically limited due to systemic barriers.** This includes, but is not limited to, communities who have been historically underserved or under-resourced due to age, disability status, language, income, race/ethnicity, immigration status, or gender.

## Program Framework

The Innovative Mobility Program is designed to provide a variety of different funding opportunities to meet the needs of a broad array of entities. Because the program is funded with both federal and state funds, which have different requirements and limitations, funds have been separated into distinct grant opportunities:

- **Microgrants:**
  - Non-competitive (e.g., first-come, first-served) opportunity funded using state funds.
  - These grants can be used to fund a wide variety of projects and activities, including events, demonstration projects, outreach and education, and minor infrastructure projects.
- **Study and Assessment Grants (Non-Infrastructure):**
  - Competitive opportunity funded using federal funds.
  - These grants can be used to fund transportation needs assessments, shared mobility feasibility studies, first/last mile studies, implementation strategies and more.
- **Pilot Grants:**
  - Competitive opportunity funded using state funds.
  - These grants can be used to support the piloting of new shared mobility services, including funds for operations and minor infrastructure.
- **Service Continuation or Expansion Grants:**
  - Competitive opportunity funded using state funds.
  - These grants can be used to support the continuation or expansion of existing shared mobility services, including funds for operations and minor infrastructure.
- **Capital and Equipment Grants:**
  - Competitive opportunity funded using federal funds.
  - These grants can be used to support investment in capital and equipment purchases for shared mobility services, such as bicycles, etc.

To learn more about when each grant opportunity is offered, please visit the [website](#).

## Roles

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Throughout your project, you will have regular and frequent contact with the Innovative Mobility Program team. The Innovative Mobility Program team is your primary point of contact for reimbursement requests, quarterly progress reports, and questions. They are most often the best point of contact. The program team's contact information can be found in your grant

agreement and notice to proceed. If you aren't sure who to contact, reach out to [innovativemobility@odot.oregon.gov](mailto:innovativemobility@odot.oregon.gov).

## Pilot Grant Award Process

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### Grant Award Process

The Innovative Mobility Program aims to disperse funding to grantees within four months of award notice; however, the timeline is dependent upon email responsiveness, complexity of application, and staff capacity.

Upon award notice, you must be prepared to complete the following:

- Refine scope of work and budget with IMP staff. These items will be included in your grant agreement.
- Provide financial documentation, such as a signed copy of your W9.
- Nonprofit/private applicants will also be required to submit a Certification of Insurance (COI) that meets the coverage limits set within the grant agreement.

**Important:** You may only start work on your project once you receive a notice to proceed (NTP) with a copy of your fully executed agreement from IMP staff. Pilot Grant funds cannot cover costs for activities, events, materials, etc. that occurred prior to receiving a NTP from IMP staff.

### Legal Agreement with ODOT

A grant agreement must be signed to receive funding. A grant agreement is a legal document that lays out the conditions of the grant and the responsibilities of each party. IMP staff are available to answer questions about the agreement.

### Scope of Work

The Scope of Work (SOW) describes the general activities that ODOT expects you to complete. By signing the grant agreement, you agree to carry out the activities outlined in the SOW. Grant funds cannot be spent on activities or purchase materials not specified in the SOW.

### Notice to Proceed

A Notice to Proceed (NTP) is used to inform grantees that work can legally start on a project. You will receive a NTP with a copy of your fully executed grant agreement. A fully executed grant agreement means that all required parties have signed the agreement. **You may only start work on your project once you receive a NTP with a copy of your fully executed agreement.**

## Insurance Coverage

The Innovative Mobility Program insurance requirements were determined at a program level and based on factors like industry standards, program structure, and project scope. As outlined in the grant agreement, ODOT requires that grantees have Commercial General Liability, Automobile Liability, and Workers' Compensation and Employer's Liability insurance coverage for the duration of the grant. To demonstrate proof of coverage, **all nonprofit and private applicants are required to submit a Certificate of Insurance (COI) and supporting documentation to ODOT before a grant agreement is executed and grant funds are made available.**

The [IMP Grant Insurance Guidelines](#) explain the types of insurance coverage and the minimum coverage limits set within the grant agreement that are needed to receive a microgrant award. An [example COI](#) is available as an additional resource. If you have concerns about this requirement, please reach out to IMP staff as soon as possible.

## Fiscal Sponsorship

If your organization is fiscally sponsored, here are the ways your fiscal sponsor should expect to participate.

- Grantees and their fiscal sponsors will enter into an agreement with ODOT that specifies legal and contractual obligations. Fiscal sponsors must review and sign the agreement.
- ODOT requires that grantees submit proof of insurance coverage before their grant agreement can be executed. Fiscal sponsors may provide insurance coverage, as applicable, for the duration of the project.
- Fiscal sponsors should be available to receive the grant award from ODOT and distribute funds to the applying entity in a timely and appropriate manner.

The entity that applied for the IMP Pilot Grant will be responsible for fulfilling the reporting requirements.

## Eligible Expenses

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### Eligible Expenses

Pilot Grant funds are to be used for expenditures needed to pilot a shared mobility service, including capital and equipment purchases and operational costs. Eligible project costs generally include the actual costs expended that are reasonable, necessary, and directly related to the project and should be reflected in the grant budget and scope of work. Costs incurred that are not reflected in the budget or not previously approved by ODOT may not be eligible for reimbursement.

**If you have any questions about whether a cost may be eligible, please reach out to the ODOT IMP team *before expending funds*.**

**Note:** If you plan to install any minor infrastructure for your Pilot Grant (e.g., bike racks, etc.), you must ensure you have appropriate permits and approvals. Minor infrastructure improvements must not be on ODOT right of way. Projects must comply with local, state, and federal government guidelines, including the American with Disabilities Act.

## Restrictions on Use of Funds

The following restrictions apply to the use of grant funds:

- **Giveaway Distribution Limits:** Items purchased as giveaways that directly support the scope of your project have an item cost maximum of \$50. These are items that beneficiaries can take home and do not have to share. For example, bike lights can be distributed at a learn-to-ride event, but each bike light must be \$50 or less. If an item has a value of more than \$50, it may be lent to the individual if the applicant retains ownership and title over the item.
- **Incentives:** Payment in the form of generic cash gift cards only (e.g., Visa gift card) may be used as an incentive for participation in an activity directly related to the scope of the grant project. (For example, a cash gift card can be used as an incentive for completing a transportation survey.) Incentive amounts should be commensurate with the activity occurring and cannot exceed \$50 per gift card. Gift cards should be listed as an expense in your project budget.
- **Staff Time:** Grant funds may be used to pay for staff time and benefits for staff whose work is directly related to the scope of the project. Documentation for reimbursement must show the number of staff, hours worked, the amount paid, and the connection to the project.
- **Overhead/Indirect:** Overhead or indirect refers to costs necessary to keep the organization running. Examples include rent or mortgage payments, utilities, insurance, accounting and legal fees, administrative staff time, and office supplies. The maximum overhead/indirect rate for Pilot Grants is 15% of the direct costs.
- **Raffles, Contests, or Gifts:** Grant funds cannot be used to purchase materials or goods to award as prizes in a raffle, contest, or to gift.

- **Food and Refreshments:** Grant funds may be used to purchase food and refreshments for events directly related to the scope of the project. Alcoholic beverage purchases are not allowed.
- **Insurance:** Grant funds may be used to pay for direct insurance charges if additional insurance is required to carry out the project (e.g., insurance costs for an e-bike lending library). Otherwise, general insurance costs associated with the day-to-day operations of the organization are covered in indirect charges and cannot be listed as separate budget line items.
- **Materials and Supplies:** Costs incurred for materials and supplies directly related to the project are eligible as direct project costs. Otherwise, general materials and supplies associated with the day-to-day operations of the organization are covered in indirect charges and cannot be listed as separate budget line items.
- **Equipment and Other Capital:** Equipment and capital expenditures for special purpose equipment related to the project are eligible as direct project costs. Any equipment with a per unit cost higher than \$1,000 will require a Residual Value Agreement (e.g., e-bikes). Electric micromobility devices must be equipped with a battery or electric drive system that has been tested by an accredited testing laboratory (i.e., UL-certified).
- **Lobbying:** Grant funds cannot be used to directly influence legislation or public policy, participate or intervene in a political campaign on behalf of or in opposition to a candidate for public office, or induce or encourage violations of law or public policy.

ODOT will pursue corrective action, as appropriate, for grantees who misuse grant funds or conduct activities outside of the agreed-upon scope of work. Misuse of funds will disqualify an entity from receiving any additional IMP funding in the future.

#### **Things to Remember**

IMP grant recipients are responsible to ensure that expenditures are reasonable and necessary to deliver their project. If you are unsure of whether a cost is eligible to be reimbursed, contact the ODOT IMP team with specific questions.

## **Contracting**

When you hire a contractor to perform work on your project, you must follow [ORS 279C](#) if you are a public body. Although, private and nonprofit entities are not subject to [ORS 279C](#) (with the exception of ORS 279C.800 through 279C.875), you should use a similar open and competitive process.



All contracts or agreements you have with consultants/contractors/vendors for materials or work on your IMP project must be in writing. **Consultants/contractors/vendors must carry insurance at the limits listed in your agreement with ODOT.**

#### **Things to Remember**

Make sure that any invoices you pay for materials or services have enough detail to demonstrate they are eligible for reimbursement with IMP funds. These records will be requested by ODOT as needed.

## **Grant Fund Disbursement**

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### **Initial Disbursement**

Upon execution of a grant agreement, ODOT may make an initial disbursement of funds to help the grantee purchase equipment needed to launch the project. The decision to provide an initial disbursement is up to staff discretion. An exact amount of up-front funds will be determined by staff.

**If you receive an initial disbursement of grant funds, you must submit an expenditure report demonstrating your proof of purchase within 30 days of purchase.** The expenditure report must include the date of purchase, description of purchase, vendor name, and any other supporting documentation evidencing the purchase.

### **Residual Value Agreement**

If grant funds are used in whole or in part to acquire any single item of equipment costing \$1,000 or more, you must sign and complete a Residual Value Agreement. You must be prepared to provide an inventory of the equipment purchased, including a copy of the invoice that shows the quantity, description, manufacturers identification number, and cost of each item. Once you have purchased equipment, IMP staff will work with you on this document.

### **Reimbursement**

With the exception of the initial disbursement, Pilot Grants are reimbursement-based. Reimbursement may only be requested after you have expended funds (paid bills) on eligible project activities. You must submit a Reimbursement Request form requesting reimbursement of expenses to the Innovative Mobility Program team.

**Reimbursement requests must be submitted quarterly, no later than 35 calendar days after the end of each calendar quarter.** Grantees may request to do monthly reimbursements, which are due no later than 14 calendar days after the end of the month.

A complete reimbursement request includes documentation for expenses such as receipts, timesheets, and proof of payment to vendors. You must reimburse your consultants/contractors/vendors before seeking reimbursement from ODOT.

Your reimbursement request must include the following.

Reimbursement Request Requirements
Project name
Reimbursement period (start and end dates)
Total amount requested
Itemized breakdown of expenses paid and documentation
Innovative Mobility Program grant funds reimbursed to date
Innovative Mobility Program grant funds remaining to be disbursed

## Reimbursement Documentation

Reimbursement requests should include supporting documentation and proof of payments for anything purchased with grant funds. If complete information is provided on your reimbursement request, you can expect to receive payment within 45 days of ODOT's approval of the request.

### Staff time

- Documentation for staff time must include the following:
  - Employee name
  - Number of hours
  - Amount paid
  - Purpose of the staff time (how it directly relates to the project)

### Materials and supplies:

- You must include copies of invoices or receipts that show the purchase date and amount. If you purchased other materials not associated with the grant on the same receipt, you must notate which items you are requesting grant funds to cover.

### Contracts/consultants

- Invoices must show beginning and ending dates of work performed and the services rendered.
- You do not need to include supporting documentation for your contractor's payments to its subcontractors; however, ODOT may request those details should we have questions about expenditures.

## Records Retention

Grant recipients and their contractors must keep project and financial records for six years after project completion and final report.

## Quarterly Progress Report

**You'll need to report on the progress of your project quarterly, which is due no later than 35 calendar days after the end of each calendar quarter.** Your quarterly progress reports help us to determine whether your project is staying on track or whether there are issues that need to be addressed.

Your progress report should include a summary of progress made on grant activities, deliverables, and performance measures applicable to the quarter being reported. Minor adjustments to tasks, schedule, and budget should be noted in the progress report. Please review the section on Grant Agreement Adjustments for more information on when a grant agreement adjustment is required.

### Things to remember

You must be in compliance with the terms of your agreement to receive reimbursement of expenditures. Submitting quarterly reports, in addition to reimbursement requests, is required as part of your agreement.

## Grant Agreement Adjustments

Staff understand that the project may evolve during the course of the grant period, affecting the tasks, schedule, or budget identified in your Scope of Work. Please reach out to staff if you experience any of the following scenarios.

- If you have challenges or concerns about completing a task or project element.
- If you anticipate a task will be delayed by more than 3 months.
- If you need to purchase items not listed in your budget.
- If your budget has shifted substantially.

Depending upon the impact, **some changes may require amending your grant agreement.** ODOT will scrutinize any scope changes to ensure they remain within the original intent of the project selected for funding through the competitive process. ODOT will pay particular attention

to any reduction in scope and evaluate the request to determine if the anticipated project outcomes will be significantly impacted.

**Things to remember**

The grant amount you have been awarded be increased. You will need to address any increases in project costs with another funding source.

Your project must be completed by June 30, 2028.

## Technical Assistance

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### Annual Project Check-in

Grantees may be expected to meet with ODOT staff annually to discuss project progress. Additional project check-in meetings may be required at the discretion of ODOT staff. During the meeting, grantees can expect to discuss project timeline, challenges, and successes.

### Consultant Support

The Innovative Mobility Program may contract with a consultant to provide technical assistance for grantees. Technical assistance will be individualized for each grantee and their project. Examples of technical assistance include logistic support for lending libraries, support collecting documents for reporting, and support tracking project outcomes. More information will be provided soon.

## Escalation Process

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When a grantee is out of compliance with the terms of their agreement, it is critical to address each non-compliance event. Some examples of being out of compliance with their agreement may be:

- Your quarterly reports are late or not submitted, or they do not contain content that demonstrates progress or reports on activities.
- You miss milestones or let milestones pass without reaching out to staff to discuss.
- You do not deliver the project identified in the scope of work in your agreement.

Staff will raise issues on an informal basis with the grantee before escalating to a more formal process.

Step 1	Informal	ODOT staff attempt to work with grantee to achieve compliance (verbal and email).
Step 2	Informal	ODOT staff escalate to Innovative Mobility Program Manager to determine whether the non-compliance merits escalation. (verbal or email)
Step 3	Informal	Innovative Mobility Program Manager sends email to grantee documenting the non-compliance concerns with a copy to <a href="mailto:innovativemobility@odot.oregon.gov">innovativemobility@odot.oregon.gov</a> .
Step 3	Formal	Innovative Mobility Program Manager sends letter documenting non-compliance concerns, provides options and deadline to remedy, and potential consequences <sup>1</sup> .
Step 4	Formal	Innovative Mobility Program Manager sends a decision letter with consequences.

## Project Close Out

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All grantees must submit a final report to ODOT within 60 calendar days of project completion. A project is considered complete when all grant funds have been spent, and the grant impact has been measured.

**Reminder: All grant projects must be completed by June 30, 2028.**

### Final Report

Final report requirements will be shared at a later date.

## Resources

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Below are a list of resources and forms you may use during the execution of your project:

Innovative Mobility Program website:

<https://www.oregon.gov/odot/RPTD/Pages/Innovative-Mobility-Program.aspx> (Includes information about how to apply for future grants.)

Quarterly Progress Report form: *Coming soon!*

Reimbursement Request: *Coming soon!*

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<sup>1</sup> Innovative Mobility Program Manager may consult with the Rail and Multimodal Services Unit Manager to determine the next course of action; provide notice to the Division Administrator and Director.

## FAQ

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Program staff will update this section as questions arise during the grant period.