



INNOVATIVE MOBILITY

Guidelines for Study Grantees

Questions?

Reach out to Innovative Mobility Program Staff:

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Disclaimer

These guidelines are intended as a general resource for Innovative Mobility Program Study 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

These guidelines will assist Innovative Mobility Program Study 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 for ensuring expenditures are reasonable and necessary for their project.

Program Overview

The Innovative Mobility Program (IMP) is an 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 under 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

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.

Study Grant Award Process

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 notice to proceed (NTP) with a copy of your fully executed agreement from IMP staff. Study Grant funds cannot cover costs for activities, events, materials, etc. that occurred prior to receiving 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 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 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.

Eligible Expenses

Eligible Expenses

Study Grant funds are to be used for expenditures needed to conduct a study or assessment. 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.*

Restrictions on Use of Funds

The following restrictions apply to the use of grant funds:

- **Advertising and Public Relations Costs:** The only allowable advertising costs are those which are solely for recruitment of personnel required for the grant project, the procurement of goods and services for the grant project, and other specific purposes necessary to meet the requirements of the project.
- **Staff Time:** Staff time and benefits are allowable as direct costs 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. (Note that administrative staff salaries should normally be treated as an indirect cost rather than a direct cost.)

- **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 Study Grants is 15% of the direct costs unless you have a negotiated Indirect Cost Rate Plan approved by a cognizant agency.
- **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.
- **Incentives:** Grant funds may not be used to pay for incentives.
- **Participant Support Costs:** Grant funds can be used for some participant support costs such as travel allowances and registration fees. (“Participant” generally refers to an individual participating in program activities.)
- **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. 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.
- **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 non-profit 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 grantees are also required to follow federal rules and regulations since Study Grants are funded with federal funds. According to federal rules and regulations, you can follow [an informal procurement method](#) if the dollar amount of the procurement is under the threshold for a [simplified acquisition](#) (\$250k). This generally tracks with [Oregon's procurement thresholds](#). If the contract award is under \$250k, you can informally solicit bids, which means seeking at least three informally solicited competitive price quotes. (Please note that verbal quotes should be documented and included in your procurement files.)

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 Disbursements

Reimbursement

Study 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 with expense documentation to the Innovative Mobility Program team using the [Reporting Form](#).

Reimbursement requests must be submitted quarterly, no later than 35 calendar days after the end of each calendar quarter. (Grantees may request 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.

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. If information is missing, we will reach out to you requesting additional documentation as needed.

Staff time

- Documentation for staff time must include the following:
 - Employee name
 - Number of hours spent working on the project paid for by IMP funds
 - Amount paid
 - Optional: If included in your original budget, you may also include a percentage for personnel benefits.

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.

Travel

- All travel expenses must follow the [U.S. General Services Administration \(GSA\)](#) guidelines.
 - Automobile travel: IMP will reimburse at the [GSA privately owned automobile rate per mile](#) for the fiscal year. A screenshot from a mapping program showing the number of miles traveled is acceptable proof of financial documentation.
 - Lodging: IMP will reimburse up to the [GSA lodging per diem rate](#) for the location of the destination. Please reach out to IMP staff if your lodging exceeds the GSA rate. Lodging receipts must be submitted.
 - Meals and incidentals: IMP will reimburse the [GSA meal and incidental per diem rate](#) for each day. Documentation is not required for these expenses.

Indirect /overhead costs

- Up to 15% of indirect/overhead costs are eligible each reimbursement period. The indirect rate is identified in your grant agreement.
- Indirect costs do not require back-up financial documentation.
- Indirect costs are costs incurred by an organization that are not readily identifiable with a particular project or program but are nevertheless necessary to the operation of the organization and the performance of its programs. The costs of operating and maintaining facilities, depreciations, and administrative salaries are examples of the types of costs that are usually treated as indirect costs. (Source: [Indirect Cost Program | U.S. Economic Development Administration](#)).

Records Retention

Grant recipients and their contractors must keep project and financial record 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.

You will submit your quarterly progress report using the [Reporting Form](#). (Note that the Reimbursement Request and Quarterly Progress Report are accessed from the same link.)

You will be asked to report on how your project is going overall, whether you've run into any challenges impacting your timeline or budget, and how your project's tasks are progressing. Please note the tasks you will be asked to report on will align with your SOW, which you can refer back to if you have questions.

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

We 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

Things to Remember

The grant amount you have been awarded cannot be increased. You will need to address any increases in project costs with another funding source.

Your project must be completed by September 30, 2028.

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.

Technical Assistance

ODOT staff are here to assist you throughout the life of your project. If you have any questions you'd like to discuss or if you run into challenges, please reach out to staff and we can schedule time to meet. Depending on your needs and the individual circumstances of your project, we may be able to connect you with limited consultant support as well.

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.

Escalation Process

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 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 innovativemobility@odot.oregon.gov .
Step 3	Formal	Innovative Mobility Program Manager sends letter documenting non-compliance concerns, provides options and deadline to remedy, and potential consequences.
Step 4	Formal	Innovative Mobility Program Manager sends decision letter with consequences.

Project Close Out

All grantees must submit a final quarterly report and final reimbursement request to ODOT within 35 calendar days of project completion. A project is considered complete when all the tasks in the SOW have been completed, grant funds have been spent, and the grant impact has been measured.

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

Submitting Final Deliverables

Please refer to your SOW to see what deliverables you should plan to submit at the end of the project. (This may include final project reports, completed analyses and findings, etc.)

Confirmation of Third-Party In-Kind Match

If you have received third-party in-kind match to meet your match requirements, we will need to collect confirmation of the match at the end of the project. For instance, if staff at another agency provided volunteer hours to support the project, we will need to collect staff names and positions, hourly salary information, and the number of hours contributed. The entities who provided the match will need to sign off on their contributions before the project can be closed out.

Resources

- Program website: <https://www.oregon.gov/odot/RPTD/Pages/Innovative-Mobility-Program.aspx> (Includes information about how to apply for future grants.)
- Reporting Form: <https://www.cognitoforms.com/ODOT2/InnovativeMobilityProgramReporting> (This is where you can submit reimbursement requests and quarterly reports.)