

■ TRANSPORTATION SAFETY DIVISION ■

**Transportation Safety  
Grant Program**

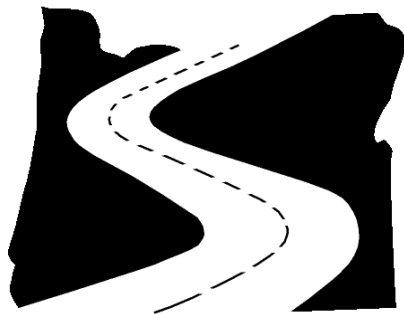
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**PROJECT DIRECTOR'S  
RESOURCE**

**HANDBOOK**

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**Fiscal Year 2020**



■ OREGON DEPARTMENT OF TRANSPORTATION ■

**Transportation Safety Division**  
Oregon Department of Transportation  
4040 Fairview Industrial Drive SE, MS 3  
Salem, OR 97302-1142

Additional copies of this booklet and single forms are available by calling the Transportation Safety Division at (503) 986-4202 or online at <http://www.oregon.gov/ODOT/Safety/Pages/Grantee.aspx>.

The Transportation Safety Division has developed the *Project Director's Resource and Guidance Booklet* as a reference for managing your agency's grant project throughout the grant period. It contains examples of all the forms you will need during the grant year. The Agreements and Assurances are a part of each grant document, and are included here *for your reference only*. If you need more information or have questions, please call your TSD grant manager at one of the telephone numbers on the following page.

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Below is a summary of the process currently followed by the Transportation Safety Division (TSD) to plan and implement Oregon's highway safety program. The grant program is based on a complete and detailed problem analysis prior to the selection of projects. A broad spectrum of agencies at state and local levels and special interest groups are involved in project selection and implementation. In addition, many of the grants are awarded to TSD itself to allow contract awards to private agencies. Self-awarded TSD grants help supplement basic programs to provide more effective statewide services involving a variety of partner agencies implementing traffic safety projects that are not necessarily eligible for direct grants.

## **SUMMARY OF TSD GRANT PROCESS**

**Problem analysis** is completed by Transportation Safety Division staff, the Oregon Transportation Safety Committee (OTSC), and other stakeholder agencies and groups. A state level analysis is completed to certify that Oregon has the potential to fund projects in various program areas. Motor vehicle crash data, survey results (belt use, public perception), and other data on traffic safety problems are analyzed. Program level analysis is included for each of the National Highway Traffic Safety Administration (NHTSA) and Federal Highway Administration (FHWA) priority areas such as impaired driving, occupant protection, and speed control. This data is directly linked to any proposed project for the coming year and is included in the project objectives.

**After data analysis and problem identification are complete, plan development and project selection** begins for state and local public agencies and non-profit groups involved in traffic safety. Panels may be used to complement TSD staff work in order to identify and/or recommend the best projects for the coming year. Projects are selected using criteria that includes response to identified problems, countermeasures chosen, innovation, clear objectives, adequate evaluation plans, and cost effective budgets.

**Plan approval** includes approval by the OTSC, the Oregon Transportation Commission (OTC), NHTSA, and FHWA. The majority of projects are funded for the federal fiscal year, which is October 1 through September 30. Typical grants are for one year but may be continued for up to two additional years. Public information and education projects can also be continued.

**Implementation** of projects starts immediately after necessary approvals are obtained, and in conjunction with the award year (calendar year, state fiscal year, or federal fiscal year). Calendars of the grant periods can be found on pages 41-44. Mandatory Grantee Orientation sessions are held for all grantees at the beginning of the grant year. The purpose of these training sessions is to discuss reporting requirements, review the grant project's Agreements and Assurances, and provide information about resources and state-level related programs.

**Grant monitoring and technical assistance** is provided by TSD throughout the year. While the project is operational, quarterly reporting and claim reimbursement requirements are placed on the grantee and monitoring requirements are performed by TSD staff. On-Site Mid-Year Reviews will be conducted by TSD Program Managers to check on the progress of the grant as well as conduct a financial review. The grantee will be required to provide financial back up (time sheets, invoices, disbursement vouchers, etc.) documentation for an earlier processed claim from either the first or second quarter of the grant year. This On-Site Review should take place between the second and third quarter reporting period. Technical

assistance includes help with data collection and analysis, public information program planning, and project implementation. Assistance to implement special projects such as bicycle safety programs, special evaluations, and data programs to support enforcement efforts is also provided by TSD staff. Every effort is made to partner with state and local agencies and special interest groups on efforts to reduce motor vehicle fatalities and serious injuries.

**Evaluation of the project's impact on traffic safety** is the final activity of an eighteen-month process (at the end of your grant project's year). Project results help determine if the specific project should be continued; if this type of project should be encouraged; and in some cases, if related programs should be initiated. The final deliverable for each project is the Project Director's Final Evaluation Report based on the objectives that are included in the initial project document. The individual reports are compiled and presented with statewide and program level analysis of the overall traffic safety impact in an *Annual Evaluation Report* submitted to NHTSA and FHWA by ODOT-TSD.

## Definitions: TSD – ODOT’s Roles

**TSD Program Manager** (as listed in the grant Project Agreement):

This is the TSD program manager assigned to your grant project.

Contact them directly with requests to change the project (i.e., scope or budget amounts); follow-up on a report or claim submitted to TSD; technical assistance, or other general grant *management* needs.

**TSD Grants Assistant:** Naomi Dwyer, 503.986.4202;

[Naomi.DWYER@odot.state.or.us](mailto:Naomi.DWYER@odot.state.or.us)

This person is the TSD ‘hub’ for all its grant projects. Contact the Grants Assistant directly with needs like a new form, copies, change in your contact information, or other general grant *administrative* needs.

**TSD Highway Safety Manager:** Traci Pearl, 503.986.6718;

[Traci.Pearl@odot.state.or.us](mailto:Traci.Pearl@odot.state.or.us)

This person oversees all TSD grant projects and programs to assure that the administration of grant funds is clear, transparent, and efficient. Contact the Highway Safety Manager directly with any other needs that you may have.

## Definitions: Your Agency's Roles

### **Project Director:**

Main signatory for the grant, oversees your grant project

### **Designated Alternate:**

Serves as Alternate Project Director if the Project Director is unavailable to answer a project question or sign a grant document **or**; if Project Director is being reimbursed through a particular claim.

### **Authorizing Official:**

This person has the authority to obligate funds from your agency's budget (i.e., you usually can't pay the bills or sign contracts without their signature!); cannot be paid through the grant project. **MUST** sign the claim if either the *Project Director* or *Designated Alternate* are being paid or reimbursed through the project.

### **Project Coordinator:**

This person is on point for running the grant project for your agency. They do most of the 'grunt' work for the project. It is common for the Project Director and Project Coordinator to be the same person.

■ STATE AGREEMENTS & ASSURANCES ■



## OREGON DEPARTMENT OF TRANSPORTATION

Transportation Safety Division Grant Agreement  
(State Funded only)

This Transportation Safety Division Grant Agreement ("Agreement") is made by the State of Oregon, acting by and through its Department of Transportation, Transportation Safety Division hereinafter referred to as ODOT or Agency, and [INSERT GRANTEE NAME], hereinafter referred to as Grantee or Subrecipient, and collectively referred to as the Parties (the "Project").

### Agreement Terms and Conditions

**1. Effective Date.** This Agreement is effective on the date that it is fully executed and approved as required by applicable law (the "Effective Date"). Reimbursements will be made for Project Costs incurred on or after July 1, 2019 through and including **June 30, 2020** (the "Grant Period"). No Grant Funds are available for expenditures incurred after the Grant Period.

**2. Agreement Documents.** This Agreement includes the following documents, listed in descending order of precedence for purposes of resolving any conflict between two or more of the parts:

The Agreement Terms and Conditions set forth herein  
Exhibit A- Project Description  
Exhibit B - ODOT Grant Budget and Cost Sharing

All of the Exhibits attached hereto are incorporated herein by this reference.

**3. Grant Award.** In accordance with this Agreement, Agency shall provide Grantee an amount not to exceed **\$(insert award amount)** (the "Grant Funds") for eligible costs of the Project.

### 4. Project.

**a. Description.** The Grant Funds shall be used solely for the activities described in Exhibit A (the "Project") and may not be used for any other purpose. No Grant Funds will be disbursed for any changes to the Project unless such changes are approved by Agency pursuant to **Section 5c** hereof. Grantee shall implement and complete the Project in accordance with Exhibit A.

**b. Project Change Procedures.** Any proposed changes in the scope of the Project, the Project objectives, key Project personnel, time period, or Budget must be requested in writing and approved by Agency. Grantee shall not perform any Project changes without a Grant Adjustment Form, submitted in the form provided by ODOT, and signed by Agency and Grantee. Any extension of the time period for completion or performance of the Project must be requested at least six weeks prior to the end of the stated time period and may need approval of the funding agency (identified in **Section 8** of this Agreement) if the end of the grant award year is involved.

**c. Conditions of Project Approval.** [RESERVED].

### 5. Grant Funds.

**a. Use of Grant Funds.** The Grant Funds shall be used solely for the Project activities described in Exhibit A in accord with the ODOT Grant Budget and Cost Sharing set forth in Exhibit B (the "Budget"). Grantee agrees to use its best efforts to fully expend the Grant Funds for their stated purposes within the Grant Period, after which time all unspent award funds are no longer available for the project beyond the end of the Grant Period.

**b. Eligible Project Costs.** The Grant Funds may be used only for Grantee's actual Project costs to the extent those costs are (a) reasonable, necessary and directly used for the Project; and (b) eligible or permitted uses of the Grant Funds under, as applicable, federal and State law and this Agreement and are (c) not excluded from reimbursement or payment as a result of any later financial review or audit ("Eligible Project Costs"). Eligible Project Costs do not include any expenditures incurred outside of the Grant Period.

**c. Reimbursement.** ODOT will disburse the Grant Funds only as reimbursement for Eligible Project Costs paid by Grantee and upon receipt and approval of Grantee's Quarterly Reports and Claims for Reimbursement (along with any required supplementary documents like Residual Value Agreement form, receipts indicating proof of purchase, etc.) submitted in accord with **Section 6** of this Agreement. Grantee will be reimbursed only for Eligible Project Costs incurred by Grantee after the date set forth in the "Authorization to Proceed" for the Project provided to Grantee by Agency. Grant Funds shall not be used for Project activities previously carried out with the Grantee's own resources with no declared intent to be reimbursed under this Agreement (supplanting). Income earned through services conducted through the Project should be used to offset the cost of the Project and be included in the Budget.

### d. Conditions Precedent to Reimbursement.

ODOT's obligation to disburse Grant Funds to Grantee is subject to the conditions precedent that:

- (i) ODOT has received funding (including federal funds), appropriations, limitations, allotments, or other expenditure authority sufficient to allow ODOT, in the exercise of its reasonable administrative discretion, to make the reimbursement;
- (ii) Grantee is in compliance with the terms of this Agreement and no Grantee Default under **Section 13** of this Agreement has occurred or is occurring; and
- (iii) ODOT has received and approved the reports and Claims for Reimbursement submitted by Grantee.

**e. Availability of Funds.** The funds committed under this Agreement are subject to Agency having sufficient

funding, appropriations, limitations, allotments and other expenditure authority to make disbursements.

**6. Project Reporting and Management.** Grantee's Project Director (described below) shall be responsible for implementing this Agreement and establishing and maintaining procedures that will ensure the effective administration of the Project.

**a. Project Director Responsibilities.** The Project Director shall:

(i) **Accounting.** Establish or use an accounting system that conforms to general accepted accounting principles, as described in **Section 10a** of this Agreement, and ensure that source documents are developed which will reliably account for the Grant Funds expended, any required match provided, and any grant project income.

(ii) **Personnel.** Maintain copies of job descriptions and resumes of persons hired for all Project-related positions which are funded at 0.25 FTE or more.

(iii) **Hours Worked.** Maintain records showing actual hours utilized in Project-related activities by all Grant Funded personnel and by all other staff personnel or volunteers whose time is used as in-kind match.

(iv) **Quarterly Reports.** Complete a quarterly highway safety project report ("Quarterly Report"). Each Quarterly Report must be signed by the Project Director or the Designated Alternate and submitted to Agency by the tenth day of the month following the close of each calendar quarter for the duration of the Grant Period.

The "Project Director" is the person responsible for implementing this Agreement and establishing and maintaining procedures that will ensure the effective administration of the project objectives. The "Designated Alternate" is an individual who is given the authority to sign Quarterly Reports for the Project Director, in the event he/she is unable to sign due to circumstances beyond his/her control.

(v) **Reimbursement Claims.** Submit a Claim for Reimbursement within 35 days of the end of the calendar quarter in which expenses were incurred (submit claims no more than monthly), using the form provided by Agency as follows:

(A) Residual Value Agreement form, and invoices and/or receipts indicating proof of purchase. Copies of ODOT's pre-approval, invoices and/or receipts for all specified items must be submitted to Agency upon request with the Claim for Reimbursement.

(B) Claims for Reimbursement may be submitted as often as monthly but must be submitted at least quarterly; and

(C) Claims for Reimbursement must be signed (or electronically 'signed/approved', if applicable) by the Project Director or the Designated Alternate.

**b. Travel.** Grantee shall keep a record of all significant travel. Agency will provide reimbursement without pre-approval only for in-state travel by persons employed by Grantee in Project-related activities. All out-of-state or other travel must be pre-approved by Agency. Grantee must adhere to the State's travel policy, such as utilizing Government Services Administration (GSA) travel

reimbursement rates. To receive approval or reimbursement, the trip must be detailed on the Budget or requested in a grant adjustment as described under Project Change Procedures. All travel outside the Grantee's jurisdiction should be summarized on the Quarterly Reports.

**c. Development of Print or Production Materials.**

(i) **Agency Rights.** Grantee *shall* provide Agency with draft copies of all outreach, media, and/or educational materials to be developed using Grant Funds, and prior to production (regardless of medium: print, broadcast, radio, etc.). Agency may suggest revisions and must pre-approve production of any materials developed using Grant Funds. All brochures; course, workshop and conference announcements; and other materials that are developed and/or printed using Grant Funds shall include a statement crediting Agency. Materials produced through the Project shall be provided to Agency for its use and distribution and may not be sold for profit by either the Grantee or any other party. Every invention, discovery, work or authorship, trade secret or other tangible or intangible item that Grantee is required to deliver to Agency under this Agreement and all intellectual property rights therein ("Work Product"), including derivative works and compilations shall be the property of Agency; any original work of authorship created by Grantee under this Agreement is "work made for hire" of which Agency is the author. Grantee hereby irrevocably assigns to Agency any and all rights, title, and interest in all original Work Product created by Grantee under this Agreement. Upon Agency's reasonable request, Grantee shall execute such further documents and instruments necessary to fully vest such rights in Agency. Grantee forever waives any and all rights relating to Work Product created by Grantee under this Agreement, including without limitation, any and all rights arising under 17 U.S.C. §106A or any other rights of identification of authorship or rights of approval, restriction or limitation on use or subsequent modifications.

(ii) **Grantee Rights.** If the Work Product created by Grantee under this Agreement is a derivative work based on Grantee Intellectual Property, or is a compilation that includes Grantee Intellectual Property, Grantee hereby grants to Agency an irrevocable, non-exclusive, perpetual, royalty-free license to use, reproduce, prepare derivative works based upon, distribute copies of, perform, and display the pre-existing elements of the Grantee intellectual property employed in the Work Product, and to authorize others to do the same on Agency's behalf.

(iii) **Third Party Rights.** If the Work Product created by Grantee under this Agreement is third party intellectual property or a derivative work based on third party intellectual property, or is a compilation that includes third party intellectual property, Grantee shall secure on Agency's behalf and in the name of Agency an irrevocable, non-exclusive, perpetual, royalty-free license to use, reproduce, prepare derivative works based upon, distribute copies of, perform and display the pre-existing element of the third party intellectual property employed in the Work Product, and to authorize others to do the same on Agency's behalf.

(iv) **Other State/Federal Rights.** RESERVED.

**d. Equipment Purchased with Grant Funds.**

(i) **Residual Value Agreement.** If Grant Funds are used in whole or in part to acquire any single item of equipment costing \$5,000 or more (which acquisition is only upon ODOT's pre-approval), Grantee shall complete and submit to Agency an equipment inventory that lists such items and includes Agency's rules governing the removal or release of such items from Grantee's inventory (a "Residual Value Agreement"), in the form provided by Agency. Agency may, at its discretion, require Grantee to execute a Residual Value Agreement for equipment costing less than \$5,000 in order to track the tangible equipment purchased with Grant Funds. A copy of the original vendor's invoice indicating quantity, description, manufacturer's identification number and cost of each item will be attached to the signed agreement. All equipment should be identified with the Grantee's property identification number.

(ii) **Federal Requirements.** Reserved.

**e. Costs and Expenses Related to Employment of Individuals; Insurance; Workers' Compensation.**

Grantee is responsible for all costs and expenses related to its employment of individuals to perform the work under this Agreement, including but not limited to retirement contributions, workers' compensation, unemployment taxes, and state and federal income tax withholding. In addition, Grantee's subcontractors, if any, and all employers working under this Agreement are subject employers under the Oregon Workers' Compensation Law and shall comply with ORS 656.017 and shall provide the required Workers' Compensation coverage, unless such employers are exempt under ORS 656.126. Employer's liability insurance with coverage limits of not less than \$500,000 must be included. Grantee shall ensure that each of its sub-recipient(s), contractor(s), and subcontractor(s) complies with these requirements.

**7. Final Report.** Grantee must prepare a Project Director's Final Evaluation Report ("Final Report") in accordance with the Evaluation Plan described in Exhibit A and in the form provided by Agency to Grantee. This report is separate and distinct from the required fourth Quarterly Report; this Final Report must cover the entire grant year. The Final Report must be submitted within 35 days following the last day of the Grant Period. The report may be no more than ten pages and must include the following elements:

**a. Objective and Activities.** A summary of the Project including problems addressed, objectives, major activities and accomplishments as they relate to the objectives;

**b. Costs.** A summary of the costs of the Project including the amount of Grant Funds and amounts paid by Grantee, other agencies and private sources. The amount of volunteer time should be identified;

**c. Implementation.** Discussion of implementation process so that other agencies implementing similar projects can learn from Grantee's experiences; including descriptions of what went as planned, what didn't work as expected, what important elements made the Project successful or as successful as expected;

**d. Evaluation.** Respond to each of the evaluation questions set forth in Exhibit A, including completing and referencing the Data Table (as applicable);

**e. Completed Data Table.** Complete the Data Table (as applicable) by inserting the information in the format required in Exhibit A.

**8. Recovery of Grant Funds.**

**a. Recovery of Grant Funds.** Any Grant Funds disbursed to Grantee under this Agreement that are expended in violation of one or more of the provisions of this Agreement, including any Grant Funds used for ineligible or unauthorized expenditures as determined by a state or federal review for which Grant Funds have been claimed and payment received, ("Misexpended Funds") must be returned to Agency. Grantee shall return all Misexpended Funds to Agency no later than fifteen (15) days after ODOT's written demand.

**b. Audit.** RESERVED.

**9. General Representation and Warranties of**

**Grantee.** Grantee represents and warrants to ODOT as follows:

**a. Organization and Authority.** Grantee is duly organized and validly existing under the laws of the State of Oregon and is eligible to receive the Grant Funds. Grantee has full power, authority and legal right to make this Agreement and to incur and perform its obligations hereunder, and the making and performance by Grantee of this Agreement:

(i) have been duly authorized by all necessary action of Grantee;

(ii) do not and will not violate any provision of any applicable law, rule, regulation, or order of any court, regulatory commission, board, or other administrative agency or any provision of Grantee's, as applicable, governing laws or Articles of Incorporation or Bylaws,

(iii) do not and will not result in the breach of, or constitute a default or require any consent under any other agreement or instrument to which Grantee is a party or by which Grantee or any of its properties may be bound or affected, and

(iv) no further authorization, consent, license, approval of, filing or registration with or notification to any governmental body or regulatory or supervisory authority is required for the execution, delivery or performance by Grantee of this Agreement.

**b. Binding Obligation.** This Agreement has been duly executed and delivered by Grantee and constitutes a

legal, valid and binding obligation of Grantee, enforceable in accordance with its terms subject to, if applicable, the laws of bankruptcy, insolvency, or other similar laws affecting the enforcement of creditors' rights generally.

**c. No Gratuities.** Grantee's officers, employees, and agents shall neither solicit nor accept gratuities, favors, or any item of monetary value from contractors, potential contractors, or parties to subagreements, except as permitted by applicable law. No member or delegate to the Congress of the United States or State of Oregon employee shall be admitted to any share or part of this Agreement or any benefit arising therefrom.

The warranties set in this **Section 9** are in addition to, and not in lieu of, any other warranties set forth in this Agreement or implied by law.

## **10. Records Maintenance and Retention.**

### **a. Records, Access to Records and Facilities.**

Grantee shall make and retain proper and complete books of record and account and maintain all fiscal records related to this Agreement and the Project in accordance with, as applicable, all generally accepted accounting principles, generally accepted governmental auditing standards, and minimum standards for audits of non-profit organizations. Grantee shall ensure that each of its sub-recipients and subcontractors, if any, complies with these requirements. Agency, the Secretary of State of Oregon (Secretary), the federal government (including the Federal Funding Agency or the Comptroller General of the United States), and their duly authorized representatives shall have access to the books, documents, papers and records of Grantee that are directly related to this Agreement, the Grant Funds, or the Project for the purpose of making audits and examinations and may make and retain excerpts, copies, and transcriptions of the foregoing books, documents, papers, and records. Nothing herein is meant to be or will be interpreted to be a waiver of any protection against disclosure of records or communication otherwise provided by law, including protection provided by attorney-client privilege or the attorney work product doctrine.

**b. Retention of Records.** Grantee shall retain and keep accessible all books, documents, papers, and records that are directly related to this Agreement, the Grant Funds or the Project (including all records required under 49 CFR Part 18.42) until the date that is the later of: (i) any date required under 49 CFR Part 18.42 or (ii) six (6) years following the expiration of the Grant Period.

**c. Expenditure Records.** Grantee shall document the expenditure of all Grant Funds reimbursed by ODOT under this Agreement. Grantee shall create and maintain all expenditure records in sufficient detail to permit Agency to verify how the Grant Funds were expended. This Section 10 shall survive any expiration or termination of this Agreement.

## **11. Sub-agreements.**

**a. Subcontractors.** Performance of this Agreement shall not be subcontracted in whole or in part, except with the written consent of Agency. If applicable, Grantee shall not assign this Agreement or the Project described herein, either in whole or in part, or otherwise attempt to convey any right, privilege, duty or obligation hereunder, without the prior written consent of Agency.

**b. Terms of Subcontracts.** Any contracts or other service agreements that are entered into by the Grantee as part of the Project shall be reviewed and approved by Agency to determine whether the work to be accomplished is consistent with the objectives and funding criteria of the Project. Grantee shall ensure that any subcontractors adhere to applicable requirements established for the Grant Funds and that any subcontracts include provisions for the following:

- (i) Administrative, contractual, or legal remedies in instances where subcontractors violate or breach sub contract terms, and provide for such sanctions and penalties as may be appropriate;
- (ii) Access by the Grantee, the state, the federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives, to any books, documents, papers, and records of the contractor which are directly pertinent to that specific subcontract, for the purpose of making audit, examination, excerpts, and transcriptions. Subcontractors shall maintain all required records for six years after Grantee makes final payments and all other pending matters are closed;
- (iii) Notice of Agency's requirements and regulations pertaining to reporting, requirements and regulations pertaining to patent rights with respect to any discovery or invention which arises or is developed in the course of or under such subcontract, and requirements and regulations pertaining to copyrights and rights in data; and
- (iv) Additional Requirements: RESERVED.

**c. Conditional Terms.** RESERVED.

#### **d. Subcontractor Indemnity/Insurance.**

(i) **Indemnity.** Grantee's subcontract(s) shall require the other party to such subcontract(s) that is not a unit of local government as defined in ORS 190.003, if any, to indemnify, defend, save and hold harmless State of Oregon ("State") and its officers, employees and agents from and against any and all claims, actions, liabilities, damages, losses, or expenses, including attorneys' fees, arising from a tort, as now or hereafter defined in ORS 30.260, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of the other party to Grantee's subcontract or any of such party's officers, agents, employees or subcontractors ("Claims"). It is the specific intention of the Parties that the State shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the State, be indemnified by the other party to Grantee's subcontract(s) from and against any and all Claims. Any such indemnification shall also provide that neither Grantee's subrecipient(s), contractor(s) nor subcontractor(s) (collectively "Subgrantees"), nor any attorney engaged by Grantee's Subgrantee(s), shall defend any claim in the name of the State or any agency of the State of Oregon, nor purport to act as legal representative of the State of Oregon or any of its agencies, without the prior written consent of the Oregon Attorney General. The State may, at any time at its election, assume its own defense and settlement in the event that it determines that Grantee's Subgrantee is prohibited from defending State or that Grantee's Subgrantee is not adequately defending State's interests, or that an important governmental principle is at issue or that it is in the best interests of State to do so. State reserves all rights to pursue claims it may have against Grantee's Subgrantee if the State elects to assume its own defense.

(ii) **Insurance.** Grantee may require the other party, or parties, to each of its subcontracts that are not units of local government as defined in ORS 190.003 to obtain and maintain insurance of the types and in the amounts provided for projects of the Project's nature. Any insurance obtained by the other party to Grantee's subagreements, if any, shall not relieve Grantee of the requirements of Section 11 of this Agreement. The other party to any subcontract with Grantee, if the other party employs subject workers as defined in ORS 657.027, must obtain Workers Compensation Coverage as described in **Section 6.**

#### **12. Termination**

**a. Termination by Agency.** Agency may terminate this Agreement effective upon delivery of written notice of termination to Grantee, or at such later date as may be established by Agency in such written notice, if:

(i) Grantee fails to perform the Project within the time specified herein or any extension thereof or commencement, continuation or timely completion of the Project by Grantee is, for any reason, rendered

improbable, impossible, or illegal;

(ii) Agency fails to receive funding, appropriations, limitations or other expenditure authority sufficient to allow Agency, in the exercise of its reasonable administrative discretion, to continue to make payments for performance of this Agreement; or

(iii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that the Project is no longer allowable or no longer eligible for funding under this Agreement; or

(iv) The Project would not produce results commensurate with the further expenditure of funds; or

(v) Grantee takes any action pertaining to this Agreement without the approval of Agency and which under the provisions of this Agreement would have required the approval of Agency; or

(vi) Grantee is in default under any provision of this Agreement.

**b. Termination by Grantee.** Grantee may terminate this Agreement effective upon delivery of written notice of termination to Agency, or at such later date as may be established by Grantee in such written notice, if:

(i) The requisite local funding or match, if any, to continue the Project becomes unavailable to Grantee; or

(ii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that the Project is no longer allowable or no longer eligible for funding under this Agreement.

(iii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that Grantee is no longer authorized to operate or to carry out the Project.

**c. Termination by Either Party.** If a Party fails to comply with any of the terms of this Agreement, the other Party may terminate this Agreement upon at least ten days' notice to the other Party or upon failure of the other Party to cure within any cure period provided in the notice.

#### **13. Default.**

**a. Grantee Default.** Any of the following constitutes a default by Grantee under this Agreement:

(i) Any false or misleading representation is made by or on behalf of Grantee or sub-grantee, in this Agreement or in any document provided by Grantee to Agency related to the Grant Funds or the Project;

(ii) Grantee fails to cure any performance as provided in Section 12.c;

(iii) Grantee fails to perform any other obligation required under this Agreement; or

(iv) If and to the extent allowed by law, Grantee initiates or consents to a proceeding or case, or a proceeding or case is commenced without the application or consent of Grantee, seeking: (A) the liquidation, dissolution or winding-up, or the composition or readjustment of debts, of Grantee, (B) the appointment of a trustee, receiver, custodian, liquidator, or the like of Grantee or of all or any substantial part of its assets, or (C) similar relief in respect to Grantee under any law relating to bankruptcy,

insolvency, reorganization, winding-up, or composition or adjustment of debts, and such proceeding or case continues undismissed, or an order, judgment, or decree approving or ordering any of the foregoing is entered and continues unstayed and in effect for a period of sixty (60) consecutive days, or an order for relief against Grantee is entered in an involuntary case under the Federal Bankruptcy Code (as now or hereafter in effect).

**b. Agency Default.** Agency will be in default under this Agreement if it fails to perform, observe or discharge any of its covenants, agreements or obligations under this Agreement.

#### 14. Remedies.

**a. Agency Remedies.** Upon any default, Agency may pursue any or all remedies in this Agreement and any other remedies available at law or in equity to enforce the performance of any obligation of Grantee. Remedies may include, but are not limited to:

- (i) Terminating Agency's commitment and obligations under the Agreement as provided in **Section 12**;
- (ii) Requiring repayment of the Grant Funds and all interest earned by Grantee on those Grant Funds as provided in **Section 8**.

No remedy available to Agency is intended to be exclusive, and every remedy will be in addition to every other remedy. No delay or omission to exercise any right or remedy will impair or is to be construed as a waiver of such right or remedy. No single or partial exercise of any right power or privilege under this Agreement will preclude any other or further exercise thereof or the exercise of any other such right, power or privilege.

**b. Grantee Remedies.** In the event Agency defaults on any obligation in this Agreement, Grantee's remedy will be limited to injunction, special action, action for specific performance, or other available equitable remedy for performance of Agency's obligations.

#### 15. General Provisions.

**a. Indemnification and Hold Harmless.** Subject to the conditions and limitations of the Oregon Constitution, if any, and the Oregon Tort Claims Action (ORS 30.260 to 30.300), if applicable, Grantee shall indemnify, defend, save and hold harmless State of Oregon ("State") and its officers, employees and agents from and against any and all claims, actions, liabilities, damages, losses, or expenses, including attorneys' fees, arising from a tort, as now or hereafter defined in ORS 30.260, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Grantee, its officers, agents, employees or subcontractors ("Claims"). It is the specific intention of the Parties that the State shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the State, be indemnified by Grantee from and against any and all Claims. Neither Grantee or any attorney engaged by Grantee may defend any claim in the name of the State

or any agency of the State of Oregon, nor purport to act as legal representative of the State of Oregon or any of its agencies, without the prior written consent of the Oregon Attorney General. The State may, at any time at its election, assume its own defense and settlement in the event that it determines that Grantee is prohibited from defending State or that Grantee is not adequately defending State's interests, or that an important governmental principle is at issue or that it is in the best interests of State to do so. State reserves all rights to pursue claims it may have against Grantee if the State elects to assume its own defense.

**b. Dispute Resolution.** The Parties shall attempt in good faith to resolve any dispute arising out of this Agreement. In addition, the Parties may agree to utilize a jointly selected mediator or arbitrator (for non-binding arbitration) to resolve the dispute short of litigation.

**c. Amendments.** This Agreement may be amended or extended only by a written instrument signed by both Parties and approved as required by applicable law.

**d. Duplicate Payment.** Grantee is not entitled to compensation or any other form of duplicate, overlapping or multiple payments for the same work performed under this Agreement from any agency of the State of Oregon or the United States of America or any other party, organization or individual.

**e. No Third Party Beneficiaries.** Agency and Grantee are the only Parties to this Agreement and are the only Parties entitled to enforce its terms. Nothing in this Agreement gives, is intended to give, or shall be construed to give or provide any benefit or right, whether directly or indirectly, to a third person unless such a third person is individually identified by name herein and expressly described as an intended beneficiary of the terms of this Agreement.

**f. Notices.** Except as otherwise expressly provided in this Agreement, any communications between the Parties hereto or notices to be given hereunder shall be given in writing by personal delivery, facsimile, email or mailing the same, postage prepaid, to Grantee Project Director or Agency Contact at the address or number set forth below or to such other addresses or numbers as either Party may hereafter indicate pursuant to this Section. Any communication or notice personally delivered shall be deemed to be given when actually delivered. Any communication or notice delivered by facsimile shall be deemed to be given when receipt of the transmission is generated by the transmitting machine, and to be effective against Agency, such facsimile transmission must be confirmed by telephone notice to Agency Contact. Any communication by email shall be deemed to be given when the recipient of the email acknowledges receipt of the email. Any communication or notice mailed shall be deemed to be given when received. Notices shall be directed to:

Grantee – to the name and address  
listed on page 1 of this Agreement

Attn: Project Director: As listed |  
in application

ODOT  
ODOT Contact:

**g. Governing Law, Consent to Jurisdiction.** This Agreement shall be governed by and construed in accordance with the laws of the State of Oregon without regard to principles of conflicts of law. Any claim, action, suit or proceeding (collectively, “Claim”) between Agency (or any other agency or department of the State of Oregon) and Grantee that arises from or relates to this Agreement shall be brought and conducted solely and exclusively within the Circuit Court of Marion County in the State of Oregon. In no event shall this section be construed as a waiver by the State of Oregon of any form of defense or immunity, whether sovereign immunity, governmental immunity, immunity based on the eleventh amendment to the Constitution of the United States or otherwise, from any Claim or from the jurisdiction of any court. *Each Party hereby consents to the exclusive jurisdiction of such court, waives any objection to venue, and waives any claim that such forum is an inconvenient forum.*

**h. Compliance with Law.** Grantee shall comply with all applicable federal, state, and local laws, regulations, executive orders and ordinances applicable to the Project including, but not limited to, the provisions of ORS 319.020 and OAR 738 Divisions 124 and 125 where applicable by this Agreement, incorporated herein by reference and made a part of this Agreement.

**i. Independent Contractor.** Grantee shall perform the Project as an independent contractor and not as an agent or employee of Agency. Grantee has no right or authority to incur or create any obligation for or legally bind Agency in any way. Agency cannot and will not control the means or manner by which Grantee performs the Project, except as specifically set forth in this Agreement. Grantee is responsible for determining the appropriate means and manner of performing the Project. Grantee acknowledges and agrees that Grantee is not an “officer”, “employee”, or “agent” of Agency, as those terms are used in ORS 30.265, and shall not make representations to third parties to the contrary.

**j. Severability.** If any term or provision of this Agreement is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and provisions shall not be affected, and the rights and obligations of the Parties shall be construed and enforced as if this Agreement did not contain the particular term or provision held to be invalid.

**k. Counterparts.** This Agreement may be executed in several counterparts (facsimile or otherwise) all of which

when taken together shall constitute one agreement binding on all Parties, notwithstanding that all Parties are not signatories to the same counterpart. Each copy of this Agreement so executed shall constitute an original.

**I. Integration and Waiver.** This Agreement, and the attached Exhibits, constitute the entire Agreement between the Parties on the subject matter hereof. There are no understandings, agreements, or representations, oral or written, not specified herein regarding this Agreement. No waiver or consent under this Agreement shall bind either Party unless in writing and signed by both Parties and all necessary approvals have been obtained. Such waiver or consent, if made, shall be effective only in the specific instance and for the specific purpose given. The failure of Agency to enforce any provision of this Agreement shall not constitute a waiver by Agency of that or any other provision.

The Grantee, by its signature below, acknowledges that it has read this Agreement, understands it, and agrees to be bound by its terms and conditions.

Date \_\_\_\_\_

**STATE OF OREGON acting by and through its Department of Transportation**

Signature: \_\_\_\_\_

Highway Safety Section-Manager, ODOT-TSD

Date: \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

Date \_\_\_\_\_

**APPROVED AS TO LEGAL SUFFICIENCY IN ACCORDANCE WITH ORS 291.047:**

\_\_\_\_\_ s/ Sam Zeigler per email dated 7/14/19

Sam Zeigler, Assistant Attorney General

**GRANTEE: Designated Alternate:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

Date \_\_\_\_\_

**GRANTEE: Authorizing Official:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

**GRANTEE: Project Director:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

Date \_\_\_\_\_



EXHIBIT A

[INSERT PROJECT SUMMARY REPORT AND NEGOTIATED GRANT PROJECT APPLICATION]

**EXHIBIT B  
BUDGET AND COST SHARING**

**[Insert or attach budget from negotiated Project Application]**

**EXHIBIT C**  
**SUMMARY OF FEDERAL REQUIREMENTS**  
**ANNUAL FFY CERTIFICATIONS AND ASSURANCES FOR HIGHWAY SAFETY GRANTS**  
**(~~23 USC CHAPTER 4; SEC. 1906, PUB. L. 109-159~~)**

*Additional Required Federal Terms and Conditions for Grants funded with Federal Funds*

RESERVED

**EXHIBIT D**  
**~~INFORMATION REQUIRED BY 2 CFR § 200.331(a)(1)\*~~**

FOR FEDERAL GRANT FUNDS ONLY

RESERVED

■ **FEDERAL AGREEMENTS & ASSURANCES** ■

**OREGON DEPARTMENT OF TRANSPORTATION**  
Transportation Safety Division Grant Agreement  
(Federal Funded only)

This Transportation Safety Division Grant Agreement ("Agreement") is made by the State of Oregon, acting by and through its Department of Transportation, Transportation Safety Division hereinafter referred to as ODOT or Agency, and [INSERT GRANTEE NAME], hereinafter referred to as Grantee or Subrecipient, and collectively referred to as the Parties (the "Project").

**Agreement Terms and Conditions**

**1. Effective Date.** This Agreement is effective on the date that it is fully executed and approved as required by applicable law or October 1, 2019, whichever is later (the "Effective Date"). Reimbursements will be made for Project Costs incurred on or after **October 1, 2019** through and including **September 30, 2020** (the "Grant Period"). No Grant Funds are available for expenditures incurred after the Grant Period.

**2. Agreement Documents.** This Agreement includes the following documents, listed in descending order of precedence for purposes of resolving any conflict between two or more of the parts:

Exhibit C - SUMMARY OF FEDERAL REQUIREMENTS.  
The Agreement Terms and Conditions set forth herein  
Exhibit A Project Description  
Exhibit B ODOT Grant Budget and Cost Sharing  
Exhibit D - INFORMATION REQUIRED BY 2 CFR § 200.331(a)(1).

All of the Exhibits attached hereto are incorporated herein by this reference.

**3. Grant Award.** In accordance with this Agreement, Agency shall provide Grantee an amount not to exceed **[\$insert award amount]** (the "Grant Funds") for eligible costs of the Project.

**4. Project.**

**a. Description.** The Grant Funds shall be used solely for the activities described in Exhibit A (the "Project") and may not be used for any other purpose. No Grant Funds will be disbursed for any changes to the Project unless such changes are approved by Agency pursuant to **Section 5c** hereof. Grantee shall implement and complete the Project in accordance with Exhibit A.

**b. Project Change Procedures.** Any proposed changes in the scope of the Project, the Project objectives, key Project personnel, time period, or Budget must be requested in writing and approved by Agency. Grantee shall not perform any Project changes without a Grant Adjustment Form, submitted in the form provided by ODOT, and signed by Agency and Grantee. Any extension of the time period for completion or performance of the Project must be requested at least six weeks prior to the end of the stated time period and may need approval of the funding agency (identified in

**Section 8** of this Agreement) if the end of the grant award year is involved.

**c. Conditions of Project Approval.** [RESERVED].

**5. Grant Funds.**

**a. Use of Grant Funds.** The Grant Funds shall be used solely for the Project activities described in Exhibit A in accord with the ODOT Grant Budget and Cost Sharing set forth in Exhibit B (the "Budget"). Grantee agrees to use its best efforts to fully expend the Grant Funds for their stated purposes within the Grant Period, after which time all unspent award funds are no longer available for the project beyond the end of the Grant Period.

**b. Eligible Project Costs.** The Grant Funds may be used only for Grantee's actual Project costs to the extent those costs are (a) reasonable, necessary and directly used for the Project; and (b) eligible or permitted uses of the Grant Funds under, as applicable, federal and State law and this Agreement and are (c) not excluded from reimbursement or payment as a result of any later financial review or audit ("Eligible Project Costs"). Eligible Project Costs do not include any expenditures incurred outside of the Grant Period.

**c. Reimbursement.** ODOT will disburse the Grant Funds only as reimbursement for Eligible Project Costs paid by Grantee and upon receipt and approval of Grantee's Quarterly Reports and Claims for Reimbursement (along with any required supplementary documents like Residual Value Agreement form, receipts indicating proof of purchase, etc.) submitted in accord with **Section 6** of this Agreement. Grantee will be reimbursed only for Eligible Project Costs incurred by Grantee after the date set forth in the "Authorization to Proceed" for the Project provided to Grantee by Agency. Grant Funds shall not be used for Project activities previously carried out with the Grantee's own resources with no declared intent to be reimbursed under this Agreement (supplanting). Income earned through services conducted through the Project should be used to offset the cost of the Project and be included in the Budget.

**d. Conditions Precedent to Reimbursement.** ODOT's obligation to disburse Grant Funds to Grantee is subject to the conditions precedent that:

- (i) ODOT has received funding (including federal funds), appropriations, limitations, allotments, or other expenditure authority sufficient to allow ODOT, in the exercise of its reasonable administrative discretion, to make the reimbursement;
- (ii) Grantee is in compliance with the terms of this Agreement and no Grantee Default under **Section 13** of this Agreement has occurred or is occurring; and
- (iii) ODOT has received and approved the reports and Claims for Reimbursement submitted by Grantee.

**e. Availability of Federal Funds.** The federal funds committed under this Agreement are subject to the continuation of funds made available to Agency by the National Highway Traffic Safety Administration (NHTSA) and the Federal Highway Administration (FHWA) (each

or collectively the “Federal Funding Agency”) by statute or administrative action.

**6. Project Reporting and Management.** Grantee’s Project Director (described below) shall be responsible for implementing this Agreement and establishing and maintaining procedures that will ensure the effective administration of the Project.

**a. Project Director Responsibilities.** The Project Director shall:

(i) **Accounting.** Establish or use an accounting system that conforms to general accepted accounting principles, as described in **Section 10a** of this Agreement, and ensure that source documents are developed which will reliably account for the Grant Funds expended, any required match provided, and any grant project income.

(ii) **Personnel.** Maintain copies of job descriptions and resumes of persons hired for all Project-related positions which are funded at 0.25 FTE or more.

(iii) **Hours Worked.** Maintain records showing actual hours utilized in Project-related activities by all Grant Funded personnel and by all other staff personnel or volunteers whose time is used as in-kind match.

(iv) **Quarterly Reports.** Complete a quarterly highway safety project report (“Quarterly Report”). Each Quarterly Report must be signed by the Project Director or the Designated Alternate and submitted to Agency by the tenth day of the month following the close of each calendar quarter for the duration of the Grant Period.

The “Project Director” is the person responsible for implementing this Agreement and establishing and maintaining procedures that will ensure the effective administration of the project objectives. The “Designated Alternate” is an individual who is given the authority to sign Quarterly Reports for the Project Director, in the event he/she is unable to sign due to circumstances beyond his/her control.

(v) **Reimbursement Claims.** Submit a Claim for Reimbursement within 35 days of the end of the calendar quarter in which expenses were incurred (submit claims no more than monthly), using the form provided by Agency as follows:

(A) Residual Value Agreement form, and invoices and/or receipts indicating proof of purchase. Copies of ODOT’s pre-approval, invoices and/or receipts for all specified items must be submitted to Agency upon request with the Claim for Reimbursement.

(B) Claims for Reimbursement may be submitted as often as monthly but must be submitted at least quarterly; and

(C) Claims for Reimbursement must be signed (or electronically ‘signed/approved’, if applicable) by the Project Director or the Designated Alternate.

**b. Travel.** Grantee shall keep a record of all significant travel. Agency will provide reimbursement without pre-approval only for in-state travel by persons employed by Grantee in Project-related activities. All out-of-state or other travel must be pre-approved by Agency. Grantee must adhere to the State’s travel policy, such as utilizing Government Services Administration (GSA) travel reimbursement rates. To receive approval or

reimbursement, the trip must be detailed on the Budget or requested in a grant adjustment as described under Project Change Procedures. All travel outside the Grantee’s jurisdiction should be summarized on the Quarterly Reports.

**c. Development of Print or Production Materials.**

(i) **Agency Rights.** Grantee *shall* provide Agency with draft copies of all outreach, media, and/or educational materials to be developed using Grant Funds, and prior to production (regardless of medium: print, broadcast, radio, etc.).

Agency may suggest revisions and must pre-approve production of any materials developed using Grant Funds.

All brochures; course, workshop and conference announcements; and other materials that are developed and/or printed using Grant Funds shall include a statement crediting Agency. Materials produced through the Project shall be provided to Agency for its use and distribution and may not be sold for profit by either the Grantee or any other party.

Every invention, discovery, work or authorship, trade secret or other tangible or intangible item that Grantee is required to deliver to Agency under this Agreement and all intellectual property rights therein (“Work Product”), including derivative works and compilations shall be the property of Agency; any original work of authorship created by Grantee under this Agreement is “work made for hire” of which Agency is the author.

Grantee hereby irrevocably assigns to Agency any and all rights, title, and interest in all original Work Product created by Grantee under this Agreement. Upon Agency’s reasonable request, Grantee shall execute such further documents and instruments necessary to fully vest such rights in Agency. Grantee forever waives any and all rights relating to Work Product created by Grantee under this Agreement, including without limitation, any and all rights arising under 17 U.S.C. §106A or any other rights of identification of authorship or rights of approval, restriction or limitation on use or subsequent modifications.

(ii) **Grantee Rights.** If the Work Product created by Grantee under this Agreement is a derivative work based on Grantee Intellectual Property, or is a compilation that includes Grantee Intellectual Property, Grantee hereby grants to Agency an irrevocable, non-exclusive, perpetual, royalty-free license to use, reproduce, prepare derivative works based upon, distribute copies of, perform, and display the pre-existing elements of the Grantee intellectual property employed in the Work Product, and to authorize others to do the same on Agency’s behalf.

(iii) **Third Party Rights.** If the Work Product created by Grantee under this Agreement is third party intellectual property or a derivative work based on third party intellectual property, or is a compilation that includes third party intellectual property, Grantee shall secure on Agency’s behalf and in the name of Agency an irrevocable, non-exclusive, perpetual, royalty-free license to use, reproduce, prepare derivative works based upon, distribute copies of, perform and display the pre-existing element of the third party intellectual property employed in the Work Product, and to authorize others to do the same on Agency’s behalf.

(iv) **Other State/Federal Rights.** The rights granted or reserved under this section are subject to any requirements of the Federal or State Funding Agency, including those set

forth in Exhibit C of this Agreement. If state or federal law requires that Agency or Grantee grant to the United States a license to any intellectual property in the Work Product, or if state or federal law requires that Agency or the United States own the intellectual property in the Work Product, then Grantee shall execute such further documents and instruments as Agency may reasonably request in order to make any such grant or to assign ownership in such intellectual property to the United States or Agency.

**d. Equipment Purchased with Grant Funds.**

(i) **Residual Value Agreement.** If Grant Funds are used in whole or in part to acquire any single item of equipment costing \$5,000 or more (which acquisition is only upon ODOT's pre-approval), Grantee shall complete and submit to Agency an equipment inventory that lists such items and includes Agency's rules governing the removal or release of such items from Grantee's inventory (a "Residual Value Agreement"), in the form provided by Agency. Agency may, at its discretion, require Grantee to execute a Residual Value Agreement for equipment costing less than \$5,000 in order to track the tangible equipment purchased with Grant Funds. A copy of the original vendor's invoice indicating quantity, description, manufacturer's identification number and cost of each item will be attached to the signed agreement. All equipment should be identified with the Grantee's property identification number.

(ii) **Federal Requirements.** Grantee shall comply with all applicable federal requirements related to the purchase of equipment with Grant Funds, including but not limited to any "Buy America," ownership and disposition requirements set forth in Exhibit C.

**e. Costs and Expenses Related to Employment of Individuals; Insurance; Workers' Compensation.**

Grantee is responsible for all costs and expenses related to its employment of individuals to perform the work under this Agreement, including but not limited to retirement contributions, workers' compensation, unemployment taxes, and state and federal income tax withholding. In addition, Grantee's subcontractors, if any, and all employers working under this Agreement are subject employers under the Oregon Workers' Compensation Law and shall comply with ORS 656.017 and shall provide the required Workers' Compensation coverage, unless such employers are exempt under ORS 656.126. Employer's liability insurance with coverage limits of not less than \$500,000 must be included. Grantee shall ensure that each of its sub-recipient(s), contractor(s), and subcontractor(s) complies with these requirements.

**7. Final Report.** Grantee must prepare a Project Director's Final Evaluation Report ("Final Report") in accordance with the Evaluation Plan described in Exhibit A and in the form provided by Agency to Grantee. This report is separate and distinct from the required fourth Quarterly Report; this Final Report must cover the entire grant year. The Final Report must be submitted within 35 days following the last day of the Grant Period. The

report may be no more than ten pages and must include the following elements:

**a. Objective and Activities.** A summary of the Project including problems addressed, objectives, major activities and accomplishments as they relate to the objectives;

**b. Costs.** A summary of the costs of the Project including the amount of Grant Funds and amounts paid by Grantee, other agencies and private sources. The amount of volunteer time should be identified;

**c. Implementation.** Discussion of implementation process so that other agencies implementing similar projects can learn from Grantee's experiences; including descriptions of what went as planned, what didn't work as expected, what important elements made the Project successful or as successful as expected;

**d. Evaluation.** Respond to each of the evaluation questions set forth in Exhibit A, including completing and referencing the Data Table (as applicable);

**e. Completed Data Table.** Complete the Data Table (as applicable) by inserting the information in the format required in Exhibit A.

**8. Recovery of Grant Funds.**

**a. Recovery of Grant Funds.** Any Grant Funds disbursed to Grantee under this Agreement that are expended in violation of one or more of the provisions of this Agreement, including any Grant Funds used for ineligible or unauthorized expenditures as determined by a state or federal review for which Grant Funds have been claimed and payment received, ("Misexpended Funds") must be returned to Agency. Grantee shall return all Misexpended Funds to Agency no later than fifteen (15) days after ODOT's written demand.

**b. Audit.**

**i.** Grantee shall comply, and require any subcontractor to comply, with applicable audit requirements and responsibilities set forth in this Agreement and applicable state or federal law.

**ii.** If Grantee receives federal awards in excess of \$750,000 in a federal fiscal year, Grantee is subject to audit conducted in accordance with the provisions of 2 CFR part 200, subpart F.

**iii.** Grantee shall save, protect and hold harmless from the cost of any audits or special investigations performed by the Secretary of State with respect to the funds expended under this Agreement. Grantee acknowledges and agrees that any audit costs incurred by Grantee as a result of allegations of fraud, waste or abuse are ineligible for reimbursement under this or any other agreement between Grantee and the State or Oregon.

**9. General Representation and Warranties of**

**Grantee.** Grantee represents and warrants to ODOT as follows:

**a. Organization and Authority.** Grantee is duly organized and validly existing under the laws of the



State of Oregon and is eligible to receive the Grant Funds. Grantee has full power, authority and legal right to make this Agreement and to incur and perform its obligations hereunder, and the making and performance by Grantee of this Agreement:

- (i) have been duly authorized by all necessary action of Grantee;
- (ii) do not and will not violate any provision of any applicable law, rule, regulation, or order of any court, regulatory commission, board, or other administrative agency or any provision of Grantee's, as applicable, governing laws or Articles of Incorporation or Bylaws,
- (iii) do not and will not result in the breach of, or constitute a default or require any consent under any other agreement or instrument to which Grantee is a party or by which Grantee or any of its properties may be bound or affected, and
- (iv) no further authorization, consent, license, approval of, filing or registration with or notification to any governmental body or regulatory or supervisory authority is required for the execution, delivery or performance by Grantee of this Agreement.

**b. Binding Obligation.** This Agreement has been duly executed and delivered by Grantee and constitutes a legal, valid and binding obligation of Grantee, enforceable in accordance with its terms subject to, if applicable, the laws of bankruptcy, insolvency, or other similar laws affecting the enforcement of creditors' rights generally.

**c. No Gratuities.** Grantee's officers, employees, and agents shall neither solicit nor accept gratuities, favors, or any item of monetary value from contractors, potential contractors, or parties to subagreements, except as permitted by applicable law. No member or delegate to the Congress of the United States or State of Oregon employee shall be admitted to any share or part of this Agreement or any benefit arising therefrom.

The warranties set in this **Section 9** are in addition to, and not in lieu of, any other warranties set forth in this Agreement or implied by law.

## **10. Records Maintenance and Retention.**

### **a. Records, Access to Records and Facilities.**

Grantee shall make and retain proper and complete books of record and account and maintain all fiscal records related to this Agreement and the Project in accordance with, as applicable, all generally accepted accounting principles, generally accepted governmental auditing standards, and minimum standards for audits of non-profit organizations. Grantee shall ensure that each of its sub-recipients and subcontractors, if any, complies with these requirements. Agency, the Secretary of State of Oregon (Secretary), the federal government (including the Federal Funding Agency or the Comptroller General of the United States), and their duly authorized representatives shall have access to the books, documents, papers and records of Grantee that are directly related to this Agreement, the Grant Funds, or the Project for the purpose of making audits and

examinations and may make and retain excerpts, copies, and transcriptions of the foregoing books, documents, papers, and records. Nothing herein is meant to be or will be interpreted to be a waiver of any protection against disclosure of records or communication otherwise provided by law, including protection provided by attorney-client privilege or the attorney work product doctrine.

**b. Retention of Records.** Grantee shall retain and keep accessible all books, documents, papers, and records that are directly related to this Agreement, the Grant Funds or the Project (including all records required under 49 CFR Part 18.42) until the date that is the later of: (i) any date required under 49 CFR Part 18.42 or (ii) six (6) years following the expiration of the Grant Period.

**c. Expenditure Records.** Grantee shall document the expenditure of all Grant Funds reimbursed by ODOT under this Agreement. Grantee shall create and maintain all expenditure records in sufficient detail to permit Agency to verify how the Grant Funds were expended. This Section 10 shall survive any expiration or termination of this Agreement.

## **11. Sub-agreements.**

**a. Subcontractors.** Performance of this Agreement shall not be subcontracted in whole or in part, except with the written consent of Agency. If applicable, Grantee shall not assign this Agreement or the Project described herein, either in whole or in part, or otherwise attempt to convey any right, privilege, duty or obligation hereunder, without the prior written consent of Agency.

**b. Terms of Subcontracts.** Any contracts or other service agreements that are entered into by the Grantee as part of the Project shall be reviewed and approved by Agency to determine whether the work to be accomplished is consistent with the objectives and funding criteria of the Project. Grantee shall ensure that any subcontractors adhere to applicable requirements established for the Grant Funds and that any subcontracts include provisions for the following:

- (i) Administrative, contractual, or legal remedies in instances where subcontractors violate or breach sub contract terms, and provide for such sanctions and penalties as may be appropriate;
- (ii) Access by the Grantee, the state, the federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives, to any books, documents, papers, and records of the contractor which are directly pertinent to that specific subcontract, for the purpose of making audit, examination, excerpts, and transcriptions. Subcontractors shall maintain all required records for six years after Grantee makes final payments and all other pending matters are closed;
- (iii) Notice of Agency's requirements and regulations pertaining to reporting, requirements and regulations pertaining to patent rights with respect to any discovery or invention which arises or is developed in the course of or under such subcontract, and requirements and regulations pertaining to copyrights and rights in data; and

(iv) Any additional requirements imposed by federal law and set forth in **Exhibit C**, including without limitation, sections 1 (Miscellaneous Federal Provisions), 2 (Equal Employment Opportunity), 3 (Clean Air, Water and EPA), 4 (Other Environmental Standards), 5 (Energy Efficiency), 6 (Audits), 7 (Intellectual Property Rights), 8 (Super Circular), 9 (Whistleblower), 10 (Nondiscrimination), 11 (Buy America), 12 (Prohibits Helmet Use Survey/Checkpoints), 13 (Political Activity), 14 (Federal Lobbying), 15 (State Lobbying), and 16 (Debarment).

**c. Conditional Terms.** Where applicable, subcontracts shall include the following provisions:

- (i) Termination for cause and for convenience by the Grantee including the manner by which it will be effected and the basis for the settlement (subcontracts in excess of \$10,000);
- (ii) Compliance with Executive Order 11246 of September 24, 1965 entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967 and supplemented in Dept. of Labor regulations (41 CFR Part 60) (subcontracts in excess of \$10,000);
- (iii) Compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 USC 327-330) as supplemented by Dept. of Labor regulations (29 CFR Part 5) (subcontracts in excess of \$2,500);
- (iv) Bidders, proposers, and applicants must certify that neither they nor their principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in the Project by any federal agency or department (subcontracts in excess of \$25,000; and

(v) Any additional terms required by federal law and set forth in Exhibit C.

**d. Subcontractor Indemnity/Insurance.**

(i) **Indemnity.** Grantee's subcontract(s) shall require the other party to such subcontract(s) that is not a unit of local government as defined in ORS 190.003, if any, to indemnify, defend, save and hold harmless State of Oregon ("State") and its officers, employees and agents from and against any and all claims, actions, liabilities, damages, losses, or expenses, including attorneys' fees, arising from a tort, as now or hereafter defined in ORS 30.260, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of the other party to Grantee's subcontract or any of such party's officers, agents, employees or subcontractors ("Claims"). It is the specific intention of the Parties that the State shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the State, be indemnified by the other party to Grantee's subcontract(s) from and against any and all Claims. Any such indemnification shall also provide that neither Grantee's subrecipient(s), contractor(s) nor subcontractor(s) (collectively

"Subgrantees"), nor any attorney engaged by Grantee's Subgrantee(s), shall defend any claim in the name of the State or any agency of the State of Oregon, nor purport to act as legal representative of the State of Oregon or any of its agencies, without the prior written consent of the Oregon Attorney General. The State may, at any time at its election, assume its own defense and settlement in the event that it determines that Grantee's Subgrantee is prohibited from defending State or that Grantee's Subgrantee is not adequately defending State's interests, or that an important governmental principle is at issue or that it is in the best interests of State to do so. State reserves all rights to pursue claims it may have against Grantee's Subgrantee if the State elects to assume its own defense.

(ii) **Insurance.** Grantee may require the other party, or parties, to each of its subcontracts that are not units of local government as defined in ORS 190.003 to obtain and maintain insurance of the types and in the amounts typically provided for projects of the Project's nature. Any insurance obtained by the other party to Grantee's subagreements, if any, shall not relieve Grantee of the requirements of Section 11 of this Agreement. The other party to any subcontract with Grantee, if the other party employs subject workers as defined in ORS 657.027, must obtain Workers Compensation Coverage as described in **Section 6**.

## 12. Termination

**a. Termination by Agency.** Agency may terminate this Agreement effective upon delivery of written notice of termination to Grantee, or at such later date as may be established by Agency in such written notice, if:

- (i) Grantee fails to perform the Project within the time specified herein or any extension thereof or commencement, continuation or timely completion of the Project by Grantee is, for any reason, rendered improbable, impossible, or illegal;
- (ii) Agency fails to receive funding, appropriations, limitations or other expenditure authority sufficient to allow Agency, in the exercise of its reasonable administrative discretion, to continue to make payments for performance of this Agreement; or
- (iii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that the Project is no longer allowable or no longer eligible for funding under this Agreement; or
- (iv) The Project would not produce results commensurate with the further expenditure of funds; or
- (v) Grantee takes any action pertaining to this Agreement without the approval of Agency and which under the provisions of this Agreement would have required the approval of Agency; or
- (vi) Grantee is in default under any provision of this Agreement.

**b. Termination by Grantee.** Grantee may terminate this Agreement effective upon delivery of written notice of termination to Agency, or at such later date as may be established by Grantee in such written notice, if:

(i) The requisite local funding or match, if any, to continue the Project becomes unavailable to Grantee; or

(ii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that the Project is no longer allowable or no longer eligible for funding under this Agreement.

(iii) Federal or state laws, rules, regulations or guidelines are modified or interpreted in such a way that Grantee is no longer authorized to operate or to carry out the Project.

**c. Termination by Either Party.** If a Party fails to comply with any of the terms of this Agreement, the other Party may terminate this Agreement upon at least ten days' notice to the other Party or upon failure of the other Party to cure within any cure period provided in the notice.

### 13. Default.

**a. Grantee Default.** Any of the following constitutes a default by Grantee under this Agreement:

(i) Any false or misleading representation is made by or on behalf of Grantee or sub-grantee, in this Agreement or in any document provided by Grantee to Agency related to the Grant Funds or the Project;

(ii) Grantee fails to cure any performance as provided in Section 12.c;

(iii) Grantee fails to perform any other obligation required under this Agreement; or

(iv) If and to the extent allowed by law, Grantee initiates or consents to a proceeding or case, or a proceeding or case is commenced without the application or consent of Grantee, seeking: (A) the liquidation, dissolution or winding-up, or the composition or readjustment of debts, of Grantee, (B) the appointment of a trustee, receiver, custodian, liquidator, or the like of Grantee or of all or any substantial part of its assets, or (C) similar relief in respect to Grantee under any law relating to bankruptcy, insolvency, reorganization, winding-up, or composition or adjustment of debts, and such proceeding or case continues undismissed, or an order, judgment, or decree approving or ordering any of the foregoing is entered and continues unstayed and in effect for a period of sixty (60) consecutive days, or an order for relief against Grantee is entered in an involuntary case under the Federal Bankruptcy Code (as now or hereafter in effect).

**b. Agency Default.** Agency will be in default under this Agreement if it fails to perform, observe or discharge any of its covenants, agreements or obligations under this Agreement.

### 14. Remedies.

**a. Agency Remedies.** Upon any default, Agency may pursue any or all remedies in this Agreement and any other remedies available at law or in equity to enforce the performance of any obligation of Grantee. Remedies may include, but are not limited to:

(i) Terminating Agency's commitment and obligations under the Agreement as provided in **Section 12**;

(ii) Requiring repayment of the Grant Funds and all interest earned by Grantee on those Grant Funds as

provided in **Section 8**.

No remedy available to Agency is intended to be exclusive, and every remedy will be in addition to every other remedy. No delay or omission to exercise any right or remedy will impair or is to be construed as a waiver of such right or remedy. No single or partial exercise of any right power or privilege under this Agreement will preclude any other or further exercise thereof or the exercise of any other such right, power or privilege.

**b. Grantee Remedies.** In the event Agency defaults on any obligation in this Agreement, Grantee's remedy will be limited to injunction, special action, action for specific performance, or other available equitable remedy for performance of Agency's obligations.

### 15. General Provisions.

**a. Indemnification and Hold Harmless.** Subject to the conditions and limitations of the Oregon Constitution, if any, and the Oregon Tort Claims Act (ORS 30.260 to 30.300), if applicable, Grantee shall indemnify, defend, save and hold harmless State of Oregon ("State") and its officers, employees and agents from and against any and all claims, actions, liabilities, damages, losses, or expenses, including attorneys' fees, arising from a tort, as now or hereafter defined in ORS 30.260, caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Grantee, its officers, agents, employees or subcontractors ("Claims"). It is the specific intention of the Parties that the State shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the State, be indemnified by Grantee from and against any and all Claims. Neither Grantee or any attorney engaged by Grantee may defend any claim in the name of the State or any agency of the State of Oregon, nor purport to act as legal representative of the State of Oregon or any of its agencies, without the prior written consent of the Oregon Attorney General. The State may, at any time at its election, assume its own defense and settlement in the event that it determines that Grantee is prohibited from defending State or that Grantee is not adequately defending State's interests, or that an important governmental principle is at issue or that it is in the best interests of State to do so. State reserves all rights to pursue claims it may have against Grantee if the State elects to assume its own defense.

**b. Dispute Resolution.** The Parties shall attempt in good faith to resolve any dispute arising out of this Agreement. In addition, the Parties may agree to utilize a jointly selected mediator or arbitrator (for non-binding arbitration) to resolve the dispute short of litigation.

**c. Amendments.** This Agreement may be amended or extended only by a written instrument signed by both Parties and approved as required by applicable law.

**d. Duplicate Payment.** Grantee is not entitled to compensation or any other form of duplicate, overlapping or multiple payments for the same work performed under this Agreement from any agency of the

State of Oregon or the United States of America or any other party, organization or individual.

**e. No Third Party Beneficiaries.** Agency and Grantee are the only Parties to this Agreement and are the only Parties entitled to enforce its terms. Nothing in this Agreement gives, is intended to give, or shall be construed to give or provide any benefit or right, whether directly or indirectly, to a third person unless such a third person is individually identified by name herein and expressly described as an intended beneficiary of the terms of this Agreement.

**f. Notices.** Except as otherwise expressly provided in this Agreement, any communications between the Parties hereto or notices to be given hereunder shall be given in writing by personal delivery, facsimile, email or mailing the same, postage prepaid, to Grantee Project Director or Agency Contact at the address or number set forth below or to such other addresses or numbers as either Party may hereafter indicate pursuant to this Section. Any communication or notice personally delivered shall be deemed to be given when actually delivered. Any communication or notice delivered by facsimile shall be deemed to be given when receipt of the transmission is generated by the transmitting machine, and to be effective against Agency, such facsimile transmission must be confirmed by telephone notice to Agency Contact. Any communication by email shall be deemed to be given when the recipient of the email acknowledges receipt of the email. Any communication or notice mailed shall be deemed to be given when received. Notices shall be directed to:

Grantee – to the name and address |  
listed on page 1 of this Agreement.

|  
Attn: Project Director: As listed |  
on page 1 of this Agreement.

ODOT  
ODOT Contact:

**g. Governing Law, Consent to Jurisdiction.** This Agreement shall be governed by and construed in accordance with the laws of the State of Oregon without regard to principles of conflicts of law. Any claim, action, suit or proceeding (collectively, “Claim”) between Agency (or any other agency or department of the State of Oregon) and Grantee that arises from or relates to this Agreement shall be brought and conducted solely and exclusively within the Circuit Court of Marion County in the State of Oregon. In no event shall this section be construed as a waiver by the State of Oregon of any form of defense or immunity, whether sovereign immunity, governmental immunity, immunity based on the eleventh amendment to the Constitution of the United States or otherwise, from any Claim or from the jurisdiction of any court. *Each Party hereby consents to the exclusive jurisdiction of such court, waives any objection to venue, and waives any claim that such forum is an inconvenient forum.*

**h. Compliance with Law.** Grantee shall comply with all applicable federal (including those set forth in **Exhibit**

**C**), state, and local laws, regulations, executive orders and ordinances applicable to the Project including, but not limited to, the provisions of ORS 319.020 and OAR 738 Divisions 124 and 125 where applicable by this Agreement, incorporated herein by reference and made a part of this Agreement.

**i. Independent Contractor.** Grantee shall perform the Project as an independent contractor and not as an agent or employee of Agency. Grantee has no right or authority to incur or create any obligation for or legally bind Agency in any way. Agency cannot and will not control the means or manner by which Grantee performs the Project, except as specifically set forth in this Agreement. Grantee is responsible for determining the appropriate means and manner of performing the Project. Grantee acknowledges and agrees that Grantee is not an “officer”, “employee”, or “agent” of Agency, as those terms are used in ORS 30.265, and shall not make representations to third parties to the contrary.

**j. Severability.** If any term or provision of this Agreement is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and provisions shall not be affected, and the rights and obligations of the Parties shall be construed and enforced as if this Agreement did not contain the particular term or provision held to be invalid.

**k. Counterparts.** This Agreement may be executed in several counterparts (facsimile or otherwise) all of which when taken together shall constitute one agreement binding on all Parties, notwithstanding that all Parties are not signatories to the same counterpart. Each copy of this Agreement so executed shall constitute an original.

**l. Integration and Waiver.** This Agreement, and the attached Exhibits, constitute the entire Agreement between the Parties on the subject matter hereof. There are no understandings, agreements, or representations, oral or written, not specified herein regarding this Agreement. No waiver or consent under this Agreement shall bind either Party unless in writing and signed by both Parties and all necessary approvals have been obtained. Such waiver or consent, if made, shall be effective only in the specific instance and for the specific purpose given. The failure of Agency to enforce any provision of this Agreement shall not constitute a waiver by Agency of that or any other provision.

The Grantee, by its signature below, acknowledges that it has read this Agreement, understands it, and agrees to be bound by its terms and conditions.

**STATE OF OREGON acting by and through its Department of Transportation**

Signature:

\_\_\_\_\_  
Highway Safety Section-Manager, ODOT-TSD

Date: \_\_\_\_\_

Print Name:

\_\_\_\_\_

Date \_\_\_\_\_

**APPROVED AS TO LEGAL SUFFICIENCY IN ACCORDANCE WITH ORS 291.047:**

\_\_\_\_\_  
s/ Sam Zeigler per email dated 7/31/19

Sam Zeigler, Assistant Attorney General

**GRANTEE: Designated Alternate:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title:

\_\_\_\_\_

Date \_\_\_\_\_

**GRANTEE: Authorizing Official:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title:

\_\_\_\_\_

**GRANTEE: Project Director:**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name and Title:

\_\_\_\_\_

Date \_\_\_\_\_

EXHIBIT A

[INSERT PROJECT SUMMARY REPORT AND NEGOTIATED GRANT PROJECT APPLICATION]

**EXHIBIT B  
BUDGET AND COST SHARING**

**[Insert or attach budget from negotiated Project Application]**

**EXHIBIT C**  
**SUMMARY OF FEDERAL REQUIREMENTS**  
**ANNUAL FFY CERTIFICATIONS AND ASSURANCES**  
**FOR HIGHWAY SAFETY GRANTS**  
**(23 USC CHAPTER 4; SEC. 1906, PUB. L. 109-159)**

***Additional Required Federal Terms and Conditions for  
Grants funded with Federal Funds***

**General Applicability and Compliance.** Unless exempt under other federal law provisions, Grantee shall comply with, and, as indicated, cause all subcontractors to comply with, the following federal requirements to the extent that they are applicable to this Agreement, to Grantee, or to the Project, or to any combination of the foregoing. For purposes of this Amendment, all references to federal and state laws are references to federal and state laws as they may be amended from time to time.

**1. Miscellaneous Federal Provisions.** Grantee shall comply and require all subcontractors to comply with all federal laws, regulations, and executive orders applicable to Grantee or the Project. Without limiting the generality of the foregoing, Grantee expressly agrees to comply and require all subcontractors or subrecipients to comply with the following laws, regulations and executive orders to the extent they are applicable to the Project: (a) Title VI and VII of the Civil Rights Act of 1964, (b) Sections 503 and 504 of the Rehabilitation Act of 1973, (c) the Age Discrimination in Employment Act of 1967, and the Age Discrimination Act of 1975, (d) Title IX of the Education Amendment of 1972, (e) the Drug Abuse Office and Treatment Act of 1972, (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, (g) Section 523 and 527 of the Public Health Service Act of 1912, (h) Title VIII of the Civil Rights act of 1968, (i) the Hatch Act (U.S.C. 1501-1508 ad 7328), (j) Davis-Bacon Act (40 U.S.C. 276a to 276a7), (k) the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), (l) the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), (m) all other applicable requirements of federal civil rights and rehabilitation statutes, rules and regulations. These laws, regulations and executive orders are incorporated by reference herein to the extent that they are applicable to this Agreement and required by law to be so incorporated. No federal funds may be used to provide work in violation of 42 U.S.C. 14402.

**2. Equal Employment Opportunity.** If this Agreement, including amendments, is for more than \$10,000, then Grantee shall comply and require all subcontractors to comply with Executive Order 11246, entitled "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR Part 60).

**3. Clean Air, Clean Water, EPA Regulations.** If this Agreement, including amendments, exceeds \$150,000

then Grantee shall comply and require all subcontractors to comply with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act (42 U.S.C. 7606), the Federal Water Pollution Control Act as amended (commonly known as the Clean Water Act) (33 U.S.C. 1251 to 1387), specifically including, but not limited to Section 508 (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (2 CFR Part 1532), which prohibit the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA List of Violating Facilities. Violations shall be reported to ODOT and the appropriate Regional Office of the Environmental Protection Agency. Grantee shall include and require all subcontractors to include language requiring the subcontractor to comply with the federal laws identified in this section.

**4. Other Environmental Standards.** Grantee shall comply and require all subcontractors to comply with all applicable environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order 11514; (b) protection of wetlands pursuant to Executive Order 11990; (c) evaluation of flood hazards in flood plains in accordance with Executive Order 11988; (d) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et. seq.); (e) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (f) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (g) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

**5. Energy Efficiency.** Grantee shall comply and require all subcontractors to comply with applicable mandatory standards and policies relating to energy efficiency that are contained in the Oregon energy conservation plan issued in compliance with the Energy Policy and Conservation Act 42 U.S.C. 6201 et. seq. (Pub. L. 94-163).

**6. Audits.**

**a.** Grantee shall comply, and require any subcontractor to comply, with applicable audit requirements and responsibilities set forth in this Agreement and applicable state or federal law.

**b.** If Grantee receives federal awards in excess of \$750,000 in a federal fiscal year, Grantee is subject to audit conducted in accordance with the provisions of 2 CFR part 200, subpart F.

**c.** Grantee shall save, protect and hold harmless from the cost of any audits or special investigations performed



by the Secretary of State with respect to the funds expended under this Agreement. Grantee acknowledges and agrees that any audit costs incurred by Grantee as a result of allegations of fraud, waste or abuse are ineligible for reimbursement under this or any other agreement between Grantee and the State or Oregon.

**7. Federal Intellectual Property Rights Notice.** The Federal or State Funding Agency, as the awarding agency of the Grant Funds may have certain rights as set forth in the federal requirements pertinent to the Grant Funds. For purposes of this subsection, the terms “grant” and “award” refer to funding issued by the Federal Funding Agency to Agency. The Grantee agrees that it has been provided the following notice:

**a.** The Federal Funding Agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the Project Work Product, and to authorize others to do so, for federal government purposes with respect to:

(i) The copyright in any work developed under a grant, subgrant or contract under a grant or subgrant; and  
(ii) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

**b.** The parties are subject to applicable federal regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements.”

The parties are subject to applicable requirements and regulations of the Federal Funding Agency regarding rights in data first produced under a grant, subgrant or contract under a grant or subgrant.

**8. Uniform Guidance and Administrative Requirements.** 2 CFR Part 200, or the equivalent applicable provision adopted by the Federal Funding Agency in 2 CFR Subtitle B, including but not limited to the following:

**a. Property Standards.** 2 CFR 200.313, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, which generally describes the required maintenance, documentation, and allowed disposition of equipment purchased with federal funds. Such requirements include, without limitation, that material and equipment shall be used in the program or activity for which it was acquired as long as needed, whether or not the Project continues to be supported by Grant Funds. Ownership of equipment acquired with Grant Funds shall be vested with the Grantee. Costs incurred for maintenance, repairs, updating, or support of such equipment shall be borne by the Grantee. If any material or equipment ceases to be used in Project activities, the Grantee agrees to promptly notify Agency. In such event, Agency may

direct the Grantee to transfer, return, keep, or otherwise dispose of the equipment.

**b. Procurement Standards.** When procuring goods or services (including professional consulting services) with *state funds*, the applicable state procurement regulations found in the Oregon Public Contracting Code, ORS chapters 279A, 279B and 279C; or for *federally funded* projects 2 CFR §§ 200.318 b through 200.326, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, as applicable.

**c. Contract Provisions.** The contract provisions listed in 2 CFR Part 200, Appendix II, or the equivalent applicable provision adopted by the awarding federal agency in 2 CFR Subtitle B, that are hereby incorporated into this Exhibit, are, to the extent applicable, obligations of Grantee, and Grantee shall also include these contract provisions in its contracts with non-Federal entities. As applicable, Grantee shall make purchases of any equipment, materials, or services pursuant to this Agreement under procedures consistent with those outlined in ORS Chapters 279, 279A, 279B and 279C.

**9. Federal Whistleblower Protection.** Grantee shall comply, and ensure the compliance by subcontractors or subgrantees, with 10 USC 2409 2324 and 41 U.S.C. 4712.

**10. Nondiscrimination.** Grantee will comply with all Federal statutes and implementing regulations relating to nondiscrimination (“Federal Nondiscrimination Authorities”). These include but are not limited to:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin) and 49 CFR part 21;
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. 324 et seq.), and Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683 and 1685-1686) (prohibit discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. 794 et seq.), as amended, (prohibits discrimination on the basis of disability) and 49 CFR part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. 6101 et seq.), (prohibits discrimination on the basis of age);
- The Civil Rights Restoration Act of 1987, (Pub. L. 100-209), (broadens scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal aid recipients, subrecipients and contractors, whether such programs or activities are Federally-funded or not);

- Titles II and III of the Americans with Disabilities Act (42 U.S.C. 12131-12189) (prohibits discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing) and 49 CFR parts 37 and 38;
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations (prevents discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations); and
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency (guards against Title VI national origin discrimination/discrimination because of limited English proficiency (LEP) by ensuring that funding recipients take reasonable steps to ensure that LEP persons have meaningful access to programs (70 FR at 74087 to 74100)).

In addition, Grantee:

- Will take all measures necessary to ensure that no person in the United States shall, on the grounds of race, color, national origin, disability, sex, age, limited English proficiency, or membership in any other class protected by Federal Nondiscrimination Authorities, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any of its programs or activities, so long as any portion of the program is Federally-assisted.
- Will administer the program in a manner that reasonably ensures that any of its subrecipients, contractors, subcontractors, and consultants receiving Federal financial assistance under this program will comply with all requirements of the Non-Discrimination Authorities identified in this Assurance;
- Agrees to comply (and require any of its subrecipients, contractors, subcontractors, and consultants to comply) with all applicable provisions of law or regulation governing US DOT's or NHTSA's access to records, accounts, documents, information, facilities, and staff, and to cooperate and comply with any program or compliance reviews, and/or complaint investigations conducted by US DOT or NHTSA under any Federal Nondiscrimination Authority;
- Acknowledges that the United States has a right to seek judicial enforcement with regard to any matter arising under these Non-Discrimination Authorities and this Assurance;
- Agrees to insert in all contracts and funding agreements with other state or private entities the following clause:  
 "During the performance of this contract/funding agreement, the contractor/funding recipient agrees—  
**a.** To comply with all Federal nondiscrimination laws and regulations, as may be amended from time to time;  
**b.** Not to participate directly or indirectly in the discrimination prohibited by any Federal non-

- discrimination law or regulation, as set forth in Appendix B of 49 CFR part 21 and herein;
- c.** To permit access to its books, records, accounts, other sources of information, and its facilities as required by the State or Oregon highway safety office, US DOT or NHTSA;
- d.** That, in event a contractor/funding recipient fails to comply with any nondiscrimination provisions in this contract/funding agreement, the State highway safety agency will have the right to impose such contract/agreement sanctions as it or NHTSA determine are appropriate, including but not limited to withholding payments to the contractor/funding recipient under the contract/agreement until the contractor/funding recipient complies; and/or cancelling, terminating, or suspending a contract or funding agreement, in whole or in part; and
- e.** To insert this clause, including paragraphs (a) through (e), in every subcontract and subagreement and in every solicitation for a subcontract or sub-agreement, that receives Federal funds under this program.

**11. Buy America Act.** All material and equipment purchased shall be produced in the United States in accordance with Section 165 of the Surface Transportation Assistance Act of 1982 (Pub. L. 97-424; 96 Stat. 2097) unless the Secretary of Transportation has determined under Section 165 that it is appropriate to waive this agreement.

The State and each subrecipient will comply with the Buy America requirement (23 U.S.C. 313) when purchasing items using Federal Funds. Buy America requires a State, or subrecipient, to purchase with Federal funds only steel, iron and manufactured products produced in the United States, unless the Secretary of Transportation determines that such domestically produced items would be inconsistent with the public interest, that such materials are not reasonably available and of a satisfactory quality, or that inclusion of domestic materials will increase the cost of the overall project contract by more than 25 percent. In order to use Federal funds to purchase foreign produced items, the State must submit a waiver request that provides an adequate basis and justification for approval by the Secretary of Transportation.

**12. Prohibition on Using Grant Funds to Check for Helmet Use.** The State and each subrecipient will not use 23 U.S.C Chapter 4 grant funds for programs to check helmet usage or to create checkpoints that specifically target motorcyclists.

**13. Political Activity (Hatch Act).** The State will comply with provisions of the Hatch Act (5 U.S.C. §§1501-1508) which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

**14. Certification Regarding Federal Lobbying.**

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

Grantee certifies by the signature of its authorized representative to this Agreement that, to the best of his or her knowledge and belief:

**a.** No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;

**b.** If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

**c.** The undersigned shall require that the language of this certification be included in the award documents for all sub-award at all tiers (including subcontracts, subgrants, and contracts under grant, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**15. Restriction on State Lobbying.** None of the funds will be used for any activity specifically designed to urge or influence a state or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., "grassroots")

lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal.

**16. Certification Regarding Debarment and Suspension.**

Instructions for Primary Tier Participant Certification (States)

**a.** By signing and submitting this proposal, the prospective primary tier participant is providing the certification set out below and agrees to comply with the requirements of 2 CFR Parts 180 and 1200.

**b.** The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective primary tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary tier participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

**c.** The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default or may pursue suspension or debarment.

**d.** The prospective primary tier participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary tier participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

**e.** The terms *covered transaction*, *civil judgment*, *debarment*, *suspension*, *ineligible*, *participant*, *person*, *principal*, and *voluntarily excluded*, as used in this clause, are defined in 2 CFR parts 180 and 1200. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

**f.** The prospective primary tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

**g.** The prospective primary tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Certification" including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions and will require lower tier participants to comply with 2 CFR Parts 180 and 1200.

**h.** A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participants, each participant may, but is not required to, check the System for Award Management Exclusions website (<https://www.sam.gov/>)

**i.** Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**j.** Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency may terminate the transaction for cause or default.

*Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions*

**1.** The prospective primary tier participant certifies to the best of its knowledge and belief, that it and its principals:

**a.** Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;

**b.** Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery,

falsification or destruction of record, making false statements, or receiving stolen property;

**c.** Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

**d.** Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

**2.** Where the prospective primary tier participant is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this proposal.

*Instructions for Lower Tier Certification*

**1.** By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below and agrees to comply with the requirements of 2 CFR Parts 180 and 1200.

**2.** The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension or debarment.

**3.** The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

**4.** The terms *covered transaction*, *civil judgment*, *debarment*, *suspension*, *ineligible*, *participant*, *person*, *principal*, and *voluntarily excluded*, as used in this clause, are defined in 2 CFR Part 180 and 1200. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.

**5.** The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

**6.** The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Certification" including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all

solicitations for lower tier covered transactions and will require lower tier participants to comply with 2 CFR Parts 180 and 1200.

**7.** A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participant may, but is not required to, check the System for Award Management Exclusion website (<https://www.sam.gov/>)

**8.** Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**9.** Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered

transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension or debarment.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions:*

**1.** The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.

**2.** Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**EXHIBIT D**  
**INFORMATION REQUIRED BY 2 CFR § 200.331(a)(1)\***  
**(REQUIRED for Federally Funded Grants only)**

**Federal Award Identification:**

1. Subrecipient name (which must match registered name in DUNS): \_\_\_\_\_
2. Subrecipient unique entity identifier (e.g. DUNS number): \_\_\_\_\_
3. Federal Award Identification Number (FAIN): \_\_\_\_\_
4. Federal Award Date: \_\_\_\_\_
5. Sub-award Period of Performance Start and End Date: From \_\_\_\_\_ to \_\_\_\_\_
6. Total Amount of Federal Funds Obligated by this Agreement: \$\_\_\_\_\_
7. Total Amount of Federal Funds Obligated to the Subrecipient by the pass-through entity including this Agreement\*\*: \$\_\_\_\_\_
8. Total Amount of Federal Award committed to the Subrecipient by the pass-through entity: \$\_\_\_\_\_
9. Federal award project description: \_\_\_\_\_
10. Name of Federal awarding agency, pass-through entity, and contact information for awarding official of the pass-through entity:
  - (a) Name of Federal awarding agency: NHTSA
  - (b) Name of pass-through entity: ODOT Transportation Safety Division
  - (c) Contact information for awarding official of the pass-through entity: Traci Pearl
11. Assistance Listing (CFDA) Number and Name: \_\_\_\_\_  
Amount: \$\_\_\_\_\_
12. Is Award Research and Development?  Yes  No
13. Indirect cost rate for the Federal award: \_\_\_\_\_%

\*For the purposes of this Exhibit, the term "Subrecipient" refers to Recipient, and the term "pass-through entity" refers to Agency .

\*\*The Total Amount of Federal Funds Obligated to the Subrecipient by the pass-through entity is the Total Amount of Federal Funds Obligated to the Subrecipient by the pass-through entity during the current Federal fiscal year.

**Vendor or Sub-Recipient Determination**

In accordance with the State Controller's Oregon Accounting Manual, policy 30.40.00.102, Agency's determination is that:

X  Grantee is a subrecipient      \_\_\_ Grantee is a vendor      \_\_\_ Not Applicable

■ Allowable and Unallowable Expenses ■

## Allowable and Unallowable Expenses – 2 CFR Part 225 Appendix A & B

**Basic Guidelines:** To be allowable under *Federal* awards, costs must meet the following general criteria:

- **Be necessary and reasonable for proper and efficient** performance and administration of Federal awards
- **Be allocable to Federal awards** under the provisions of 2 CFR part 225
- **Be authorized or not prohibited under State or local laws or regulations**
- **Conform to any limitations or exclusions** set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items
- **Be consistent with policies, regulations, and procedures** that apply uniformly to both Federal awards and other activities of the governmental unit
- **Be accorded consistent treatment.** A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost
- **Be determined in accordance with generally accepted accounting principles** (except as otherwise provided for in 2 CFR part 225)
- **Not be included as a cost or used to meet cost sharing or matching requirements** of any other Federal award
- **Be the net of all applicable credits**
- **Be adequately documented**

Description	Allowable	Unallowable
<b>Advertising &amp; Public Relation Costs</b>	The only allowable advertising costs are those which are solely for: recruitment of personnel required for the grant project or the procurement of goods & services for the grant project; or other specific purposes necessary to meet the requirements of the grant project.	All advertising and public relations costs. Costs of meetings, conventions, convocations, or other events related to other activities of the governmental unit (or grantee) including: Costs of displays, demonstrations, and exhibits; costs of meeting rooms, hospitality suites and other special facilities used in conjunction with shows and other special events; salaries and wages of employees setting up & displaying exhibitions; promotional items; costs of advertising.
<b>Public Relations Costs (con)</b>	The <b>only</b> allowable public relations costs are costs specifically required by the grant project; costs of communicating with the public and press pertaining to specific activities or accomplishments for the grant project; Costs of conducting general liaison with news media and government public relations officers.	← See 'Allowable' column
<b>Alcoholic Beverages</b>		Costs of alcoholic beverages are unallowable.
<b>Audit Costs and Related Services</b>	The costs of financial audits required by, and performed in accordance with the Single Audit Act, are allowable. Other audit costs are allowable <b>if</b> included in	



## Allowable and Unallowable Expenses – 2 CFR Part 225 Appendix A & B

	a cost allocation plan or indirect cost proposal, or if specifically approved by the awarding agency as a <i>direct cost to grant project</i> .	
<b>Compensation for Personnel Services</b>	Compensation for personnel services are allowable to the extent that they are reasonable; Fringe benefits are allowable but there are specific guidelines to follow.	Costs which are unallowable under other sections of these principles shall not be allowable under this section solely on the basis that they constitute personnel compensation.
<b>Donations and Contributions</b>	Donated or volunteer services may be furnished to a governmental unit by professional and technical personnel, consultants, and other skilled and unskilled labor. <u>The value of these services is not reimbursable</u> either as a direct or indirect cost. However, the <u>value of donated services may be used to meet cost sharing or matching requirements</u> in accordance with the Federal Grants Management Common Rule.	Contributions or donations, including cash, property, and services, made by the governmental unit, regardless of the recipient, are unallowable
<b>Entertainment</b>		Costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities) are unallowable.
<b>Equipment and Other Capital Expenditures</b>	Capital expenditures for special purpose equipment are allowable as direct costs, provided that items with a unit cost of \$5,000 or more have the prior approval of the awarding agency (TSD).	Capital expenditures for general purpose equipment, buildings, and land are unallowable as direct charges; Capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life are unallowable as a direct cost; Equipment and other capital expenditures are unallowable as indirect costs (any permanent property, or personal property (attached, affixed, etc.) is unallowable.
<b>Fund Raising and Investment Management Costs</b>	Such costs associated with investments covering pension, self-insurance, or other funds which include Federal participation allowed by this and other appendices of 2 CFR part 225 are allowable.	Costs of organized fund raising, including financial campaigns, solicitation of gifts and bequests, and similar expenses incurred to raise capital or obtain contributions are unallowable, regardless of the purpose for which the funds will be used. Costs of investment counsel and staff and similar expenses incurred to enhance income from investments are unallowable.
<b>Insurance and Indemnification</b>	Costs of insurance required or approved and maintained, pursuant to the Federal award, are allowable. Costs of other insurance in connection with the	Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property are unallowable. Actual losses which could have been covered by permissible insurance (through a self-insurance

## Allowable and Unallowable Expenses – 2 CFR Part 225 Appendix A & B

	<p>general conduct of activities are allowable subject to the following limitations:(1) Types and extent and cost of coverage are in accordance with the governmental unit's policy and sound business practice.(2)</p>	<p>program or otherwise) are unallowable, unless expressly provided for in the Federal award or as described below.</p>
<b>Lobbying</b>	<p>Garnering support from legislators for (or against) a legislative bill is <b>ONLY</b> allowed <b>BEFORE</b> it is an actual BILL; i.e., when it is still considered a Legislative Concept. See 'Unallowable' column →</p>	<p>Once the Legislative Concept becomes a Bill and is assigned a formal Bill number, lobbying is not allowed. The cost of certain influencing activities associated with obtaining grants, contracts, cooperative agreements, or loans is also an unallowable cost.</p>
<b>Maintenance, Operations, and Repairs</b>	<p>Unless prohibited by law, the cost of utilities, insurance, security, janitorial services, elevator service, upkeep of grounds, necessary maintenance, normal repairs and alterations, and the like are allowable to the extent that they keep property in an efficient operating condition, do not add to the permanent value of property, and are not otherwise included in rental or other charges for space.</p>	
<b>Materials and Supplies Costs</b>	<p>Costs incurred for materials and supplies necessary to carry out a Federal award are allowable at actual price.</p>	
<b>Meetings and Conferences</b>	<p>Costs of meetings and conferences, <b>the primary purpose of which is</b> the dissemination of technical information, are allowable. This includes costs of meals, transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences.</p>	
<b>Pre-award Costs</b>	<p>Pre-award costs are those incurred prior to the effective date of the award directly pursuant to the negotiation and in anticipation of the award where such costs are necessary to comply with the proposed delivery schedule or period of performance. Such costs are allowable <b>only</b> to the extent that they would have been allowable if incurred after the date of the award and <b>only</b> with the written approval of the awarding agency.</p>	

## Allowable and Unallowable Expenses – 2 CFR Part 225 Appendix A & B

<b>Professional Service Costs</b>	<p>Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and who are not officers or employees of the governmental unit, are allowable, when reasonable in relation to the services rendered and when not contingent upon recovery of the costs from the Federal Government.</p>	
<b>Publication and Printing Costs</b>	<p>Publication costs include the costs of printing (including the processes of composition, etc.), distribution, promotion, mailing, and general handling. If these costs are not identifiable with a particular cost objective, they should be allocated as indirect costs to all benefiting activities of the governmental unit.</p>	<p>Page charges for professional journal publications are allowable <b>only</b> as a necessary part of research costs where: (1) The research papers report work supported by the Federal Government; and (2) The charges are levied impartially on all research papers published by the journal, whether or not by federally-sponsored authors.</p>
<b>Rental Costs of Buildings and Equipment</b>	<p>Rental costs are allowable to the extent that the rates are reasonable in light of such factors as: rental costs of comparable property; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.</p>	
<b>Training Costs</b>	<p>The cost of training provided for employee development is allowable, <b>as it relates to</b> the program/project.</p>	
<b>Travel Costs</b>	<p>Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the governmental unit, as it relates to the program/project.</p>	<p>Out-of-State travel costs are allowable, <b>if pre-approved by your TSD Program Manager.</b></p>

■ GRANT YEAR CALENDARS ■



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## Reports And Claims Due Dates

# CALENDAR Fiscal Year 2020

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### Reports/Claims

### Due Dates

#### First Quarter (January 01 - March 31)

Quarterly Reports  
Claims for Reimbursement

Friday, April 10, 2020  
Tuesday, May 5, 2020

#### Second Quarter (April 01 - June 30)

Quarterly Reports  
Claims for Reimbursement

Friday, July 10, 2020  
Wednesday, August 5, 2020

**Mid-Year On-Site Visit by TSD Program Manager to the grantee will occur during this period**

#### Third Quarter (July 01 - September 30)

Quarterly Reports  
Claims for Reimbursement

Saturday, October 10, 2020  
Thursday, November 5, 2020

#### Fourth Quarter (October 01 - December 31)

Quarterly Reports  
Claims for Reimbursement

Sunday, January 10, 2021  
Friday, February 5, 2021

#### Project Evaluation Report

Evaluation Report Due

Friday, February 5, 2021

#### Claims for Reimbursement

Final Claims

Friday, February 5, 2021

**Note:** Claim reimbursement for any quarter will not be processed until the quarterly report has been received and signed off on by the TSD Program Manager.

If you file monthly claims, the last monthly claim for the quarter will not be paid unless the quarterly report has been received and signed off on by the TSD Program Manager.



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## Reports And Claims Due Dates

### **FEDERAL Fiscal Year 2020**

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#### Reports/Claims

#### Due Dates

#### First Quarter (October 01 - December 31)

Quarterly Reports  
Claims for Reimbursement

Friday, January 10, 2020  
Wednesday, February 5, 2020

#### Second Quarter (January 01 - March 31)

Quarterly Reports  
Claims for Reimbursement

Friday, April 10, 2020  
Tuesday, May 5, 2020

Mid-Year On-Site Visit by TSD Program Manager to the grantee will occur during this period

#### Third Quarter (April 01 - June 30)

Quarterly Reports  
Claims for Reimbursement

Friday, July 10, 2020  
Wednesday, August 5, 2020

#### Fourth Quarter (July 01 - September 30)

Quarterly Reports  
Claims for Reimbursement

Saturday, October 10, 2020  
Thursday, November 5, 2020

#### Project Evaluation Report

Evaluation Report Due

Thursday, November 5, 2020

#### Claims for Reimbursement

Final Claims

Thursday, November 5, 2020

**Note:** Claim reimbursement for any quarter will not be processed until the quarterly report has been received and signed off on by the TSD Program Manager.

If you file monthly claims, the last monthly claim for the quarter will not be paid unless the quarterly report has been received and signed off on by the TSD Program Manager.



## Reports And Claims Due Dates

### **STATE Fiscal Year 2020**

#### Reports/Claims

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##### **First Quarter (July 01 - September 30)**

Quarterly Reports  
Claims for Reimbursement

Thursday, October 10, 2019  
Tuesday, November 5, 2019

##### **Second Quarter (October 01 - December 31)**

Quarterly Reports  
Claims for Reimbursement

Friday, January 10, 2020  
Wednesday, February 5, 2020

**Mid-Year On-Site Visit by TSD Program Manager to the grantee will occur during this period**

##### **Third Quarter (January 01 - March 31)**

Quarterly Reports  
Claims for Reimbursement

Friday, April 10, 2020  
Tuesday, May 5, 2020

##### **Fourth Quarter (April 01 - June 30)**

Quarterly Reports  
Claims for Reimbursement

Friday, July 10, 2020  
Wednesday, August 5, 2020

##### **Project Evaluation Report**

Evaluation Report Due

Wednesday, August 5, 2020

##### **Claims for Reimbursement**

Final Claims

Wednesday, August 5, 2020

**Note:** Claim reimbursement for any quarter will not be processed until the quarterly report has been received and signed off on by the TSD Program Manager.

If you file monthly claims, the last monthly claim for the quarter will not be paid unless the quarterly report has been received and signed off on by the TSD Program Manager.

■ F O R M S ■



## Budget and Cost Sharing Form

The ODOT Grant Budget and Cost Sharing form is to provide detail about the planned expenditures for the project.

Provisions for adjustments to the budget or project activities are processed in the form of a grant adjustment. Changes in proposed use of the funds requires consultation with the Program Manager and a Grant Adjustment form accompanied by an adjusted Budget and Cost Sharing form. (See pages 42-43)

If grant funds are used for Consultation/Contractual Services or Mini-Grants, copies of sub-contracts or mini-grant agreements also need to be supplied to TSD.

Travel Out-of-State must be pre-approved by TSD if not stated in the budget when grant is approved and signed.

Job descriptions for all positions assigned to the grant project for 500 hours or more must be included with the grant paperwork.

If grant funds are approved for indirect costs, a current approval letter from the cognizant federal agency stating the grantee agency's negotiated indirect cost rate is required for grant approval.

Also, any single equipment purchase or software purchase exceeding \$5,000 requires prior approval by TSD and NHTSA or FHWA (depending on the funding source.)



# ODOT GRANT BUDGET AND COST SHARING

Project Number: \_\_\_\_\_

**6. Other Project Costs**

A. Travel In-State	Unit Cost	# of Units	Total Cost
_____	\$ - @	0 =	\$ -
<b>B. Travel Out-of-State (specify)**:</b>			
_____	\$ - @	0 =	\$ -
<b>C. Office Expenses (supplies, photocopy, telephone, postage)</b>			
_____	\$ - @	0 =	\$ -
<b>D. Other Costs (specify):</b>			
1.) _____	\$ - @	0 =	\$ -
2.) _____	\$ - @	0 =	\$ -
3.) _____	\$ - @	0 =	\$ -
4.) _____	\$ - @	0 =	\$ -
5.) _____	\$ - @	0 =	\$ -
<b>Other Project Costs Subtotal</b>			<b>\$ -</b>

**7. Consultation/Contractual Services \*\***

A.	Unit Cost	# of Units	Total Cost
_____	\$ - @	0 =	\$ -
B.			
_____	\$ - @	0 =	\$ -
<b>Consultation/Contractual Services Total</b>			<b>\$ -</b>

**8. Mini-Grants \*\***

	TSD	Match
A.	\$ -	\$ -
B.	\$ -	\$ -
C.	\$ -	\$ -
D.	\$ -	\$ -
E.	\$ -	\$ -
F.	\$ -	\$ -
G.	\$ -	\$ -
H.	\$ -	\$ -
<b>Mini-Grants Subtotals</b>	<b>\$ -</b>	<b>\$ -</b>

**TOTAL**

**COST SHARING BREAKDOWN**

1. TSD Funds	\$ -	#DIV/0!
2. Match: State		
3. Match: Local		
4. Match: Other (specify)		
a.) _____		
b.) _____		
c.) _____		
<b>5. TOTAL COSTS</b>	<b>\$ -</b>	<b>#DIV/0!</b>

TSD FUNDS	MATCH	TOTAL
\$0.00	\$0.00	\$0.00
\$0.00	\$0.00	\$0.00
\$0.00	\$0.00	\$0.00
\$0.00	\$0.00	\$0.00
\$0.00	\$0.00	\$0.00
\$0.00	\$0.00	\$0.00
<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**Budget Comments:**

\* Job descriptions for all positions assigned to grant for 500 hours or more must be included in Exhibit B.  
 \*\* TSD approval required prior to expenditures.  
 \*\*\* Must provide TSD federal cognizant agency letter of approval rate

## Claim for Reimbursement

Claims for Reimbursement must be submitted within 35 days from the end of the grant year quarter *whether expenses were incurred or not during that reporting period; if not, grantee still required to sign and submit a 'zero' claim to TSD.*

Claims may be submitted monthly, *but must be submitted at least quarterly.*

**Claims must be submitted on the customized form provided by TSD.** Other computer-generated forms are not acceptable. Claims for Reimbursement must have signatures of the Project Director, \*Designated Alternate\* and/or Authorizing Official. No other signatures are acceptable. **Original, or wet signatures by the grantee are no longer required** (but are preferred). Only the original signature of the grantor, or ODOT-TSD, is required for all grant documents.^

\* If the Project Director or Designated Alternate are being paid with grant funds, then neither of them can sign the Claim for Reimbursement Form. It must be signed by the Authorizing Official, who is not allowed to be paid with grant funds.

^ Grantees **are** required, however, to submit original signatures on the Grant Project Agreement itself (Agreements and Assurances, etc.).

Supporting documentation or back-up (time sheets, paid invoices, disbursement vouchers, etc.) **must be submitted with each claim** for reimbursement to TSD. The claim cannot be processed until all back-up is received by TSD, and the Program Manager has approved the grant claim for payment.

### NOTE:

Personnel Costs: If grant funds will reimburse an agency for multiple personnel (i.e., ten officers working an overtime enforcement event); the budget application can be based on average pay rates of the ten officers; **HOWEVER:**

**The claim for reimbursement must be based on actual pay rates of each officer, and not the agency's average rate as estimated.**

Grantee agency is required to submit back-up documentation for all expenses being claimed for reimbursement; but is not required to submit the match back-up documentation. Keep in mind, though, that **both must be auditable**, including match.

Items purchased with NHTSA federal grant funds need to follow the rules of the Buy America Act.

Single item equipment purchases exceeding \$5,000, or at TSD's request, will require a Residual Value Agreement to be completed, signed, and submitted along with a copy of the invoice when claim for reimbursement is requested. Also, any single equipment purchase exceeding \$5,000 requires prior approval by NHTSA or FHWA, depending on the funding source.

If the grantee needs to change the budgeted amounts on the claim form, they must contact their TSD Program Manager and request a Grant Adjustment form. Please see the grant adjustment portion of this booklet for more information on this process (pages 52-53).

**ODOT**

Vendor No.: CV20009768-00

**AGENCY CLAIM FOR REIMBURSEMENT**  
**Bill to: ODOT Transportation Safety Division**  
**4040 Fairview Industrial Drive SE - MS 3**  
**Salem, OR 97302-1142**

Project No.: \_\_\_\_\_  
 Project Name: \_\_\_\_\_  
 Agency: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_  
 Contact/Phone: \_\_\_\_\_ / \_\_\_\_\_

Claim No.: \_\_\_\_\_ 1 \_\_\_\_\_

Final Claim

Grant Adjust. No.: \_\_\_\_\_

Grant Adjust. Effective Date: \_\_\_\_\_

Total TSD Funding: \_\_\_\_\_ \$0.00  
 Federal Tax ID No.: \_\_\_\_\_  
 Billing Period: \_\_\_\_\_ through \_\_\_\_\_

<i>Office Use Only</i>	
Agreement No.:	_____
EA:	_____
SJ:	_____

(Fill in figures for the COSTS INCURRED THIS PERIOD - shaded in yellow)

DETAIL OF TSD COSTS	TSD TOTAL	COSTS INCURRED THIS PERIOD	COSTS BILLED PREVIOUSLY	TOTAL COSTS TO DATE
Staff Assigned	\$ 0.00	\$	\$ 0.00	\$ 0.00
Overtime	\$ 0.00	\$	\$ 0.00	\$ 0.00
Volunteer Time	N/A	N/A	N/A	N/A
<b>1. Personnel Costs Total</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>2. Personnel Benefits Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>3. Equipment Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>4. Materials/Printing Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>5. Overhead/Indirect Costs</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
Travel In-State	\$ 0.00	\$	\$ 0.00	\$ 0.00
Travel Out-of-State	\$ 0.00	\$	\$ 0.00	\$ 0.00
Office Expenses	\$ 0.00	\$	\$ 0.00	\$ 0.00
Other Direct Costs	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>6. Other Project Costs Total</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>7. Consult/Contractual Svcs Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>8. Mini-grants Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>TOTAL TSD COSTS</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

I certify that this billing is correct and is based upon actual costs incurred in accordance with the project agreement:

**X** \_\_\_\_\_  
 Project Director (Original signature required)      Print Name      Phone No.      Date

Crew	EA	SJ	Activity	Object Detail	Amount
6700	0	000			\$0.00

Approved for Payment by TSD \_\_\_\_\_ (Signature)      Title      Date

Vendor No.: CV20009768-00

**ODOT**  
**AGENCY CLAIM FOR REIMBURSEMENT**  
**Bill to: ODOT Transportation Safety Division**  
**4040 Fairview Industrial Drive SE - MS 3**  
**Salem, OR 97302-1142**

Project No.: 0  
Project Name: 0

Claim No.: 1

Final Claim

Grant Adjust. No.: \_\_\_\_\_

Grant Adjust. Effective Date: \_\_\_\_\_

*(Fill in figures for the COSTS INCURRED THIS PERIOD - shaded in yellow)*

DETAIL OF LOCAL/STATE COSTS	MATCH TOTAL	COSTS INCURRED THIS PERIOD	COSTS REPORTED PREVIOUSLY	TOTAL COSTS TO DATE
Staff Assigned	\$ 0.00	\$	\$ 0.00	\$ 0.00
Overtime	\$ 0.00	\$	\$ 0.00	\$ 0.00
Volunteer Time	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>1. Personnel Costs Total</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>2. Personnel Benefits Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>3. Equipment Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>4. Materials/Printing Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>5. Overhead/Indirect Costs</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
Travel In-State	\$ 0.00	\$	\$ 0.00	\$ 0.00
Travel Out-of-State	\$ 0.00	\$	\$ 0.00	\$ 0.00
Office Expenses	\$ 0.00	\$	\$ 0.00	\$ 0.00
Other Direct Costs	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>6. Other Project Costs Total</b>	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
<b>7. Consult Svcs/Contractual Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>8. Mini-grants Total</b>	\$ 0.00	\$	\$ 0.00	\$ 0.00
<b>TOTAL LOCAL/STATE COSTS</b>	\$ <b>0.00</b>	\$ <b>0.00</b>	\$ <b>0.00</b>	\$ <b>0.00</b>

## Grant Adjustment Form

Project directors are responsible for completion and submission of this form to TSD.

A Grant Adjustment is required for any of the following reasons:

- change of Project Director;
- change of or addition of Designated Alternate;
- change of Authorizing Official
- change in any of the objectives, major activities, or evaluation plan;
- any change in the total grant request;
- any change in budget line items.

To receive a Grant Adjustment Form, the grantee must contact their TSD Program Manager and request a form be made available to them; the Project Director must submit a written request for a grant adjustment to TSD using the Grant Adjustment Form. **Two copies**, each with the Project Director's signature (or Designated Alternate's signature), must be submitted in order to process the request.

If the grant adjustment involves a financial change in any budget line item, a copy of an adjusted budget must be included with each Grant Adjustment Form. A detailed explanation of the adjustment must be included in the "Nature of Adjustment" box (top right of the form. (If the explanation does not fit within the "Nature of Adjustment" box, then just attach any additional information to the form itself). Once the adjustment has been approved by TSD, one copy of the adjustment will be kept on file and one copy will be returned to the grantee.

Approved changes in budget line items will generate an updated Claim for Reimbursement Form reflecting the approved adjustment; an electronic claim file will also be forwarded to the Project Director by TSD.

**ODOT GRANT ADJUSTMENT  
Transportation Safety Division**

Project No.: \_\_\_\_\_  
 Project Name: \_\_\_\_\_  
 Agency: \_\_\_\_\_  
 Grant Adjustment No.: \_\_\_\_\_ 1  
 Grant Adjustment Effective Date: \_\_\_\_\_  
 Increase/Decrease in \$ +/-: \$ \_\_\_\_\_ -  
 Fund Source: \_\_\_\_\_

Nature of Adjustment:

**PLEASE NOTE: Two copies with original signatures & new budget attached REQUIRED to process financial adjustment**

<u>Budget Line Item</u>	<u>Current TSD Share</u>	<u>\$ + or (-) Change</u>	<u>Proposed TSD Share</u>	<u>Proposed Match</u>
Staff Assigned	\$ -	\$ -	\$ -	\$ -
Overtime	\$ -	\$ -	\$ -	\$ -
Volunteer Time	N/A	N/A	N/A	\$ -
<b>1 Personnel Costs Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>2 Personnel Benefits Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>3 Equipment Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>4 Materials/Printing Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>5 Overhead/Indirect Costs</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Travel In-State	\$ -	\$ -	\$ -	\$ -
Travel Out of State	\$ -	\$ -	\$ -	\$ -
Office Expenses	\$ -	\$ -	\$ -	\$ -
Other Costs	\$ -	\$ -	\$ -	\$ -
<b>6 Other Project Costs Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>7 Consult/Contractual Svcs.</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>8 Mini-Grants Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Total Costs</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

_____	_____
Project Director's Signature	Date
_____	_____
Authorizing Official's Signature (if changing Project Directors)	Date
_____	_____
Approved by: TSD Program Manager's Signature	Date
_____	_____
Approved by: TSD Manager's Signature	Date

<i>TSD Office Use Only</i>		Enter Yes or No
Federal to Local Percentage	_____	_____
Reviewed by Fiscal Specialist	_____	_____
Reviewed by Grants/Contracts Coordinator	_____	_____
Change in Total TSD Funding:	_____	_____
Revised Budget Attached:	_____	_____
HSP Mod./Change Order required	_____	_____
Rvsd. Proj. Smry. (changed objectives)	_____	_____



## Quarterly Project Status Report

A Quarterly Project Status Report must be filled out at the end of each quarter of grant funding. Each report must be signed by the Project Director, Designated Alternate or the Authorizing Official. Quarterly Project Status Reports are not required for mini-grants, but may still be requested by the TSD Program Manager depending on the type of project.

A report must be submitted to the Transportation Safety Division (TSD) by the 10th of the month following the end of each quarter of the grant year. Reports are to be received at TSD as follows:

1 <sup>st</sup> Quarter (October 1 - December 31)	January 10*
2 <sup>nd</sup> Quarter (January 1 - March 31)	April 10
3 <sup>rd</sup> Quarter (April 1 - June 30)	July 10
4 <sup>th</sup> Quarter (July 1 - September 30)	October 10

\*(Refer to Grant Year Calendars, pages 41-44 for specific dates. The above dates are for the Federal Fiscal Year Calendar.)

You will receive a customized Quarterly Project Status Report form from TSD prior to the first deadline.

Every Quarterly Project Status Report should respond to each grant project objective individually, and should present progress (or not) toward meeting each objective. An explanation needs to be included for each objective's status; if the explanation portion of the form is blank, it will be returned for completion.

\*\*Claims for Reimbursement will NOT be paid until the current Quarterly Project Status Report has been received and approved by TSD.



# QUARTERLY PROJECT STATUS REPORT

Project No.:

Project Name:

Agency:

Date of Report:

Report Time Frame:  1<sup>st</sup> Qtr.  2<sup>nd</sup> Qtr.  Other

3<sup>rd</sup> Qtr.  4<sup>th</sup> Qtr.

Start Date: End Date:

### Progress on project objectives during this quarter/time frame:

1.

#### Status

Scheduled to begin Date:

In progress

Completed Date:

Problem with completion  
(explain below)

#### Support Documentation

Attached

Will be submitted by Date:  
(explain below)

#### Budget

On track

Not on track  
(explain below)

Explanation:

2.

#### Status

Scheduled to begin Date:

In progress

Completed Date:

Problem with completion  
(explain below)

#### Support Documentation

Attached

Will be submitted by Date:  
(explain below)

#### Budget

On track

Not on track  
(explain below)

Explanation:

3.

<u>Status</u>		<u>Support Documentation</u>	
<input type="checkbox"/> Scheduled to begin	Date:	<input type="checkbox"/> Attached	
<input type="checkbox"/> In progress		<input type="checkbox"/> Will be submitted by (explain below)	Date:
<input type="checkbox"/> Completed	Date:	<u>Budget</u>	
<input type="checkbox"/> Problem with completion (explain below)		<input type="checkbox"/> On track	<input type="checkbox"/> Not on track (explain below)

Explanation:

---

4.

<u>Status</u>		<u>Support Documentation</u>	
<input type="checkbox"/> Scheduled to begin	Date:	<input type="checkbox"/> Attached	
<input type="checkbox"/> In progress		<input type="checkbox"/> Will be submitted by (explain below)	Date:
<input type="checkbox"/> Completed	Date:	<u>Budget</u>	
<input type="checkbox"/> Problem with completion (explain below)		<input type="checkbox"/> On track	<input type="checkbox"/> Not on track (explain below)

Explanation:

---

Current/additional activities and comments:

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Data Table – Attach completed Data Table to this report.

Project Director's Name:

Signature: \_\_\_\_\_

(or Designated Alternate's name, as identified in Agreements & Assurances)

**INSTRUCTIONS**

**Mail completed form to:**

ODOT – TSD  
4040 Fairview Industrial Drive SE, MS 3  
Salem, OR 97302 – 1142

**Email completed form to:**

Your TSD Program Manager

**OFFICE USE ONLY**

(TSD) Grant Manager's Approval:  Approved

Date:

## Project Evaluation Report

The Project Evaluation Report form is supplied electronically to the grantee by TSD in the beginning of the grant year. This report must be submitted to TSD within 35 days following the last day of the grant period (or at least annually, if > a one-year project).

The final report should be in accordance with the Evaluation Plan in the Project Agreement (grant document). If the grantee needs more space than what is provided on the form, they can attach additional pages. The final report **must be signed** by the Project Director, Designated Alternate or Authorizing Official.

Final Claims for Reimbursement will **NOT** be paid without receipt and approval of the Project Evaluation Report by TSD.



**OREGON DEPARTMENT OF TRANSPORTATION**  
**Transportation Safety Division**

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## **Project Evaluation Report**

**Project No:**

**Project Name:**

**Agency:**

**Project Director:**

**TSD Project Manager:**

**Summary of Project:**

---

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**List of the problem(s) impacted:**

**Project's major activities:**

**Accomplishments as they relate to the objectives:**

**Strengths and weaknesses of the implementation process:**

**Cost Summary:**

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**Amount paid by TSD:**       \$ 0.00

**Amount paid by Agency:**   \$ 0.00

**Final Evaluation:**

---

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**Evaluation Questions** (Attach additional pages as necessary)

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- 1.
  
- 2.
  
- 3.
  
- 4.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Residual Value Agreement

A Residual Value Agreement (RVA) must be submitted to TSD if grant funds are used, in whole or in part, to acquire any equipment costing more than \$5,000, *or at TSD's request*. An RVA must be signed by the Project Director. A copy of the vendor's invoice must be attached to the RVA showing the quantity, description, manufacturer's identification number, and cost of each item.

All equipment should be identified with grantee agency's property identification number. If this is not available at time of claim, it must be provided with the subsequent claim for reimbursement.

Equipment purchased with grant funds will be verified annually for a period of three years (after the year of purchase) by TSD staff. The equipment must be maintained by the grantee and kept in proper working order, **and continue to be used as intended** per the Grant Project Agreement. Maintenance and repair costs not covered under warranty are the responsibility of the agency accepting the grant-funded equipment.

After the verification period, TSD will send a letter releasing interest in the equipment, at which point the grantee will own the equipment.

*Non-expendable property* means any tangible equipment with a useful life of more than one year costing \$5,000 or more per unit, or any item the Transportation Safety Division (TSD) grant manager deems worthy of tracking.

Title for the non-expendable property acquired with ODOT-TSD Transportation funds will be vested with the grantee.

**The grantee agrees to retain property as long as is needed to accomplish the purpose of the transportation safety project purpose. When the property is no longer needed for the stated purpose, the grantee will immediately notify TSD.**

No grant-funded property will be conveyed, sold, salvaged, transferred, etc., without the express written approval of TSD Administration.





**OREGON DEPARTMENT OF TRANSPORTATION**  
**Transportation Safety Division**

## Residual Value Agreement

**Project No:**

**Project Name:**

**Agency:**

**Project Director:**

**Title:**

**Phone:**

**TSD Project Manager:**

**Project Period:**

Equipment Description	Purchase Date	Verify Until	Serial No.	Agy. Prop.No.	Original Cost	TSD Cost	Current Location
-----------------------	---------------	--------------	------------	---------------	---------------	----------	------------------

1.

2.

Ownership of equipment acquired through this project shall be vested with the grantee, not the United States. Equipment acquired shall be utilized and retained in highway safety operations during the useful existence of such equipment. Costs incurred for maintenance, repairs, updating or support of such equipment shall be borne by the grantee. IF ANY OF THE ABOVE EQUIPMENT CEASES TO BE USED IN THE HIGHWAY SAFETY PROGRAM, THE GRANTEE AGREES TO IMMEDIATELY NOTIFY THE TRANSPORTATION SAFETY DIVISION (TSD), OREGON DEPARTMENT OF TRANSPORTATION. In such event, grantee further agrees to either give credit to an active project for the residual value of such equipment in an amount to be determined by TSD, or to transfer, return, or otherwise dispose of such equipment as directed by TSD.

**Project Director's Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Program Manager Approval:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## NOTES

## NOTES