



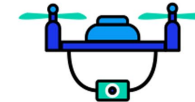
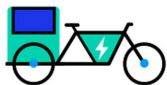
# Welcome to the SMART Grants Summit

**U.S. DOT Headquarters  
Washington, D.C.**

**July 30<sup>th</sup>-31<sup>st</sup>, 2025**



U.S. Department of Transportation



# Panel: Getting to Deployment At-Scale: Lessons Learned from Stage 1



**Moderator: Stan Caldwell**  
Director, SMART Grants  
U.S. DOT  
OST-R



**Avital Shavit**  
Metro Office of  
Innovation - Senior  
Director  
LA Metro



**Dillon Fried**  
Mobility and Curbside  
Access Manager  
City of Minneapolis



**Andrew Kosiba**  
Role  
New York State  
Thruway Authority



**Dean Deeter**  
Consultant for Utah  
DOT  
Athey Creek  
Consultants

The Show Starts Here: Integrated Transit Ticketing  
SMART Stage 1 & 2  
LA Metro – Los Angeles County



Metro®

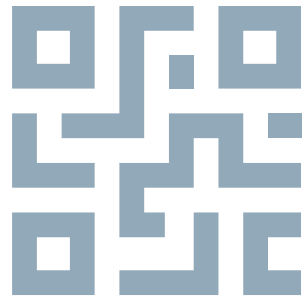
July 2025

# Stage 1 SMART Integrated Ticketing

Metro  
Round-  
Trip QR  
code  
ticket  
\$3.50 sold  
/ provided  
alongside  
an event  
ticket



# Goals from Stage 1



Demonstrate  
Technology  
Integrated QR Code  
Ticketing

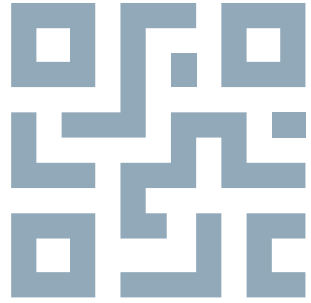


Ease User Friction  
Grow Ridership and  
Awareness

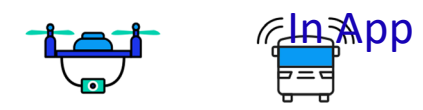
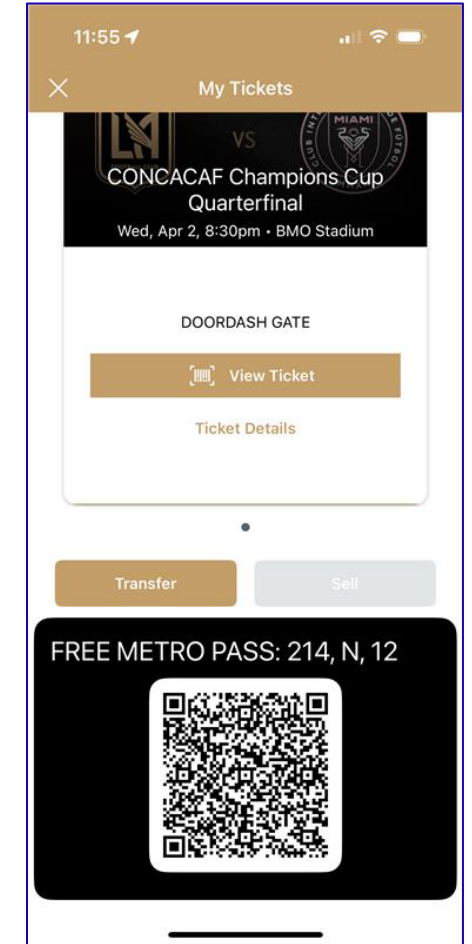
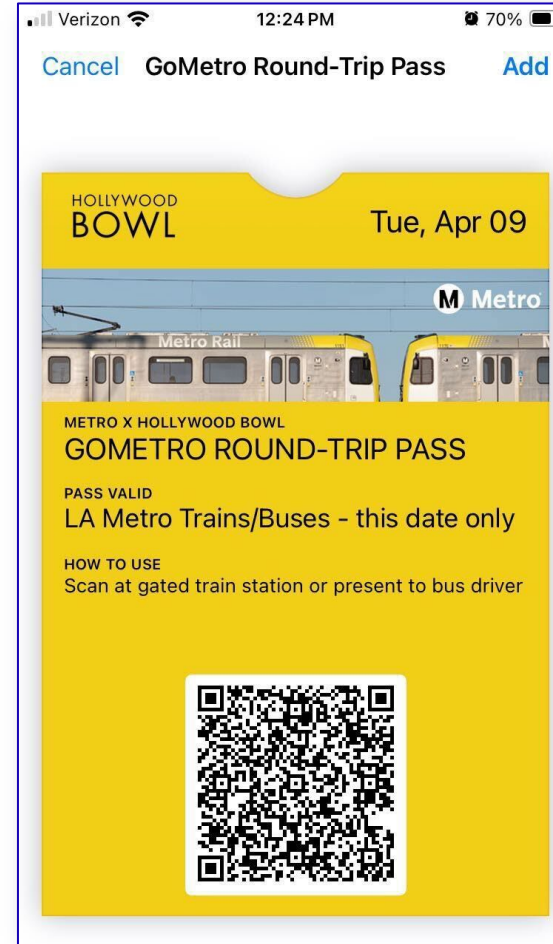
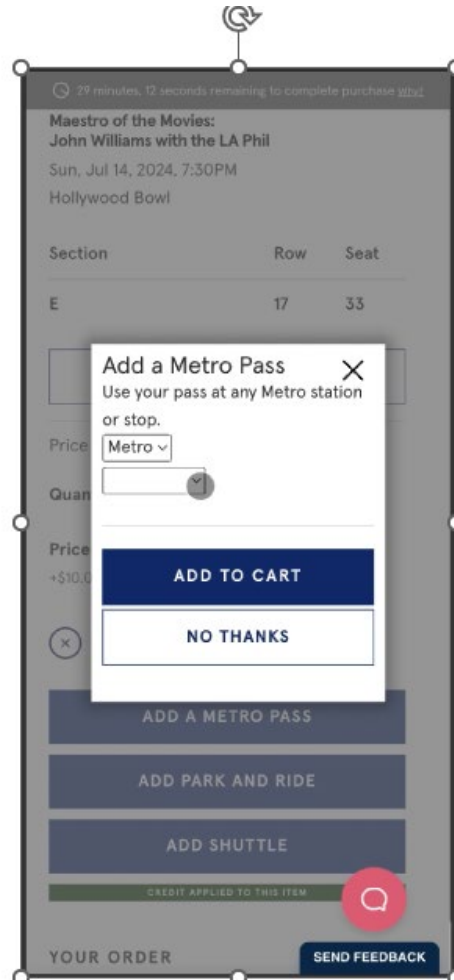


Prepare for World  
Cup and 2028  
Olympic and  
Paralympic Games

# Outcomes from Stage1 – Demonstrate Technology



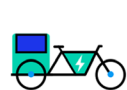
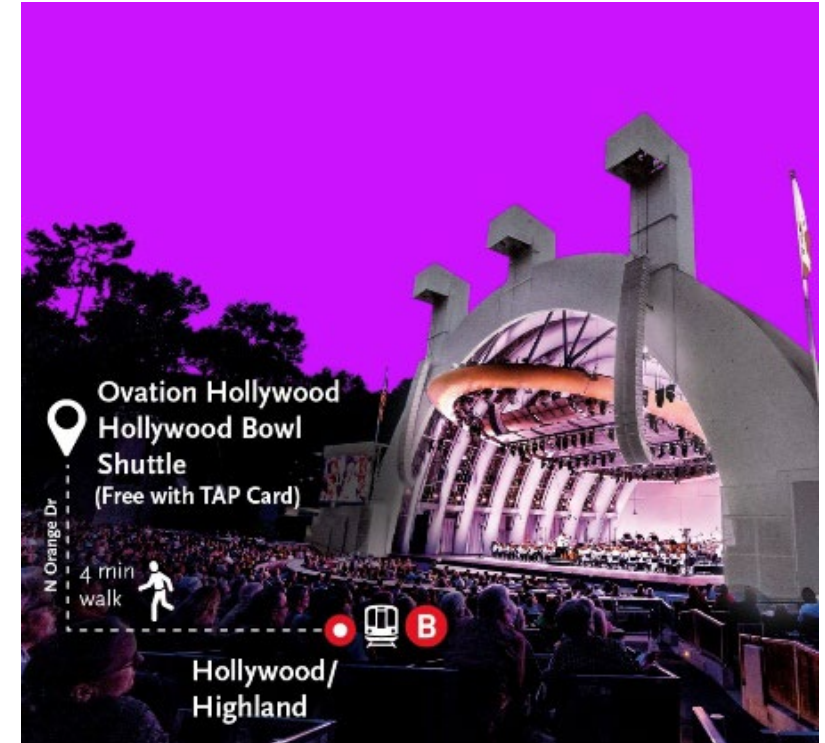
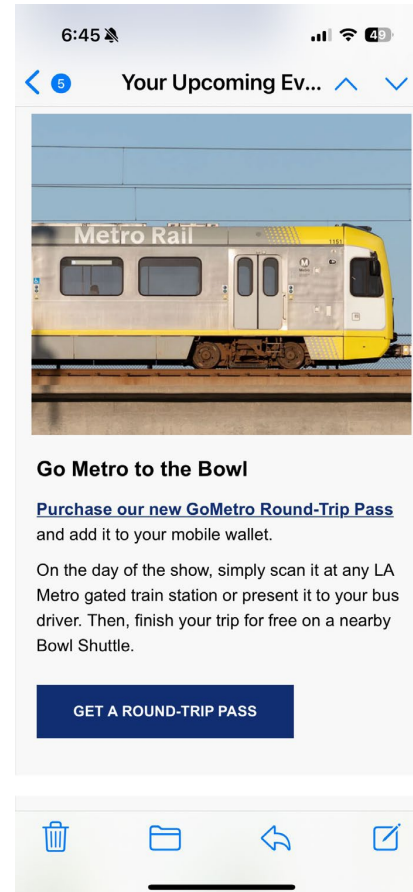
Over 75 total events at the Hollywood Bowl and BMO Stadium. 2,291\* total integrated tickets were sold.



# Outcomes from Stage 1 – Ridership & Awareness



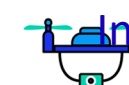
Ridership Increased (+46%) to the Hollywood Bowl<sup>1</sup> and increased awareness of Metro as transport to the Bowl<sup>2</sup> (+38%) from 2023 to 2024.



Know Before You Go



Email



Instagram



# Goals from Stage 1 – Preparing for 2028



Optimize Payments for a Seamless Experience



## Stage 2 – Goals

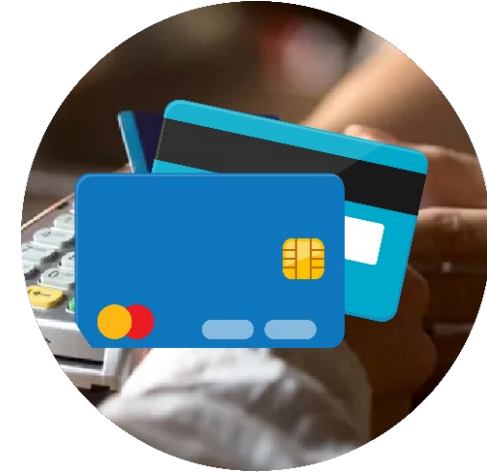
- Integrate with at least 10 cultural venues: sports and music concert venues, museums, and other large events.

*ticketmaster*

**axs**<sup>TM</sup>



**QR Code Ticket**  
Venue & platform level  
integration



**Open Loop & EMV Cards**  
Cash back & rewards  
Mobility Wallets

# Minneapolis Stage 1 Project:

## An Open Data Approach to Curb Management



### Goals:

- Improve curbside management and street operations
- Manage conflicts created by the rise in e-commerce deliveries
- Develop digital tools to utilize smart city technologies



# THE SMART CURB COLLABORATIVE



Engagement  
Business and  
delivery  
providers



Digital Curb Map



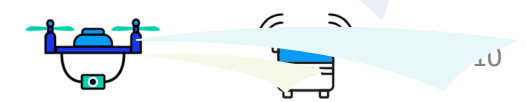
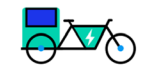
Data Collection  
Smart sensors



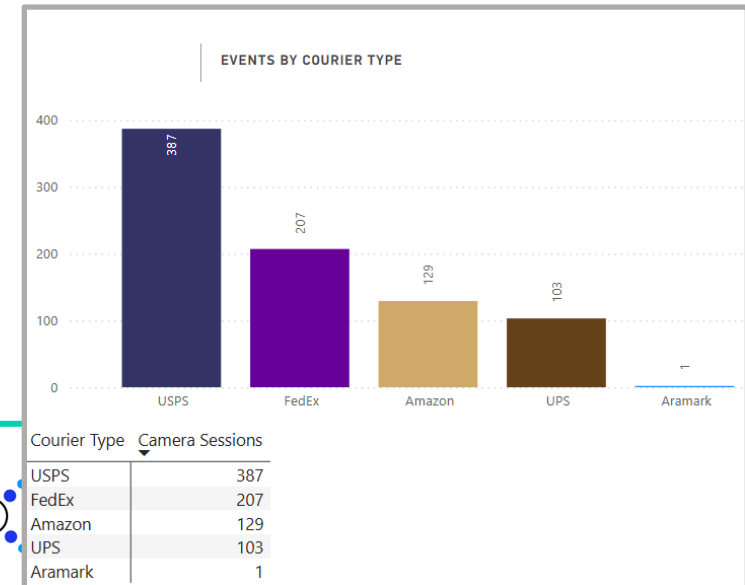
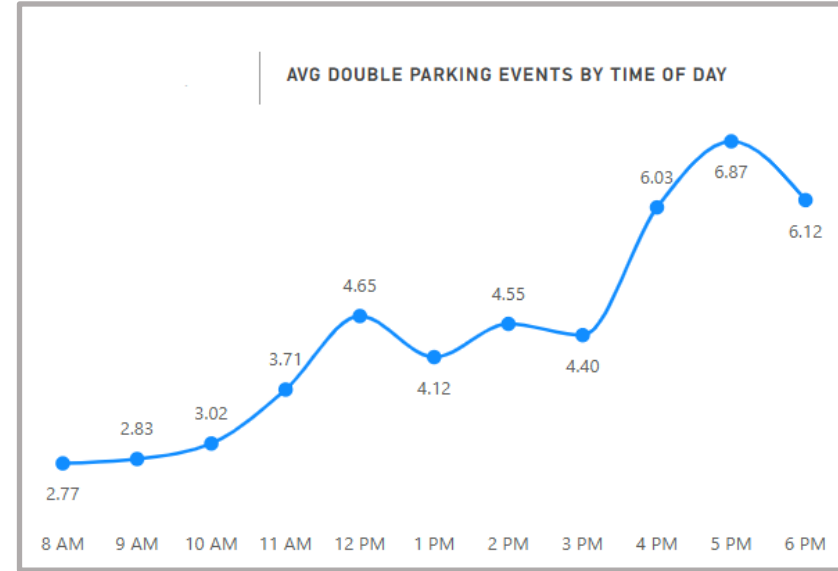
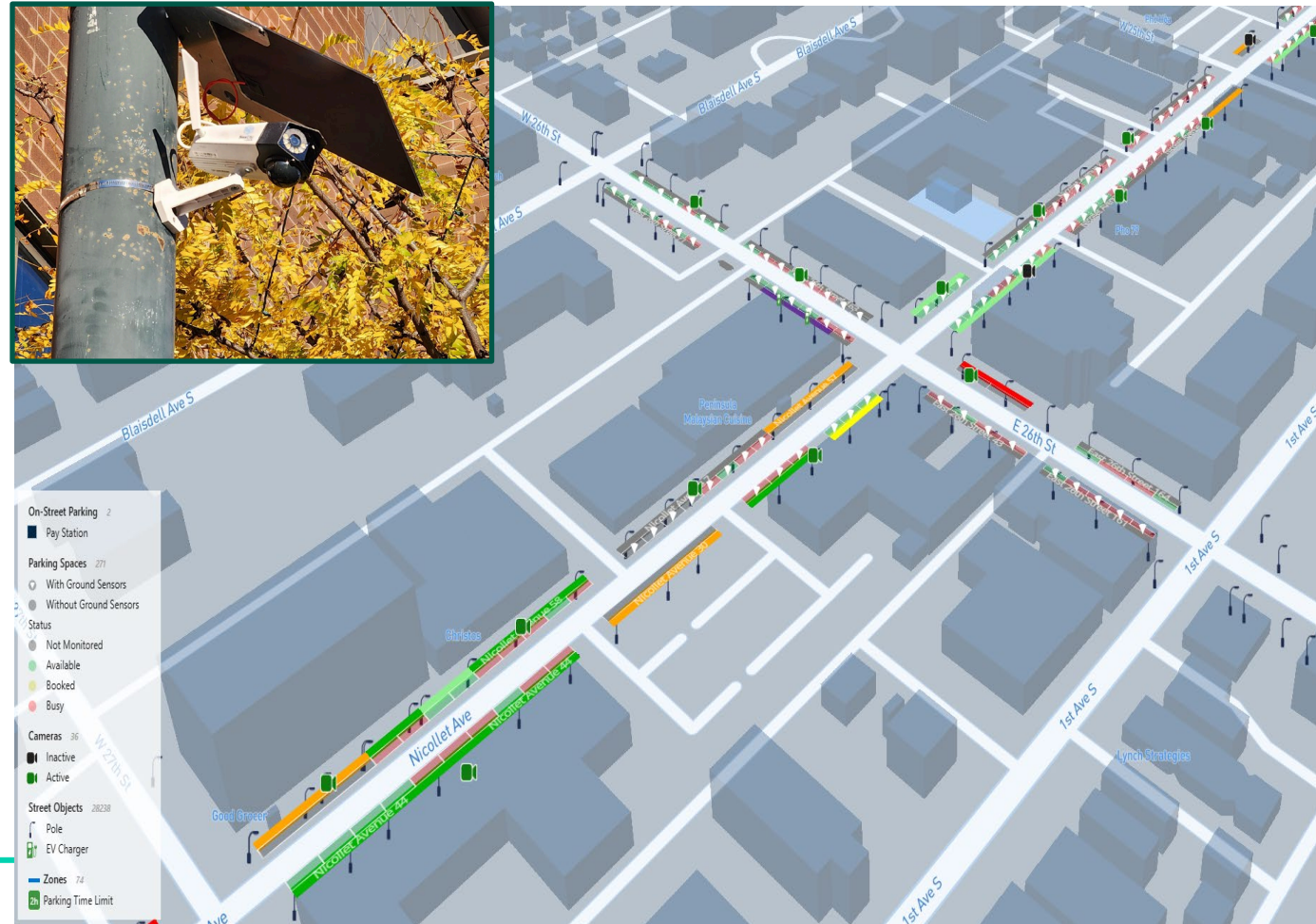
API Creation  
Publish API on  
Open Data  
Portal

- Boston
- Los Angeles
- Miami-Dade
- Minneapolis
- Philadelphia

- Portland
- San Francisco
- San Jose
- Seattle



# Digital Curb Map & Sensor Technologies



# Minneapolis and Seattle Stage 2 Project:

## Smart Curbs for Better Access: A Digital, Data-Driven Approach Across Cities

### Goals:

- Expand sensor technology to additional neighborhoods in each city
- Build internal capacity for **development** and **maintenance** of digital infrastructure
- Use data and business engagement to improve curb access for vehicles
- Foster a digital ecosystem among stakeholders
- Provide a road map for other cities to build out digital curb infrastructure

# SMART

**CDS** CURB DATA SPECIFICATION



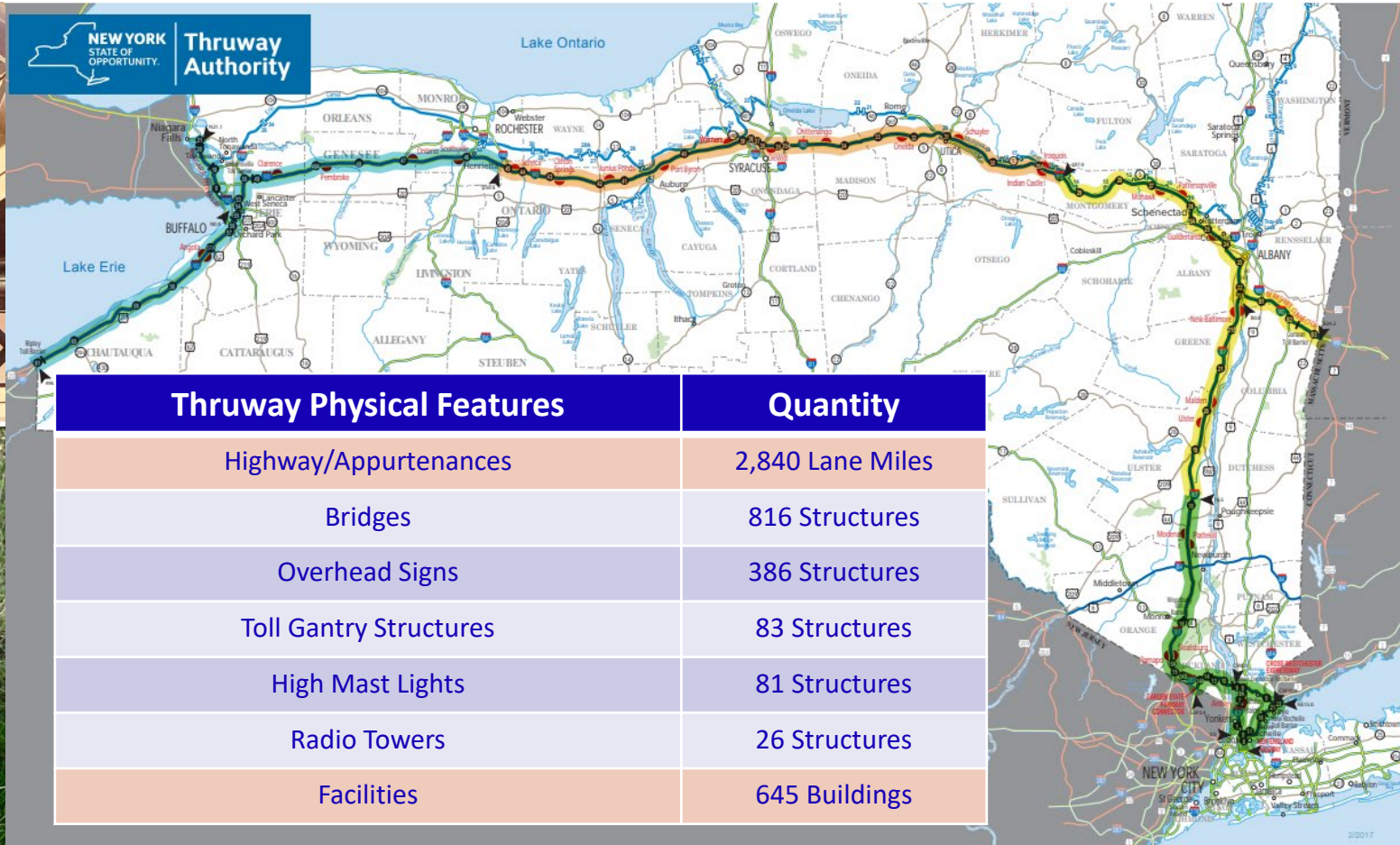
SMART





# Thruway Authority

Modernizing Infrastructure  
Inspection through UAS and  
Automated Workflows



# Modernizing Infrastructure Inspection through UAS and Automation

## Problems Addressed:

- Disjointed data flow. Lack of systems integration.
- Error-prone process of data transcription.
- Inefficient processes, including unnecessary steps.
- Lack of procedural updates using new technologies to increase staff safety.
- Limited datasets for long term analysis.

## Technologies Applied:

- Unmanned Aerial Systems (UAS) to increase safety and efficiency
- Automated flight routines for data precision and risk mitigation
- Cloud data storage increasing data availability and accessibility
- Mobile reporting applications for direct data collection and review
- Systems integrations to automate the data pipeline between drone and report



# Modernizing Infrastructure Inspection through UAS and Automation



## Stage 1 Outcome

~40% Improvement in efficiency.

Increased worker safety by operating in safer areas.

Lane closures are shorter and less frequent.



## Stage 2 Plans

Increase the UAS Fleet

Workforce Development - Train staff as Remote Pilots

Collect and analyze meaningful data



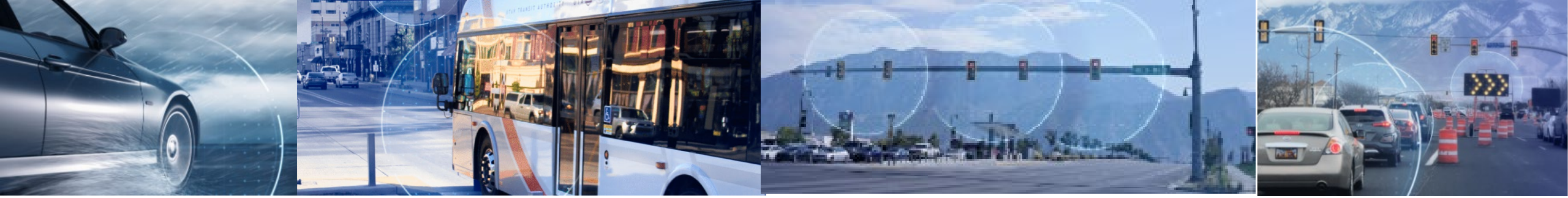
## Project Goals

Scaling workflows across asset types

Long term analysis of structures on a deeper level

Increase reliability and resiliency systemwide

Proactive predictive maintenance

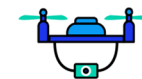


# Enabling Trust and Deployment Through Verified Connected Intersections (Stage 1 & 2)

Dean Deeter,  
Athey Creek Consultants  
July 30, 2025

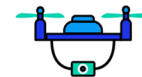
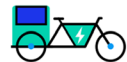


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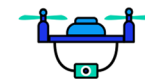
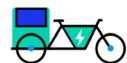
# Enabling Trust and Deployment Through Verified Connected Intersections (CIs)

- Award Recipient: Utah DOT
- Partners Include:
  - Crash Avoidance Metrics Partners (CAMP), LLC
  - Security Credential Management System (SCMS) Manager, LLC
- Location – Stage 1: Selected Utah Signalized Intersections (Park City, Salt Lake City, American Fork)
- Location – Stage 2: Selected Intersections operated in other states (GDOT, MCDOT, TTI, MI, Ohio DOT, and THEA)



# Problem Addressed

- 1. *CIs nationwide*** – No connected intersection (CI) deployments meet the full spectrum of requirements outlined in the CTI 4501 (ITE/SAE) effort, and no CI deployments are recognized by OEMs or SCMS Manager as fully validated.
- 2. *CI validation processes*** – Despite several significant testing activities conducted by the CV PFS and member states, there is still not a complete set of information available to IOOs about what specifically is needed to fully achieve SCMS and OEM trust in their CIs, including what the process consists of, the tools available, and estimated costs to accomplish it.



## Stage 1 Outcomes

1. **MAP Validation Tool** – Online tool to test MAP message completeness and accuracy of node points – Includes specification for collecting known lane line node points using LiDAR
2. **SPaT Validation Tool** – Software developed and installed on a cohda OBU collects needed data from signal controller and RSU broadcast. Data is uploaded to on-line tools that performs comparison of accuracy and timeliness of SPaT broadcasts
3. **Industry Accepted Validation Approach** - SCMS Manager has developed a concept and approach for intersection validation

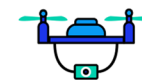
## Stage 2 Plans

1. Improve and enhance the tools (e.g., more controller types, cabinet types, and controller versions)
2. Expand use of the tools in additional states





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# Buy America Requirements

- DOT financial assistance programs are subject to domestic preference requirements, often known as Buy America or Buy American provisions
- Several DOT Operating Administrations (including FAA, FHWA, FRA, FTA, and MARAD) have their own Buy America statutes, which apply to projects receiving financial assistance provided by those agencies
  - Generally cover iron/steel and manufactured products
- The Build America, Buy America Act (BABA) applies to infrastructure programs not covered by mode-specific Buy America statutes
  - Covers construction materials as well as iron/steel and manufactured products
- DOT financial assistance programs not covered by other statutes are required to apply the Buy American Act, per a provision in annual appropriations acts



## Buy America and SMART Grants

- **If a project is considered an infrastructure project, it is required to comply with BABA**
- **If a project is not considered infrastructure, it is required to comply with the Buy American Act**



## Build America, Buy America Act

- Part of the Bipartisan Infrastructure Law, which also authorized the SMART grants program
- Applies to Federal financial assistance programs for infrastructure
- Requires that all of the iron, steel, manufactured products, and construction materials used in a federally-assisted infrastructure project are produced in the United States
- Allows agencies to waive the requirements under certain conditions



# BABA Requirements – Produced in the United States

- Iron or Steel Products
  - *Predominantly of iron or steel or a combination of both* means that the cost of the iron and steel content exceeds 50 percent of the total cost of all its components.
  - All manufacturing processes, from the initial melting stage through the application of coatings, must occur in the United States
- Manufactured Products
  - Include articles, materials, or supplies that have been (i) Processed into a specific form and shape; or (ii) Combined with other articles, materials, or supplies to create a product with different properties than the individual articles, materials, or supplies.
  - The cost of components mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product



# BABA Requirements – Produced in the United States

- Construction Materials
  - Include
    - Non-ferrous metals
    - Plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables)
    - Glass (including optic glass)
    - Fiber optic cable (including drop cable)
    - Optical fiber
    - Lumber
    - Engineered wood
    - Drywall
  - All manufacturing processes must occur in the United States
    - 2 CFR 184.6 defines standards for each type of construction material regarding which steps in the manufacturing process are included



## Infrastructure Projects – Definition under BABA

- Any activity related to the construction, alteration, maintenance, or repair of infrastructure
- Infrastructure includes structures, facilities, and equipment for “roads, highways, and bridges; public transportation; dams, ports, harbors, and other maritime facilities; intercity passenger and freight railroads; freight and intermodal facilities; airports; water systems, including drinking water and wastewater systems; electrical transmission facilities and systems; utilities; broadband infrastructure; and buildings and real property; and structures, facilities, and equipment that generate, transport, and distribute energy including electric vehicle (EV) charging.”



## Infrastructure Projects – Definition under BABA *(continued)*

- BABA only applies to articles, materials, and supplies that are consumed in, incorporated into, or affixed to an infrastructure project.
- Does not apply to:
  - Tools, equipment, and supplies brought to the construction site and removed at or before the completion of the infrastructure project
  - Equipment and furnishings that are used at or within the finished infrastructure project but are not an integral part of the structure or permanently affixed to the infrastructure project.
- The SMART Grants Program Office will coordinate with grant recipients on whether their projects are designated as “infrastructure projects”
  - SMART Stage 1 technology demonstration and prototyping projects are generally not considered infrastructure projects



# Buy American Act - Non-infrastructure Projects

- The Buy American Act (BAA) generally applies to Federal purchases of goods
- Section 409 of the annual THUD Appropriations Acts requires DOT financial assistance recipients to comply with the BAA
- DOT applies the BAA as implemented through the Federal Acquisition Regulation (FAR) (48 CFR Part 25)
  - Many provisions are broadly similar to BABA
- DOT also applies the standing waivers (exceptions) provided for in the FAR, including:
  - Non-steel or iron commercially available off-the-shelf items (COTS) under 41 U.S.C. § 1907
  - Information technology that is a commercial product under 48 CFR 25.103(e); and
  - The list of nonavailable articles found at 48 CFR 25.104.



## Commercially available off-the shelf (COTS) items

- Any item of supply (including construction material) that is—
  - (i) A commercial product (as defined in paragraph (1) of the definition of “commercial product” at Federal Acquisition Regulation (FAR) 2.101);
  - (ii) Sold in substantial quantities in the commercial marketplace;
  - (iii) Offered to the Government, under a contract or subcontract at any tier, without modification, in the same form in which it is sold in the commercial marketplace;
- and (2) Does not include bulk cargo, as defined in 46 U.S.C.40102(4), such as agricultural products and petroleum products.”



## Buy America Waivers

- BABA (and BAA) allow for waivers of Buy America(n) requirements under certain conditions, including:
  - Applying the Buy America preference would be inconsistent with the public interest (a “public interest waiver”);
  - Types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality (a “nonavailability waiver”); or
  - The inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25 percent (an “unreasonable cost waiver”).



## Buy America Waivers *(continued)*

- If a SMART grant recipient would like to request a waiver, they should contact the SMART program office, who will coordinate with the Office of Transportation Policy and the Office of General Counsel
- Waivers must be reviewed within DOT and by the Made in America Office in OMB
- Waiver requests must include documentation of the steps undertaken to identify a domestic supplier and any related market research
- Proposed waivers must be posted for public comment for at least 15 days. DOT is also required to consult with the Hollings Manufacturing Extension Partnership at the Department of Commerce on whether there is a domestic entity that could produce the item.
- Notices of final waivers will also be published in the Federal Register



## BABA and Related Resources

- U.S. DOT Made in America Site: <https://www.transportation.gov/office-policy/transportation-policy/made-in-america>
- USG Site: <https://www.madeinamerica.gov/>
- OMB guidance:
  - <https://www.federalregister.gov/documents/2023/08/23/2023-17724/guidance-for-grants-and-agreements>
  - <https://www.whitehouse.gov/wp-content/uploads/2023/10/M-24-02-Buy-America-Implementation-Guidance-Update.pdf>
- Federal Acquisition Regulation: <https://www.acquisition.gov/far/part-25>



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Welcome to SMART

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Welcome to SMART



Post Award



90 Day Program Reporting



Quarterly Reporting – Milestones & SF-425



Delphi Set Up



Reimbursement Requests

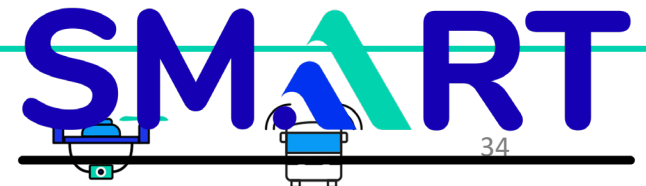


Quarterly Check-ins



Draft & Final Implementation Reports

SMART



## ***SMART Program Staff***

### **Stanley Caldwell**

SMART Grants Program Director

### **Thy Nguyen**

Lead Grants Management Specialist/Agreement Officer

### **Alfreda Johnson**

Grants Management Specialist

### **Raine Pike**

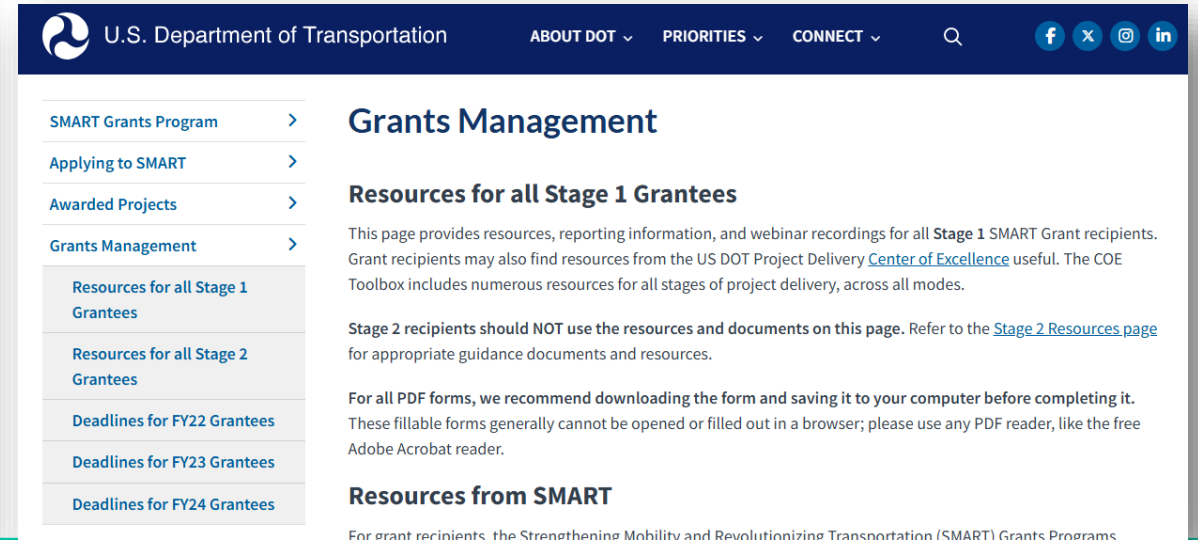
Grants Management Specialist



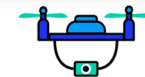
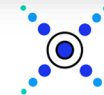
# Resources, guidance, and support information can be found on the SMART website [SMART Grants Program | US Department of Transportation](https://www.transportation.gov/smart)



The screenshot shows the homepage of the SMART Grants Program. The header includes the U.S. Department of Transportation logo and navigation links for ABOUT DOT, PRIORITIES, and CONNECT. The main content area features a sidebar with links to SMART Grants Program, About SMART Grants Program, SMART FAQs, Applying to SMART, Awarded Projects, and Grants Management. The main heading is "SMART Grants Program" followed by "Strengthening Mobility and Revolutionizing Transportation (SMART)". Below this is a paragraph explaining that the Infrastructure Investment and Jobs Act (IIJA) established the SMART discretionary grant program with \$100 million appropriated annually for fiscal years (FY) 2022-2026. The SMART logo is prominently displayed. A "Related Links" section includes "SMART Program Fact Sheet" and "FY24 SMART Stage 1 Project List".



The screenshot shows the "Grants Management" page. The header is identical to the homepage. The main heading is "Grants Management". Below this is a section titled "Resources for all Stage 1 Grantees" which provides resources, reporting information, and webinar recordings for all Stage 1 SMART Grant recipients. It also mentions that grant recipients may find resources from the US DOT Project Delivery Center of Excellence useful. The COE Toolbox includes numerous resources for all stages of project delivery, across all modes. A note states that Stage 2 recipients should NOT use the resources and documents on this page, referring to the Stage 2 Resources page for appropriate guidance documents and resources. Another note recommends downloading PDF forms before completing them, as they generally cannot be opened or filled out in a browser. The page also includes a section for "Resources from SMART" for grant recipients.



Now that your Assistance Agreement has been executed, your Grants Management Specialist will review your award requirements.

- SMART Award Starting Points to Remember
  - Your project has been assigned to a Grants Management Specialist and will be assigned to a Subject Matter Expert (SME) based on your project type.
  - **Always include your SMART award number in communication and reporting.**
  - Be sure to include your Principal Investigator/Project Director on all emails.
  - Both Program and Financial reporting is required.

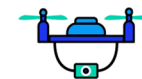
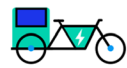


Award Number is located in box #1.

- Award Number/FAIN/Delphi PO Number are all the same.

Period of Performance (POP) is located in box #7.

ASSISTANCE AGREEMENT			
1. Award No. 69A355254XXXX	2. Modification No.	3. Effective Date 05/15/2025	4. CFDA No. 20.941
5. Awarded to	6. Sponsoring Office OFFICE OF THE SECRETARY Off of Asst Sec for Research & Tech 1200 New Jersey Avenue, East Building, 3rd Washington DC 20590		7. Period of Performance 05/15/2025 through 11/14/2026

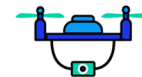
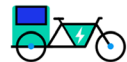


Along with your grant agreement, you received the following documentation:

1. Reporting Requirements Checklist
  - a) Contains all report types, links, and due dates.
2. Articles 1-6
3. Articles 7-30
4. SMART Exhibits

Please be sure to share these documents including the grant agreement with all team members and those in your organization who need the information.

**SMART**



# Reporting Requirements Checklist

Contains all requirements including types of reports, due dates, and links to forms.

**REPORTING REQUIREMENTS AND DUE DATES**  
Version Date: May 09, 2025

**1. Milestone Progress Performance Report (MPPR)**

- Quarterly, no later than 30 days after the reporting period end date. (Reporting period end dates are 3/31, 6/30, 9/30, and 12/31).
- Link to complete the report:  
[https://forms.office.com/pages/responsepage.aspx?id=WyTNxPBEIUOhqjhI0lj3i\\_WilbptwIVPiq7KQbn3D01UOVRLRjVKSzBLR1YwWjQOMzMwUjRTN1UyUiQIQCN0PWcu](https://forms.office.com/pages/responsepage.aspx?id=WyTNxPBEIUOhqjhI0lj3i_WilbptwIVPiq7KQbn3D01UOVRLRjVKSzBLR1YwWjQOMzMwUjRTN1UyUiQIQCN0PWcu)
- While you might not have detailed milestones to include in your first Q-MPPR, it is recommended that you complete the report to the best of your ability. Additional details can be included in the future Q-MPPR's.

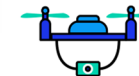
**2. Federal Financial Reports (FFRs)**

- Quarterly, no later than 30 days after the reporting period end date. (Reporting period end dates are 3/31, 6/30, 9/30, and 12/31).
- Final, no later than 120 days from award expiration date.
- Submit to:  
[smartreports@dot.gov](mailto:smartreports@dot.gov)

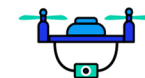
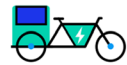
**3. Request for Reimbursement**

- You shall not submit request for reimbursement invoices more frequently than monthly.
- Link to submit:  
<https://einvoice.esc.gov/>
- Additional information:  
Delphi access must be requested by the person who will be submitting the Invoices.

- Milestone Progress Report
- Federal Financial Reports
- Request for Reimbursement
- Evaluation Plan
- Data Management Plan
- Implementation Report



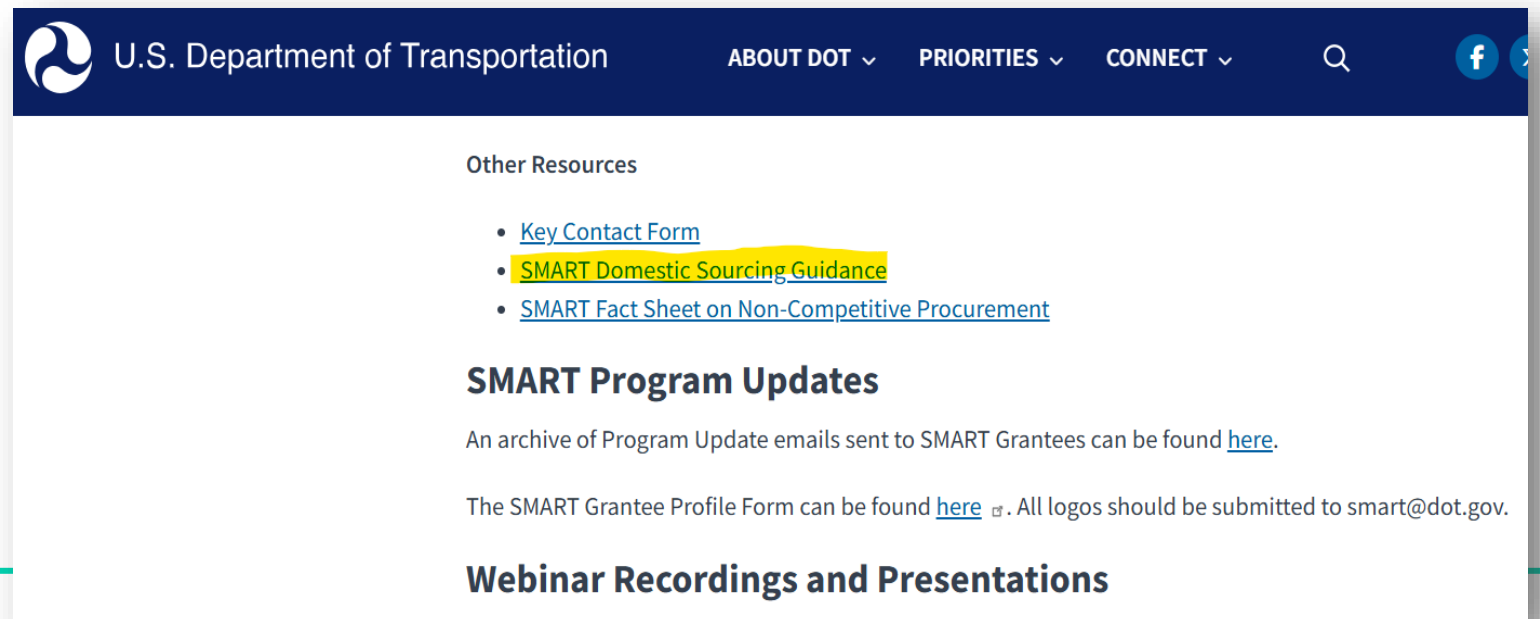
- If applicable, you **MAY NOT** expend any of the fund, even if your Financial Assistance Agreement has been executed, on final design, construction, or other activities that represent an irretrievable commitment of resources unless and until you receive a formal confirmation that your project is in compliance with the National Environmental Policy Act (NEPA).
- The NEPA Office will review your project for determination.
- The SMART Program Office will formally notify you once the NEPA review is completed.



Your project may also be subject to BABA regulations.

The SMART Program Office will formally notify you once your project has been deemed a Project for Infrastructure, Non-Infrastructure, or both.

## [SMART Domestic Sourcing Guidance.pdf](#)



U.S. Department of Transportation

ABOUT DOT ▾ PRIORITIES ▾ CONNECT ▾

Other Resources

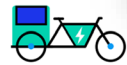
- [Key Contact Form](#)
- [SMART Domestic Sourcing Guidance](#)
- [SMART Fact Sheet on Non-Competitive Procurement](#)

**SMART Program Updates**

An archive of Program Update emails sent to SMART Grantees can be found [here](#).

The SMART Grantee Profile Form can be found [here](#). All logos should be submitted to [smart@dot.gov](mailto:smart@dot.gov).

**Webinar Recordings and Presentations**

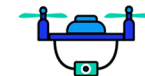
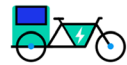


All SMART projects are required to complete the Data Management Plan (DMP) and the baseline Evaluation Plan (EP) within 90 days.

1. Data Management Plan (DMP) – The objectives of the DMP are to fulfill the reporting requirements and in accordance with the USDOT Public Access Plan, help prepare you for the implementation report and provide access to data so others may learn from your project.

2. Evaluation Plan (EP) – The objective of the Evaluation Plan is to help prepare you for the Implementation Report.

These reports will help you build your Draft Implementation Report (DIR). Please follow the guidance provided.



- Data Management Plan: due 90 days after the Period of Performance start date.

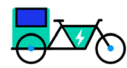
[Writing your DMP - SMART Grants: DMP Guidance - LibGuides at National Transportation Library](#)

[Finalizing your Project - SMART Grants: DMP Guidance - LibGuides at National Transportation Library](#)

The screenshot displays the National Transportation Library's SMART Grants Data Management Plan Guidance page. At the top, it identifies the Bureau of Transportation Statistics and the National Transportation Library. The page title is "SMART Grants: DMP Guidance: Writing your DMP". A search bar is present. Below the title, there are two tabs: "Writing your DMP" (active) and "Finalizing your Project". The main heading is "National Transportation Library SMART Grants Data Management Plan Guidance".

The "Guide Navigation" section contains eight icons with corresponding text:

- Data Management Plans**: Icon showing a document with a flowchart and steps.
- Using the DMPTool**: Icon showing a document and a computer monitor with a DMPTool logo.
- Text to Reuse for Your DMP**: Icon showing two documents with arrows indicating reuse.
- Request Feedback from NTL**: Icon showing a group of people and a feedback icon.
- DCAT-US Metadata**: Icon showing a gear, a document, and a bar chart.
- Proprietary VS. Open/Nonproprietary**: Icon showing two folders, one with a red 'X' and one with a green checkmark.
- Conformant Repositories**: Icon showing a database cylinder, a gear, and a computer monitor.
- Persistent Identifiers**: Icon showing a document with arrows pointing to ORCID, ROR, and DOI logos.



1. Fill in each section to best of your ability
2. Each section includes guidance as to what information is requested
3. Each section has example answers and links to good DMPs
4. Each section has text boxes for you to fill out
5. Click “Save” button at end of each section
6. Once all sections are Saved, click on the “Request Feedback” Tab
7. Download a copy for your records

**Automated Shared-Use Path Conflict Point Analysis**

Project Details Collaborators Write Plan Research outputs **Request feedback** Finalize Download

This plan is based on the "SMART Grants Stage 1 Data Management Plan (DMP)" template provided by United States Department of Transportation (DOT) (transportation.gov) - (ver: 0, pub: 2023-10-11).

expand all | collapse all 6/6 answered

+ Dataset and Contact Information (1 / 1)

Please provide as much of the the following information as possible:

1. Name of the project;
2. Grant number;
3. Name of the person submitting this DMP;
4. ORCID of the person submitting this DMP (need an ORCID? Register here: <https://orcid.org/>);
5. Email and phone number of the person submitting this DMP;
6. Name of the organization for which the person submitting this DMP is working;
7. Email and phone number for the organization;
8. Link to organization or project website, if applicable; and,
9. Date the DMP was written.

1 Automated Shared-Use Path Conflict Point Analysis  
2. SMART\_2023\_0001  
3. Leighton Christiansen  
4. <https://orcid.org/0000-0002-0543-4268>  
5. leighton.christiansen@dot.gov  
6. National Transportation Library  
7. NTLDataCurator@dot.gov ; 800-853-1351  
8. <https://ntl.bts.gov/ntl>  
9. 2023-10-18

Press Alt 0 or Option 0 for help using the rich text editor with keyboard or

Save

**Automated Shared-Use Path Conflict Point Analysis**

Project Details Collaborators Write Plan Research outputs **Request feedback** Finalize Download

This plan is based on the "SMART Grants Stage 1 Data Management Plan (DMP)" template provided by United States Department of Transportation (DOT) (transportation.gov) - (ver: 0, pub: 2023-10-11).

expand all | collapse all 6/6 answered

+ Dataset and Contact Information (1 / 1)

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5. leighton.christiansen@dot.gov  
6. National Transportation Library  
7. NTLDataCurator@dot.gov ; 800-853-1351  
8. <https://ntl.bts.gov/ntl>  
9. 2023-10-18

Comments & Guidance

Guidance Comments

DOT

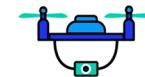
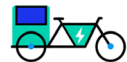
1. Official DOT Public Access Plan v1.1
2. Creating a Data Management Plan guidance (advanced)
3. US DOT Public Access Data Management Plans collection

DMPtool: How to Request Feedback



- Key takeaways:

- Do not share any data that you do not have permission to share (i.e. PII). If that is the case, document that there is a missing data set and why, in your DMP.
- You may (and should) update your DMP as you package your data and store it in an appropriate repository.
- Remember to request feedback in the DMP Tool and email your Grants Management Specialist a screenshot when complete.



- The purpose of the Evaluation Plan (EP) is to assess the impacts and benefits of your project.
- The EP is due 90 days after the Period of Performance start date.

## [SMART Grant Recipient Guidance: Evaluation Plan | US Department of Transportation](#)

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM  
GRANT RECIPIENT REPORTING GUIDANCE

### Stage 1 Evaluation Plan Guidance

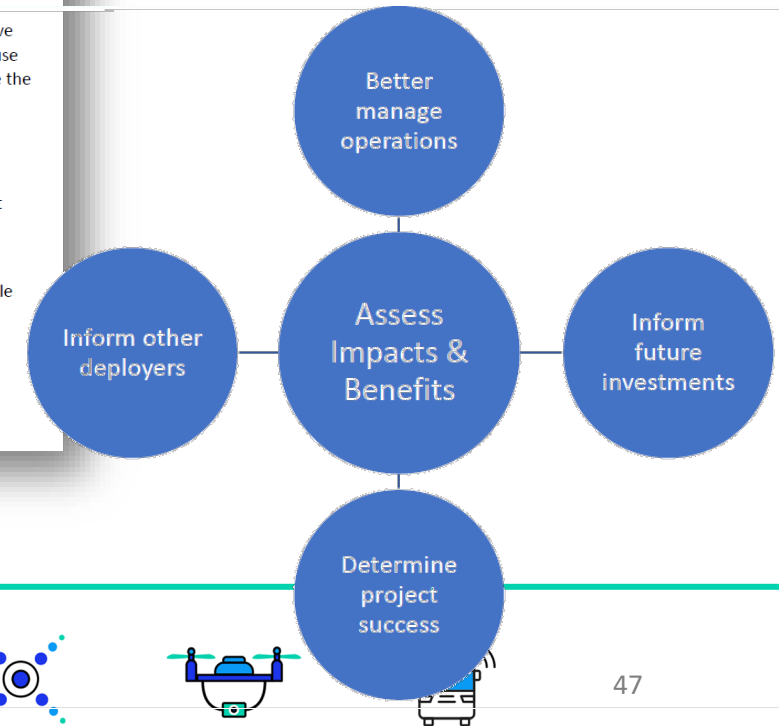
The purpose of this guidance is to assist grant recipients in developing their Stage 1 Evaluation Plan for the Strengthening Mobility and Revolutionizing Transportation (SMART) grant program.

Grant recipients are not required to use this guidance, though it is highly recommended. The objective of the Evaluation Plan is to help prepare you for the Implementation Report. The USDOT intends to use information from both the grant recipients' Evaluation Plans and Implementation Reports to prepare the required program-level reports on the effectiveness of the grant recipients in meeting the original expectations projected in their grant applications.

Reporting Requirement:

The SMART grant agreement states that Stage 1 grant recipients must submit an Evaluation Plan that provides:

- an overview of how the proof-of-concept or prototype will be evaluated
- a description of the anticipated impact areas (i.e., goals) of the project if implemented at scale and the methods that will be used to estimate the anticipated benefits and costs associated with implementation
- robust performance metrics and measurable targets based on the project goals to inform whether the proof-of-concept or prototype meets expectations and whether full implementation would meet program goals



All SMART projects are required to complete quarterly Milestone Progress Reports and Federal Financial Reports (SF-425).

**1. The Milestone Progress Report** - The role of Milestone Progress Report is to assess the impacts, progress and benefits of your project, including lessons learned during the reporting period.

**2. Federal Financial Report (FFR)** – A Federal Financial Report is a statement of expenditures associated with a grant. Recipients of federal funds are required to report the status of funds for grants or assistance agreements to the sponsor of the grant using the Federal Financial Report expenditure data.



## Quarterly Report Due Dates

- No later than 30 days after the reporting period end date.

Reporting Period End Date	Submission Deadline
March 31	April 30
June 30	July 31
September 30	October 31
December 31	January 31

- **PLEASE** share these dates, forms & deadlines with your **ENTIRE** Team, your grants management, finance department, your contractors if they are reporting, & anyone else that may be reporting on your SMART award.
- Always refer to the *Reporting Requirements Checklist* sent with your Assistance Agreement.



## USDOT SMART Progress Reporting Form

The Bipartisan Infrastructure Law (BIL) established the Strengthening Mobility and Revolutionizing Transportation (SMART) discretionary grant program in order for eligible public sector agencies to conduct demonstration projects focused on advanced smart community technologies and systems. Grant-funded projects should improve transportation efficiency and safety.

If you reached this page, you are a grant recipient responsible for reporting. Quarterly reporting periods end on 3/31, 6/30, 9/30, and 12/31, regardless of budget period start dates. Deadlines for quarterly and semi-annual reports are no later than 30 days after the end of the reporting period.

\* Required

### Awardee Information

#### 1. Lead Applicant Name \*

Please select your lead applicant name below. If your organization has more than one project, please ensure you are selecting the right option.

Select your answer

#### 2. Project Cluster \*

Rail and Transit Automation

Sensors

Smart Grid

Smart Traffic Signals

Transit Innovation

UAS

- Use [USDOT SMART Progress Reporting Form \(Page 1 of 3\)](#)
- Once complete, the form will be automatically submitted to the SMART team.
- Refer to [SMART Milestone Progress Report Template | US Department of Transportation on the SMART website](#) for further information.

## SMART Quarterly Progress Reports

This is a word document version of the questions required for the SMART Quarterly Progress Report. It is intended to allow you to assemble and fill your responses prior to submitting them through the web form, and to save a copy of your responses. **You must still submit your quarterly reports through the online form (<https://forms.office.com/g/0xwFNfBC5Z>) to comply with the program's reporting requirements.**

The Bipartisan Infrastructure Law (BIL) established the Strengthening Mobility and Revolutionizing Transportation (SMART) discretionary grant program in order for eligible public sector agencies to conduct demonstration projects focused on advanced smart community technologies and systems. Grant-funded projects should improve transportation efficiency and safety.

If you reached this page, you are a grant recipient responsible for reporting. Quarterly reporting periods end on 3/31, 6/30, 9/30, and 12/31, regardless of budget period start dates. Deadlines for quarterly and semi-annual reports are no later than 30 days after the end of the reporting period.

Lead Applicant Name (Name of the entity that received the grant)

Project Cluster (Name of the project type/cluster that you have been assigned to for technical



View Burden Statement **Federal Financial Report** OMB Number: 4040-0014  
 (Follow form Instructions) Expiration Date: 02/28/2025

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
[Redacted]		[Redacted]	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: [Redacted]			
Street1: [Redacted]			
Street2: [Redacted]			
City: [Redacted]		County: [Redacted]	
State: [Redacted]		Province: [Redacted]	
Country: USA: UNITED STATES		ZIP / Postal Code: [Redacted]	
4a. UEI	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
[Redacted]	[Redacted]	[Redacted]	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: [Redacted] To: [Redacted]	[Redacted]
10. Transactions			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts			0.00
b. Cash Disbursements			0.00
c. Cash on Hand (line a minus b)			0.00

## Federal Financial Reports (FFRs) SF-425

- Use [Standard Form 425](#)
- Submit to: [smartreports@dot.gov](mailto:smartreports@dot.gov) (copy GMS on the email)
- Refer to [Resources for all grantees](#) on the SMART website for further information.



## New Users to DOT and/or DELPHI

Are you new to DOT?

Will this be your first time using DELPHI?

Send an email to your grant specialist to initiate the process to create a Delphi account. The information required is in your Reporting Requirements Checklist found in your Award package. See email template on the next slide.

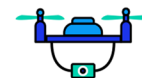
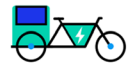
## Existing DELPHI Users

Are you a new SMART awardee?

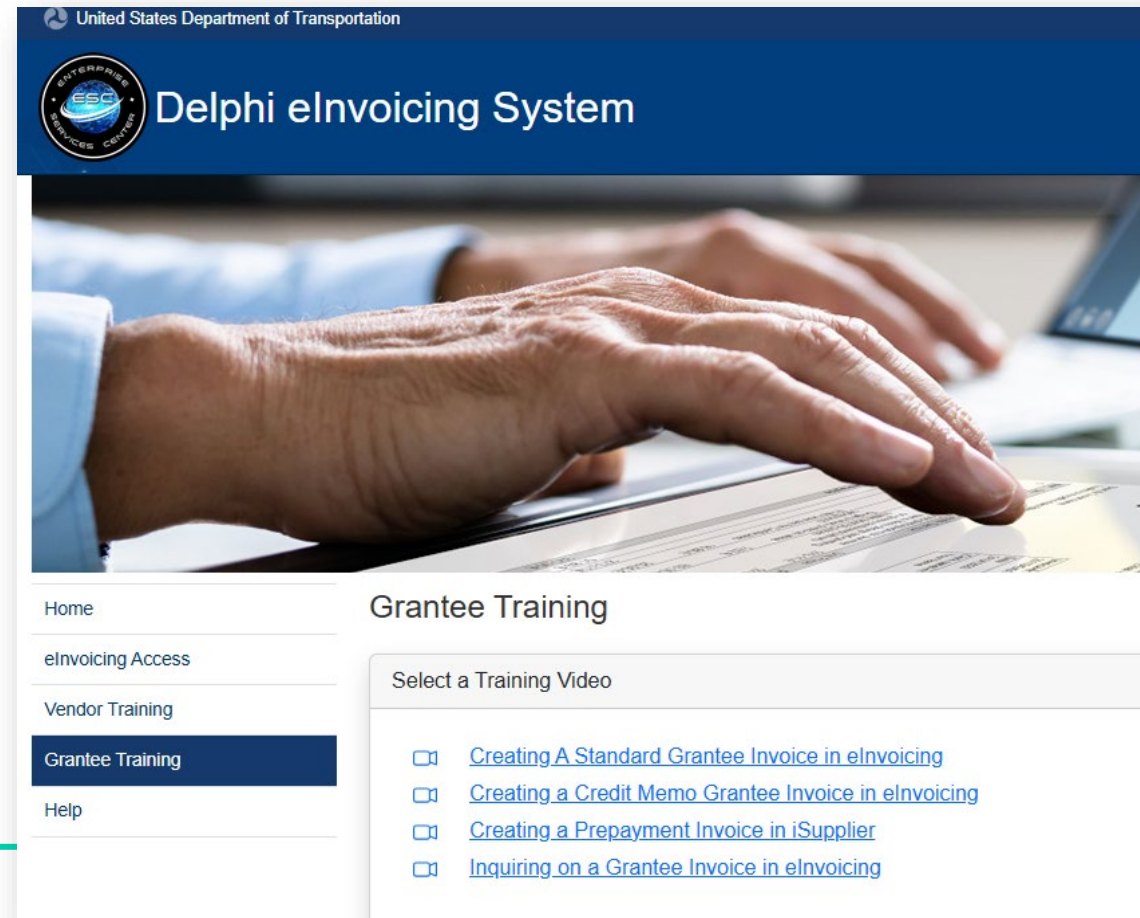
If you need to add a new user, see email template on the next slide.



- Delphi access must be requested by the person who will be submitting the Invoices.
- Those new to Delphi and/or DOT, or if you are adding new users to an existing account, must notify your SMART Grant Manager, and provide the information in the exact format below:
  - *PO NUMBER (your award number):*
  - *Company Name:*
  - *First and Last Name (individual submitting invoices):*
  - *Email Address:*
  - *Agency: OST*



- Delphi provides a tutorial for submitting reimbursement requests here: [ESC: Delphi eInvoicing System - Home](#)



- Request for Reimbursement SF-270
- You shall not submit request for reimbursement invoices more frequently than monthly.
- Use Standard Form 270 (found on grants.gov)
- Link to submit: <https://einvoice.esc.gov/>

OMB Number: 4040-0012  
Expiration Date: 01/31/2025

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>		1. TYPE OF PAYMENT REQUESTED		a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT		2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL	
				b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL			
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED				4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY			
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST		6. EMPLOYER IDENTIFICATION NUMBER		7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER			
8. PERIOD COVERED BY THIS REQUEST From: <input type="text"/> To: <input type="text"/>							
9. RECIPIENT ORGANIZATION Name: <input type="text"/>							
<b>11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED</b>							
PROGRAMS/FUNCTIONS/ACTIVITIES		(a)	(b)	(c)	TOTAL		
a. Total program outlays to date (As of date) <input type="text"/>		\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/> 0.00		
b. Less: Cumulative program income		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00		
c. Net program outlays (Line a minus line b)		<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00		
d. Estimated net cash outlays for advance period		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00		
e. Total (Sum of lines c & d)		<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00		
f. Non-Federal share of amount on line e		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00		
g. Federal share of amount on line e		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00		
h. Federal payments previously requested		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00		
i. Federal share now requested (Line g minus line h)		<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00		
j. Advances required by month, when requested by Federal		1st month	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	



## Required with every submission

1. SF-270 Request for Advance or Reimbursement.
2. Invoice from your organization to DOT-OST.
3. Invoices and proof of payment.
4. Expenditure Summary Spreadsheet.

## Notes on the SF-270

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>	1. TYPE OF PAYMENT REQUESTED	a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input checked="" type="checkbox"/> REIMBURSEMENT	2. BASIS OF REQUEST <input checked="" type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL
		b. "X" the applicable box <input checked="" type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED Department of Transportation - OST		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY 69AXXXXXXXXXXX	
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST	6. EMPLOYER IDENTIFICATION NUMBER XX-XXXXXXX	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER 69AXXXXXXXXXXX	
8. PERIOD COVERED BY THIS REQUEST - This should cover when the work was performed, not when payment was made. From: <input type="text"/> To: <input type="text"/>			



Once a quarter, your Grants Management Specialist will check-in with you regarding some of the following:

- spending progress (budget vs. actual),
- review of SF-425 reporting,
- procurement questions, and
- any other financial questions you may have.
- Milestone Progress Reporting



- The purpose of the Implementation Report (IR) is to assess the impacts and benefits of your project.

Draft Implementation Report	1 Year after start of POP
Final Implementation Report	60 Days after end of POP if applying to Stage 2 120 days after end of POP otherwise

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM  
REPORTING TEMPLATES

### Stage 1 Implementation Report Guidance

The purpose of this guidance is to assist grant recipients in developing their Implementation Report, as required for the Strengthening Mobility and Revolutionizing Transportation (SMART) Stage 1 grant program. While not all grant recipients will require Stage 2 funding for at-scale implementation, this report could function as a blueprint for future proposals.

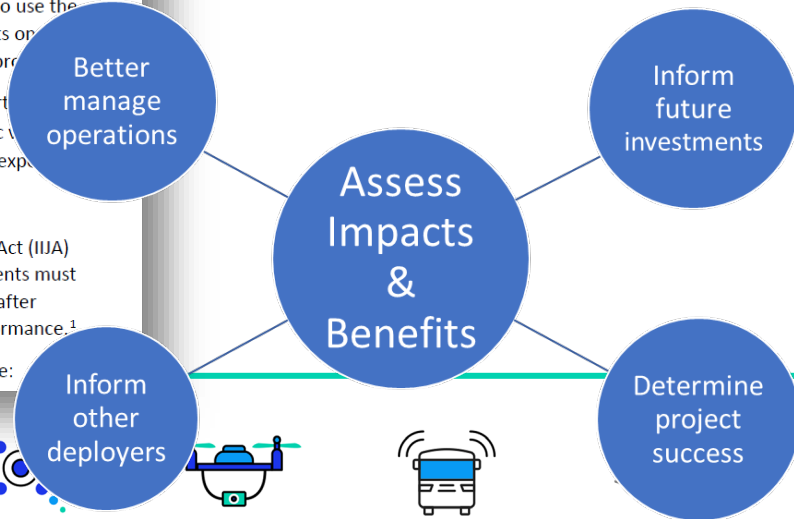
Following this guidance, while not required, is highly recommended, as the USDOT intends to use the information from the Implementation Reports to prepare the required program-level reports on the effectiveness of the grant recipients in meeting the original expectations projected in their proposals.

The information you have provided in the evaluation plan, data management plan, and quarterly reports should help you prepare this report. However, reflect on the experience to provide a holistic view of the project, your accomplishments, the challenges ahead, and what you have learned from the experience.

**Reporting Requirement:**

In accordance with the requirements established in the Infrastructure Investment and Jobs Act (IIJA) (Public Law 117-58 Sec 25005), the SMART grant agreement states that Stage 1 grant recipients must submit an Implementation Report. A draft report shall be submitted no later than one year after receiving the grant, and the final report shall be submitted by the end of the period of performance.<sup>1</sup>

Per the grant agreement, grant recipients must submit implementation reports that describe:



**Thy H. Nguyen**  
Lead Grants Management Specialist/  
Grants Agreement Officer  
Thy.Nguyen@dot.gov

**Raine Pike**  
Grants Management Specialist  
Raine.Pike@dot.gov

**Alfreda Johnson**  
Grants Management Specialist  
Alfreda.Johnson@dot.gov

## SUMMIT OFFICE HOURS

Day 2: Thursday, July 31<sup>st</sup>

Office Hours: 12:30pm-1:30pm - Table 1 Atrium Hallway





SMART

Welcome to SMART

SMART

# Agenda



**Welcome to  
SMART**



**Post Award**



**90 Day  
Program  
Reporting**



**Quarterly  
Reporting –  
Milestones &  
SF-425**



**Delphi Set  
Up**



**Reimbursement  
Requests**



**Quarterly  
Check-ins**



**Draft & Final  
Implementation  
Reports**

# Welcome to SMART

## ***SMART Program Staff***

### **Stanley Caldwell**

SMART Grants Program Director

### **Thy Nguyen**

Lead Grants Management Specialist/Agreement Officer

### **Alfreda Johnson**

Grants Management Specialist

### **Raine Pike**

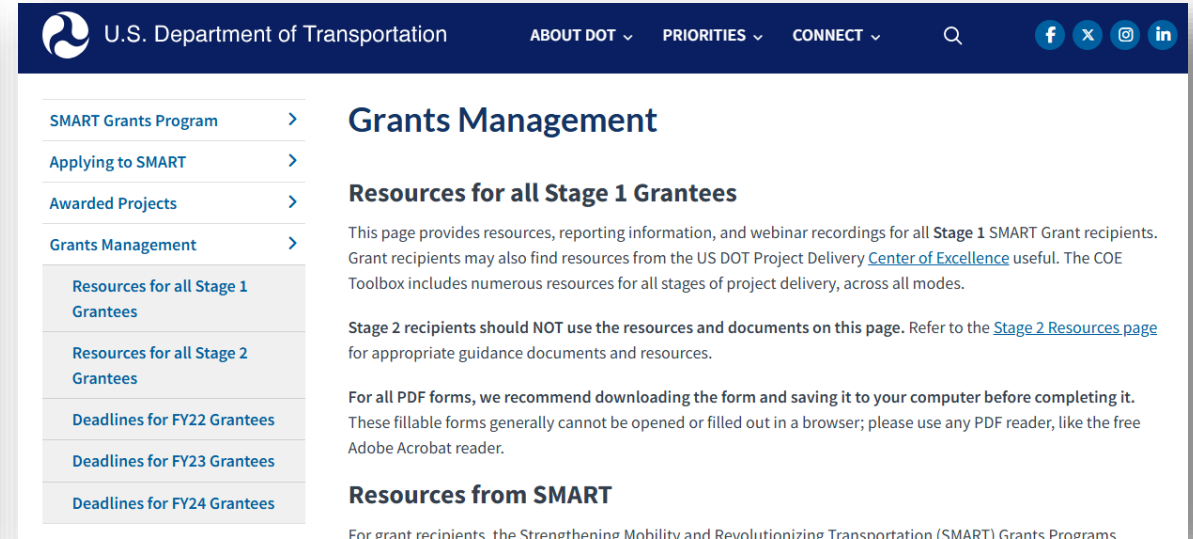
Grants Management Specialist

# Welcome to SMART

Resources, guidance, and support information can be found on the SMART website [SMART Grants Program | US Department of Transportation](https://www.transportation.gov/smart)



The screenshot shows the homepage of the SMART Grants Program. The header includes the U.S. Department of Transportation logo and navigation links for ABOUT DOT, PRIORITIES, and CONNECT. The main content area features a sidebar with a menu containing 'SMART Grants Program', 'About SMART Grants Program', 'SMART FAQs', 'Applying to SMART', 'Awarded Projects', and 'Grants Management'. The main heading is 'SMART Grants Program' followed by the sub-heading 'Strengthening Mobility and Revolutionizing Transportation (SMART)'. Below this is a paragraph explaining that the Infrastructure Investment and Jobs Act (IIJA) established the SMART discretionary grant program with \$100 million appropriated annually for fiscal years (FY) 2022-2026. To the right of the text is the SMART logo. At the bottom, there is a 'Related Links' section with two links: 'SMART Program Fact Sheet' and 'FY24 SMART Stage 1 Project List'.



The screenshot shows the 'Grants Management' page. The header is identical to the homepage. The left sidebar menu is expanded to show 'Grants Management' with sub-links for 'Resources for all Stage 1 Grantees', 'Resources for all Stage 2 Grantees', 'Deadlines for FY22 Grantees', 'Deadlines for FY23 Grantees', and 'Deadlines for FY24 Grantees'. The main content area has the heading 'Grants Management' and a sub-heading 'Resources for all Stage 1 Grantees'. The text explains that this page provides resources, reporting information, and webinar recordings for all Stage 1 SMART Grant recipients. It also mentions that grant recipients may find resources from the US DOT Project Delivery Center of Excellence useful. A note states that Stage 2 recipients should NOT use the resources and documents on this page. At the bottom, there is a section for 'Resources from SMART' with a link to 'For grant recipients, the Strengthening Mobility and Revolutionizing Transportation (SMART) Grants Programs'.

# Post Award

Now that your Assistance Agreement has been executed, your Grants Management Specialist will review your award requirements.

- SMART Award Starting Points to Remember
  - Your project has been assigned to a Grants Management Specialist and will be assigned to a Subject Matter Expert (SME) based on your project type.
  - **Always include your SMART award number in communication and reporting.**
  - Be sure to include your Principal Investigator/Project Director on all emails.
  - Both Program and Financial reporting is required.

# Post Award: Assistance Agreement

Award Number is located in box #1.

- Award Number/FAIN/Delphi PO Number are all the same.

Period of Performance (POP) is located in box #7.

ASSISTANCE AGREEMENT			
1. Award No. 69A355254XXXX	2. Modification No.	3. Effective Date 05/15/2025	4. CFDA No. 20.941
5. Awarded to	6. Sponsoring Office OFFICE OF THE SECRETARY Off of Asst Sec for Research & Tech 1200 New Jersey Avenue, East Building, 3rd Washington DC 20590		7. Period of Performance 05/15/2025 through 11/14/2026

# Post Award

Along with your grant agreement, you received the following documentation:

1. Reporting Requirements Checklist
  - a) Contains all report types, links, and due dates.
2. Articles 1-6
3. Articles 7-30
4. SMART Exhibits

Please be sure to share these documents including the grant agreement with all team members and those in your organization who need the information.

# Post Award: Reporting Requirements Checklist

## Reporting Requirements Checklist

Contains all requirements including types of reports, due dates, and links to forms.

**REPORTING REQUIREMENTS AND DUE DATES**  
Version Date: May 09, 2025

**1. Milestone Progress Performance Report (MPPR)**

- Quarterly, no later than 30 days after the reporting period end date. (Reporting period end dates are 3/31, 6/30, 9/30, and 12/31).
- Link to complete the report:  
[https://forms.office.com/pages/responsepage.aspx?id=WyTNxPBEIUOhqjhI0lj3i\\_WilbptwIVPiq7KQbn3D01UOVRLRjVKSzBLR1YwWjQOMzMwUjRTN1UyUiQIQCN0PWcu](https://forms.office.com/pages/responsepage.aspx?id=WyTNxPBEIUOhqjhI0lj3i_WilbptwIVPiq7KQbn3D01UOVRLRjVKSzBLR1YwWjQOMzMwUjRTN1UyUiQIQCN0PWcu)
- While you might not have detailed milestones to include in your first Q-MPPR, it is recommended that you complete the report to the best of your ability. Additional details can be included in the future Q-MPPR's.

**2. Federal Financial Reports (FFRs)**

- Quarterly, no later than 30 days after the reporting period end date. (Reporting period end dates are 3/31, 6/30, 9/30, and 12/31).
- Final, no later than 120 days from award expiration date.
- Submit to:  
[smartreports@dot.gov](mailto:smartreports@dot.gov)

**3. Request for Reimbursement**

- You shall not submit request for reimbursement invoices more frequently than monthly.
- Link to submit:  
<https://einvoice.esc.gov/>
- Additional information:  
Delphi access must be requested by the person who will be submitting the Invoices.

- Milestone Progress Report
- Federal Financial Reports
- Request for Reimbursement
- Evaluation Plan
- Data Management Plan
- Implementation Report

## Post Award: National Environmental Policy Act (NEPA)

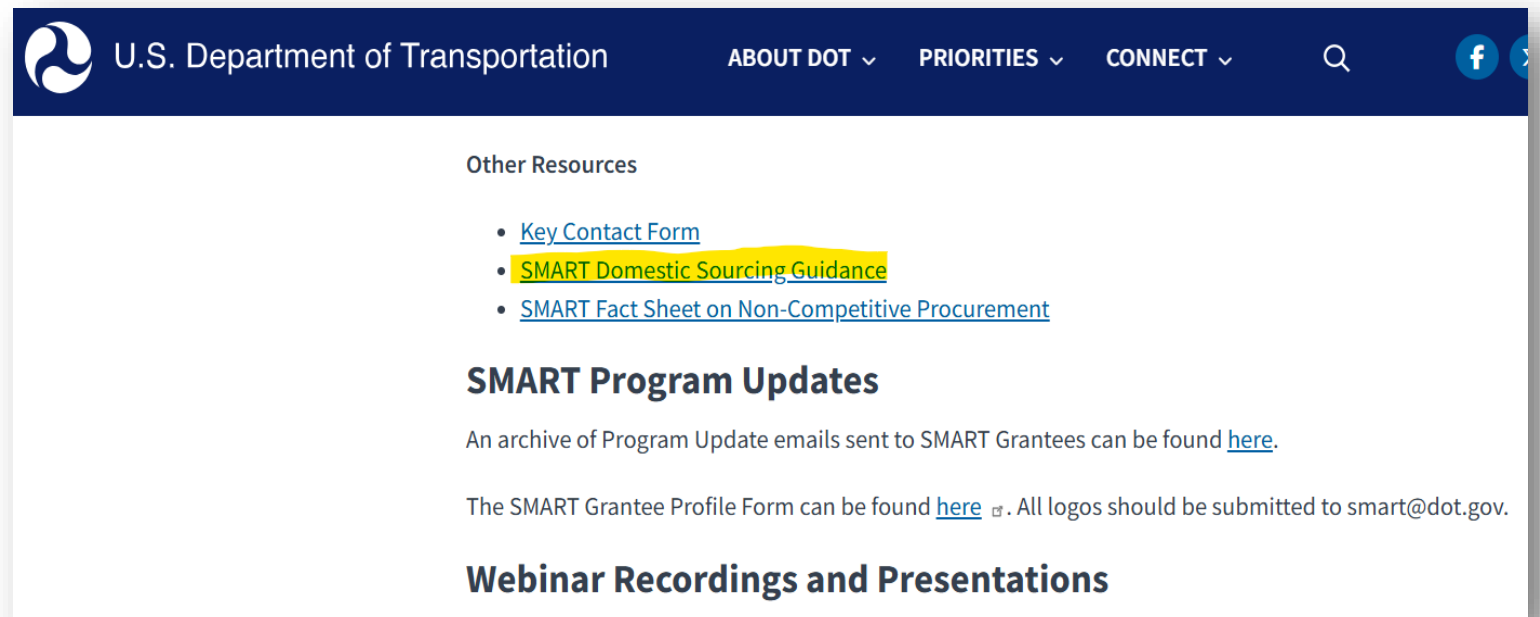
- If applicable, you **MAY NOT** expend any of the fund, even if your Financial Assistance Agreement has been executed, on final design, construction, or other activities that represent an irretrievable commitment of resources unless and until you receive a formal confirmation that your project is in compliance with the National Environmental Policy Act (NEPA).
- The NEPA Office will review your project for determination.
- The SMART Program Office will formally notify you once the NEPA review is completed.

# Post Award: Build America Buy America (BABA)

Your project may also be subject to BABA regulations.

The SMART Program Office will formally notify you once your project has been deemed a Project for Infrastructure, Non-Infrastructure, or both.

[SMART Domestic Sourcing Guidance.pdf](#)



The screenshot shows the top navigation bar of the U.S. Department of Transportation website. The navigation bar includes the DOT logo, the text "U.S. Department of Transportation", and menu items for "ABOUT DOT", "PRIORITIES", and "CONNECT". A search icon and social media icons for Facebook and Twitter are also present.

Below the navigation bar, the "Other Resources" section is displayed, featuring a list of links:

- [Key Contact Form](#)
- [SMART Domestic Sourcing Guidance](#)
- [SMART Fact Sheet on Non-Competitive Procurement](#)

The "SMART Program Updates" section follows, with the heading "SMART Program Updates" and the text: "An archive of Program Update emails sent to SMART Grantees can be found [here](#)."

Below this, it states: "The SMART Grantee Profile Form can be found [here](#) or [here](#). All logos should be submitted to smart@dot.gov."

The "Webinar Recordings and Presentations" section is partially visible at the bottom of the screenshot.

# 90 Day Program Reporting

All SMART projects are required to complete the Data Management Plan (DMP) and the baseline Evaluation Plan (EP) within 90 days.

1. Data Management Plan (DMP) – The objectives of the DMP are to fulfill the reporting requirements and in accordance with the USDOT Public Access Plan, help prepare you for the implementation report and provide access to data so others may learn from your project.

2. Evaluation Plan (EP) – The objective of the Evaluation Plan is to help prepare you for the Implementation Report.

These reports will help you build your Draft Implementation Report (DIR). Please follow the guidance provided.

# 90 Day Reporting: Data Management Plan (DMP)

- Data Management Plan: due 90 days after the Period of Performance start date.

[Writing your DMP - SMART Grants: DMP Guidance - LibGuides at National Transportation Library](#)

[Finalizing your Project - SMART Grants: DMP Guidance - LibGuides at National Transportation Library](#)

Bureau of Transportation Statistics  
National Transportation Library

National Transportation Library / LibGuides / SMART Grants: DMP Guidance / Writing your DMP

SMART Grants: DMP Guidance: Writing your DMP

Guidance and Questions to support SMART Grant researchers

Writing your DMP | Finalizing your Project

## National Transportation Library

### SMART Grants Data Management Plan Guidance

SMART Grants DMP Guidance

The National Transportation Library SMART Grants Data Management Plan Guidance page is designed to assist SMART Grant recipients with common issues that occur when creating Data Management Plans (DMPs) and fulfilling the Department of Transportation's Public Access Requirements. This guide is comprehensive, organized, accessible, and preserved for future use. This not only enhances the reproducibility in scientific research. The Data Management Plans you create help meet the Department of Transportation Requirements.

Use the Navigation Buttons below to quickly navigate this guide.

Guide Navigation

- Data Management Plans
- Using the DMPTool
- Text to Reuse for Your DMP
- Request Feedback from NTL
- DCAT-US Metadata
- Proprietary VS. Open/Nonproprietary
- Conformant Repositories
- Persistent Identifiers



# 90 Day Reporting: Data Management Plan (DMP)

- Key takeaways:
  - Do not share any data that you do not have permission to share (i.e. PII). If that is the case, document that there is a missing data set and why, in your DMP.
  - You may (and should) update your DMP as you package your data and store it in an appropriate repository.
  - Remember to request feedback in the DMP Tool and email your Grants Management Specialist a screenshot when complete.

# 90 Day Reporting: Evaluation Plan (EP)

- The purpose of the Evaluation Plan (EP) is to assess the impacts and benefits of your project.
- The EP is due 90 days after the Period of Performance start date.

## [SMART Grant Recipient Guidance: Evaluation Plan | US Department of Transportation](#)

### STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM GRANT RECIPIENT REPORTING GUIDANCE

#### Stage 1 Evaluation Plan Guidance

The purpose of this guidance is to assist grant recipients in developing their Stage 1 Evaluation Plan for the Strengthening Mobility and Revolutionizing Transportation (SMART) grant program.

Grant recipients are not required to use this guidance, though it is highly recommended. The objective of the Evaluation Plan is to help prepare you for the Implementation Report. The USDOT intends to use information from both the grant recipients' Evaluation Plans and Implementation Reports to prepare the required program-level reports on the effectiveness of the grant recipients in meeting the original expectations projected in their grant applications.

#### Reporting Requirement:

The SMART grant agreement states that Stage 1 grant recipients must submit an Evaluation Plan that provides:

- an overview of how the proof-of-concept or prototype will be evaluated
- a description of the anticipated impact areas (i.e., goals) of the project if implemented at scale and the methods that will be used to estimate the anticipated benefits and costs associated with implementation
- robust performance metrics and measurable targets based on the project goals to inform whether the proof-of-concept or prototype meets expectations and whether full implementation would meet program goals



# Quarterly Reporting

All SMART projects are required to complete quarterly Milestone Progress Reports and Federal Financial Reports (SF-425).

- 1. The Milestone Progress Report** - The role of Milestone Progress Report is to assess the impacts, progress and benefits of your project, including lessons learned during the reporting period.
- 2. Federal Financial Report (FFR)** – A Federal Financial Report is a statement of expenditures associated with a grant. Recipients of federal funds are required to report the status of funds for grants or assistance agreements to the sponsor of the grant using the Federal Financial Report expenditure data.

# Quarterly Reporting: Due Dates

## Quarterly Report Due Dates

- No later than 30 days after the reporting period end date.

Reporting Period End Date	Submission Deadline
March 31	April 30
June 30	July 31
September 30	October 31
December 31	January 31

- **PLEASE** share these dates, forms & deadlines with your **ENTIRE** Team, your grants management, finance department, your contractors if they are reporting, & anyone else that may be reporting on your SMART award.
- Always refer to the *Reporting Requirements Checklist* sent with your Assistance Agreement.

# Quarterly Reporting: Milestone Progress Report

## USDOT SMART Progress Reporting Form

The Bipartisan Infrastructure Law (BIL) established the Strengthening Mobility and Revolutionizing Transportation (SMART) discretionary grant program in order for eligible public sector agencies to conduct demonstration projects focused on advanced smart community technologies and systems. Grant-funded projects should improve transportation efficiency and safety.

If you reached this page, you are a grant recipient responsible for reporting. Quarterly reporting periods end on 3/31, 6/30, 9/30, and 12/31, regardless of budget period start dates. Deadlines for quarterly and semi-annual reports are no later than 30 days after the end of the reporting period.

\* Required

### Awardee Information

1. Lead Applicant Name \*

Please select your lead applicant name below. If your organization has more than one project, please ensure you are selecting the right option.

Select your answer

2. Project Cluster \*

Rail and Transit Automation

Sensors

Smart Grid

Smart Traffic Signals

Transit Innovation

UAS

- Use [USDOT SMART Progress Reporting Form \(Page 1 of 3\)](#)
- Once complete, the form will be automatically submitted to the SMART team.
- Refer to [SMART Milestone Progress Report Template | US Department of Transportation](#) on the SMART website for further information.

## SMART Quarterly Progress Reports

This is a word document version of the questions required for the SMART Quarterly Progress Report. It is intended to allow you to assemble and fill your responses prior to submitting them through the web form, and to save a copy of your responses. **You must still submit your quarterly reports through the online form (<https://forms.office.com/g/0xwFNfBC5Z>) to comply with the program's reporting requirements.**

*The Bipartisan Infrastructure Law (BIL) established the Strengthening Mobility and Revolutionizing Transportation (SMART) discretionary grant program in order for eligible public sector agencies to conduct demonstration projects focused on advanced smart community technologies and systems. Grant-funded projects should improve transportation efficiency and safety.*

*If you reached this page, you are a grant recipient responsible for reporting. Quarterly reporting periods end on 3/31, 6/30, 9/30, and 12/31, regardless of budget period start dates. Deadlines for quarterly and semi-annual reports are no later than 30 days after the end of the reporting period.*

**Lead Applicant Name** (Name of the entity that received the grant)

**Project Cluster** (Name of the project type/cluster that you have been assigned to for technical

# Quarterly Reporting: Federal Financial Reports (FFRs) SF-425

[View Burden Statement](#) **Federal Financial Report** OMB Number: 4040-0014  
(Follow form Instructions) Expiration Date: 02/28/2025

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
[Redacted]		[Redacted]	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: [Redacted]			
Street1: [Redacted]		Street2: [Redacted]	
City: [Redacted]		County: [Redacted]	
State: [Redacted]		Province: [Redacted]	
Country: USA: UNITED STATES		ZIP / Postal Code: [Redacted]	
4a. UEI	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
[Redacted]	[Redacted]	[Redacted]	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: [Redacted] To: [Redacted]	[Redacted]
10. Transactions			Cumulative
(Use lines a-c for single or multiple grant reporting)			
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts			0.00
b. Cash Disbursements			0.00
c. Cash on Hand (line a minus b)			0.00

## Federal Financial Reports (FFRs) SF-425

- Use [Standard Form 425](#)
- Submit to: [smartreports@dot.gov](mailto:smartreports@dot.gov) (copy GMS on the email)
- Refer to [Resources for all grantees](#) on the SMART website for further information.

# Delphi Set Up

## New Users to DOT and/or DELPHI

Are you new to DOT?

Will this be your first time using DELPHI?

Send an email to your grant specialist to initiate the process to create a Delphi account. The information required is in your Reporting Requirements Checklist found in your Award package. See email template on the next slide.

## Existing DELPHI Users

Are you a new SMART awardee?

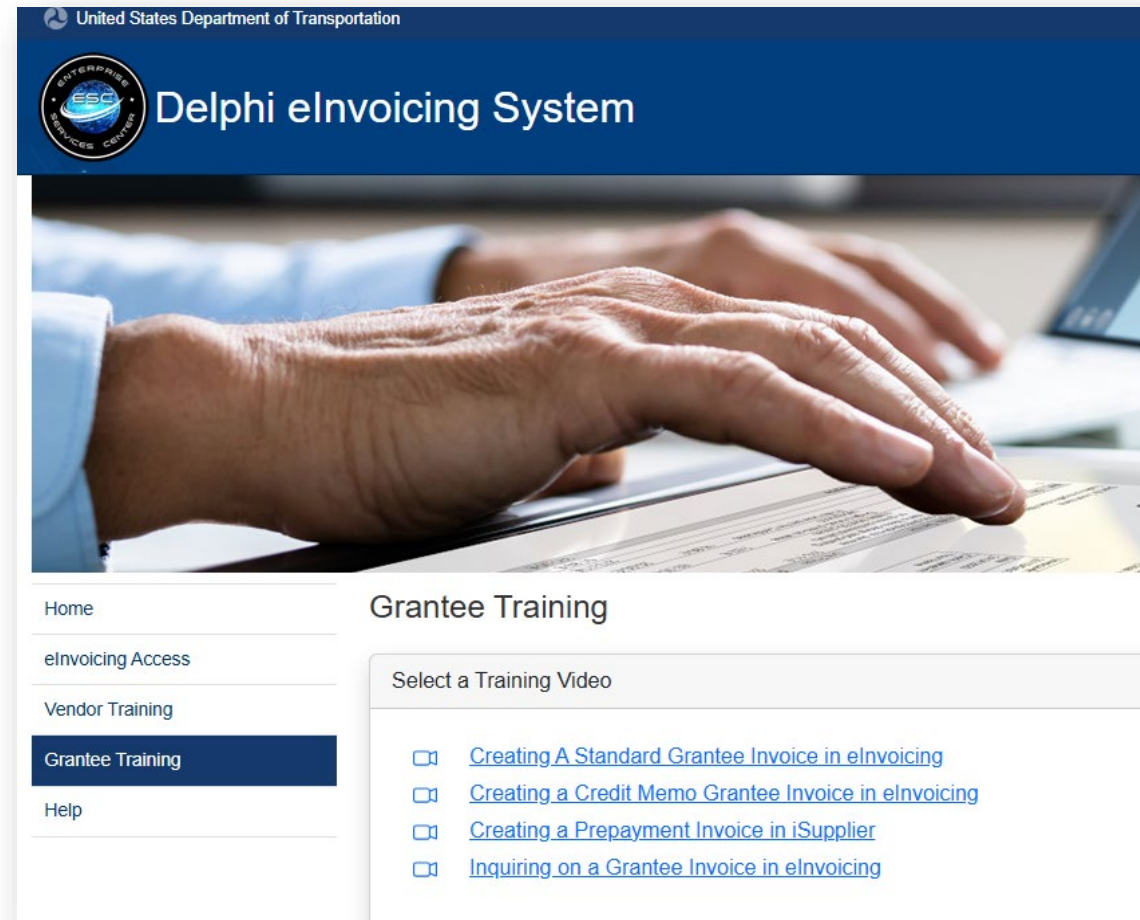
If you need to add a new user, see email template on the next slide.

# Delphi Set Up: Adding New Users

- Delphi access must be requested by the person who will be submitting the Invoices.
- Those new to Delphi and/or DOT, or if you are adding new users to an existing account, must notify your SMART Grant Manager, and provide the information in the exact format below:
  - *PO NUMBER (your award number):*
  - *Company Name:*
  - *First and Last Name (individual submitting invoices):*
  - *Email Address:*
  - *Agency: OST*

# Delphi Set Up: Tutorials

- Delphi provides a tutorial for submitting reimbursement requests here: [ESC: Delphi eInvoicing System - Home](#)



The screenshot displays the Delphi eInvoicing System homepage. At the top, it features the United States Department of Transportation logo and the ESC (Enterprise Services Center) logo. The main heading is "Delphi eInvoicing System". Below the heading is a photograph of hands typing on a laptop keyboard. A navigation menu on the left includes links for Home, eInvoicing Access, Vendor Training, Grantee Training (which is highlighted), and Help. The main content area is titled "Grantee Training" and contains a section "Select a Training Video" with four video links: "Creating A Standard Grantee Invoice in eInvoicing", "Creating a Credit Memo Grantee Invoice in eInvoicing", "Creating a Prepayment Invoice in iSupplier", and "Inquiring on a Grantee Invoice in eInvoicing".

# Reimbursement Requests: SF-270 for the SMART Grant

- **Request for Reimbursement SF-270**
- You shall not submit request for reimbursement invoices more frequently than monthly.
- Use Standard Form 270 (found on grants.gov)
- Link to submit: <https://einvoice.esc.gov/>

OMB Number: 4040-0012  
Expiration Date: 01/31/2025

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>		1. TYPE OF PAYMENT REQUESTED		2. BASIS OF REQUEST	
		a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT		<input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL	
		b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL			
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED			4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY		
<input type="text"/>			<input type="text"/>		
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST	6. EMPLOYER IDENTIFICATION NUMBER	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
8. PERIOD COVERED BY THIS REQUEST					
From: <input type="text"/> To: <input type="text"/>					
9. RECIPIENT ORGANIZATION Name: <input type="text"/>					
<b>11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED</b>					
PROGRAMS/FUNCTIONS/ACTIVITIES	(a)	(b)	(c)	TOTAL	
a. Total program outlays to date (As of date) <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/> 0.00	
b. Less: Cumulative program income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	
c. Net program outlays (Line a minus line b)	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	
d. Estimated net cash outlays for advance period	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	
e. Total (Sum of lines c & d)	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	
f. Non-Federal share of amount on line e	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	
g. Federal share of amount on line e	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	
h. Federal payments previously requested	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00	
i. Federal share now requested (Line g minus line h)	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	<input type="text"/> 0.00	
j. Advances required by month, when requested by Federal	1st month	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> 0.00

# Reimbursement Requests: Documentation

*Required with every submission*

1. SF-270 Request for Advance or Reimbursement.
2. Invoice from your organization to DOT-OST.
3. Invoices and proof of payment.
4. Expenditure Summary Spreadsheet.

*Notes on the SF-270*

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>	1. TYPE OF PAYMENT REQUESTED	a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input checked="" type="checkbox"/> REIMBURSEMENT	2. BASIS OF REQUEST <input checked="" type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL
		b. "X" the applicable box <input checked="" type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED Department of Transportation - OST		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY 69AXXXXXXXXXXX	
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST	6. EMPLOYER IDENTIFICATION NUMBER XX-XXXXXXX	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER 69AXXXXXXXXXXX	
8. PERIOD COVERED BY THIS REQUEST - This should cover when the work was performed, not when payment was made. From: <input type="text"/> To: <input type="text"/>			

# Quarterly Check-ins

Once a quarter, your Grants Management Specialist will check-in with you regarding some of the following:

- spending progress (budget vs. actual),
- review of SF-425 reporting,
- procurement questions, and
- any other financial questions you may have.
- Milestone Progress Reporting



# Draft & Final Implementation Reports

- The purpose of the Implementation Report (IR) is to assess the impacts and benefits of your project.

Draft Implementation Report	1 Year after start of POP
Final Implementation Report	60 Days after end of POP if applying to Stage 2 120 days after end of POP otherwise

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM  
REPORTING TEMPLATES

### Stage 1 Implementation Report Guidance

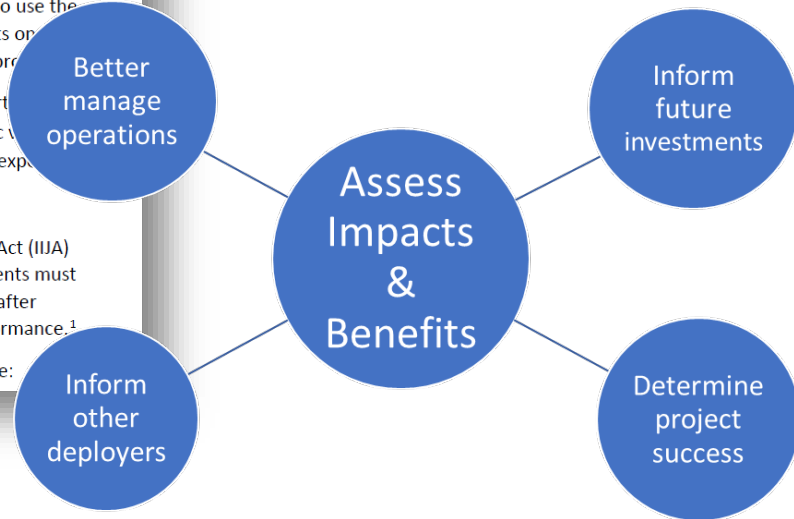
The purpose of this guidance is to assist grant recipients in developing their Implementation Report, as required for the Strengthening Mobility and Revolutionizing Transportation (SMART) Stage 1 grant program. While not all grant recipients will require Stage 2 funding for at-scale implementation, this report could function as a blueprint for future proposals.

Following this guidance, while not required, is highly recommended, as the USDOT intends to use the information from the Implementation Reports to prepare the required program-level reports on the effectiveness of the grant recipients in meeting the original expectations projected in their project evaluation plan. The information you have provided in the evaluation plan, data management plan, and quarterly reports should help you prepare this report. However, reflect on the experience to provide a holistic view of the project, your accomplishments, the challenges ahead, and what you have learned from the experience.

**Reporting Requirement:**

In accordance with the requirements established in the Infrastructure Investment and Jobs Act (IIJA) (Public Law 117-58 Sec 25005), the SMART grant agreement states that Stage 1 grant recipients must submit an Implementation Report. A draft report shall be submitted no later than one year after receiving the grant, and the final report shall be submitted by the end of the period of performance.<sup>1</sup>

Per the grant agreement, grant recipients must submit implementation reports that describe:



# Questions?

**Thy H. Nguyen**  
Lead Grants Management Specialist/  
Grants Agreement Officer  
Thy.Nguyen@dot.gov

**Raine Pike**  
Grants Management Specialist  
Raine.Pike@dot.gov

**Alfreda Johnson**  
Grants Management Specialist  
Alfreda.Johnson@dot.gov

## SUMMIT OFFICE HOURS

Day 2: Thursday, July 31<sup>st</sup>

Office Hours: 12:30pm-1:30pm - Table 1 Atrium Hallway



# SMART

Closeout Process



SMART

## ***SMART Program Staff***

**Stanley Caldwell**

SMART Grants Program Director

**Thy Nguyen**

Lead Grants Management Specialist/Agreement Officer

**Alfreda Johnson**

Grants Management Specialist

**Raine Pike**

Grants Management Specialist



**Official Closeout Notification Letter**



**Closeout Requirements**



**Stage 2 NOFO**

- The Closeout Letter alerts Grantees to pending closeout around 30 days prior to the end of their POP, or Period of Performance, and will be sent by your Grants Management Specialist.



**US Department of Transportation**  
**Office of the Assistant Secretary for Research & Technology**

**SMART** Program

1200 New Jersey Avenue, SE. 3<sup>rd</sup> flr.  
Washington, DC 20590  
855-368-4200

Dear, SMART Grantee,

According to our records, your SMART project Award #69A3552340000 is going to expire on 9/15/2025. Per Award Terms & Conditions, you are required to submit the following FINAL reports:

1. Implementation report
2. Financial report (SF-425)
3. Disclosure of Lobbying Activities (SF-LLL)

Additionally, you are required to submit the following documents, as applicable:

1. Tangible Personal Property Report forms (SF-428, SF-428B, SF-428C)
2. Real Property Status Report (SF-429, SF-429A, SF-429C)

Please be advised that:

## Required Documents & Reports : Due within 120 days

- Final FFR SF-425
- Disclosure of Lobbying Activities (SF-LLL)
- Tangible Personal Property report forms (SF-428, SF-428B, SF-428C)
- Real Property Status Report (SF-429, SF-429A, SF-429C)
- Most recent Financial audit
- Finalized Data Management Plan
- Final Implementation Report (within 60 days if applying to Stage 2)

Submit to: [smartreports@dot.gov](mailto:smartreports@dot.gov) **with a copy to** your Grants Management Specialist

View Burden Statement **Federal Financial Report** OMB Number: 4040-0014  
 (Follow form Instructions) Expiration Date: 02/28/2025

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
[Redacted]		[Redacted]	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: [Redacted]			
Street1: [Redacted]			
Street2: [Redacted]			
City: [Redacted]		County: [Redacted]	
State: [Redacted]		Province: [Redacted]	
Country: USA: UNITED STATES		ZIP / Postal Code: [Redacted]	
4a. UEI	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
[Redacted]	[Redacted]	[Redacted]	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: [Redacted] To: [Redacted]	[Redacted]
10. Transactions			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
Federal Cash (To report multiple grants, also use FFR attachment):			
a. Cash Receipts			0.00
b. Cash Disbursements			0.00
c. Cash on Hand (line a minus b)			0.00

- Use [Standard Form 425](#)
- You must RECEIVE your final reimbursement from Delphi before filling this form.

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

OMB Number: 4040-0013  
Expiration Date: 02/28/2025

Review Public Burden Disclosure Statement

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input checked="" type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name <input type="text"/> * Street 1 <input type="text"/> Street 2 <input type="text"/> * City <input type="text"/> State <input type="text"/> Zip <input type="text"/> Congressional District, if known: <input type="text"/>		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b> <input type="text"/>		
<b>6. * Federal Department/Agency:</b> <input type="text"/>	<b>7. * Federal Program Name/Description:</b> <input type="text"/> CFDA Number, if applicable: <input type="text"/>	
<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>	

- Be sure to mark your form “post-award”
- Sign and date at the bottom

**TANGIBLE PERSONAL PROPERTY REPORT  
SF- 428**

OMB Number: 4040-0018  
Expiration Date: 12/31/2027

1. Federal Agency and Organizational Element to Which Report is Submitted

2. Federal Grant or Other Identifying Number Assigned by Federal Agency

3a. UEI

3b. EIN

4. Recipient Organization (Name and complete address including zip code)

Recipient Organization Name:

Street1:

Street2:

City:

State:

Country: USA: UNITED STATES

ZIP / Postal Code:

5. Recipient Account or Identifying Number

6. Attachment (Check applicable)

7. Supp

8. Comments

9a. Typed or Printed Name and Title of Authorized Certifying Official

Prefix: First Name: Middle Name:

Last Name: Suffix:

Title:

**TANGIBLE PERSONAL PROPERTY REPORT  
Final Report SF-428-B**

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).

**1. Report (Select all that apply)**

- a. Federally-owned Property (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2c below)
- b. Acquired Equipment with acquisition cost of \$10,000 or more for which the awarding agency has transfer title (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2c below)
- c. Residual Unused Supplies with total aggregate fair market value exceeding \$10,000 not needed sponsored programs or projects (Complete Section 2c below)
- d. None of the above

**2. Complete relevant section(s)**

**2a. Federally-owned Property (Select one or more).**

- (i) Request transfer to Award
- (ii) Request Federal Agency disposition instructions

**For Agency Use**

Agency response to requested disposition of Federally owned property:

(i) Recipient request approved

(ii) Dispose in accordance with attached instructions:

Agency response to requested disposition of acquired equipment:

(i) Recipient request approved

(ii) Dispose in accordance with attached instructions:

Authorized Awarding Agency Official:

Signature: Date:

Name: Phone:

Title: E-Mail:

**TANGIBLE PERSONAL PROPERTY REPORT  
Disposition Request/Report SF-428-C**

OMB Number: 4040-0018  
Expiration Date: 12/31/2027

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).

**1. Request Disposition Instructions for:**

**a. Federally-owned Property**

- (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
- (i) Request Federal Agency disposition instructions
  - (ii) Other (Specify in Block 4 "Comments" or attach request)

**b. Equipment Acquired under a Federal Award, as instructed by the Federal agency.**

- (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
- (i) Request approval to retain, sell, or otherwise dispose of equipment with a current per unit fair market value of \$10,000 or less with no further obligation to the Federal awarding agency. Contact the awarding agency to determine if this form is required for items with a fair market value of \$10,000 or less.
  - (ii) Request approval, and compensate the Federal awarding agency

**For Agency Use Only**

Agency response to requested disposition of Federally owned property:

(i) Recipient request approved

denied

(ii) Dispose in accordance with attached instructions:

Agency response to requested disposition of acquired equipment:

(i) Recipient request approved

denied

(ii) Dispose in accordance with attached instructions:

Authorized Awarding Agency Official:

Signature: Date:

Name: Phone:

Title: E-Mail:

SF- 428 Family Forms: Use these forms for the following:

- Acquired Equipment with acquisition cost of \$10,000 or more
- Residual Unused Supplies with total aggregate fair market value exceeding \$10,000
- Disposition Request
- Fill SF-428 even if NO Tangible Personal Property was acquired

**REAL PROPERTY STATUS REPORT SF-429  
(COVER PAGE)**

OMB Numb  
Expiration Da

1. Federal Agency and Organizational Element to Which Report is Submitted:	2. Federal Grant(s) or Other Identifying Number(s) Assigned by Federal Agency(ies):	
3. Recipient Organization (name and complete address including zip code):		
Recipient Organization Name:		
Street1:		
Street2:		
City:	County:	
State:	Province:	
Country: USA: UNITED STATES	ZIP / Postal Code:	
4a. UEI:	4b. EIN:	5. Recipient Account or Identifying Number:
6. Contact Person for this Report:		
Prefix:	First Name:	Middle Name:
Last Name:	Suffix:	
Email:		
Phone:	Fax:	

**Real Property Status Report  
ATTACHMENT A (General Reporting) SF-429-A**

OMB Number:  
Expiration Date:

Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page)	
Complete the applicable blocks below for each parcel of real property being reported (duplicate this page to provide information for parcel of real property being reported under the Federal financial assistance award identified in section 2):	
13. Period and type of Federal Interest (MM/DD/YYYY): From: To:	
<input type="checkbox"/> Acquisition <input type="checkbox"/> Renovation <input type="checkbox"/> Construction <input type="checkbox"/> Government Furnished Property	
14a. Description of Real Property:	
14b. Address of Real Property (legal description and complete address including zoning information):	
Street1:	
Street2:	
City:	County:
State:	Province:
Country:	ZIP / Postal Code:
Zoning Information:	
GPS Location Longitude:	GPS Location Latitude:
14c. Land Acreage or Square Units:	14d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.):
Enter Amount:	Enter Amounts:
Select units: <input type="checkbox"/> Acres <input type="checkbox"/> Square Feet	Gross <input type="checkbox"/> Usable <input type="checkbox"/>

**Real Property Status Report  
ATTACHMENT C  
(Disposition or Encumbrance Request) SF-429-C**

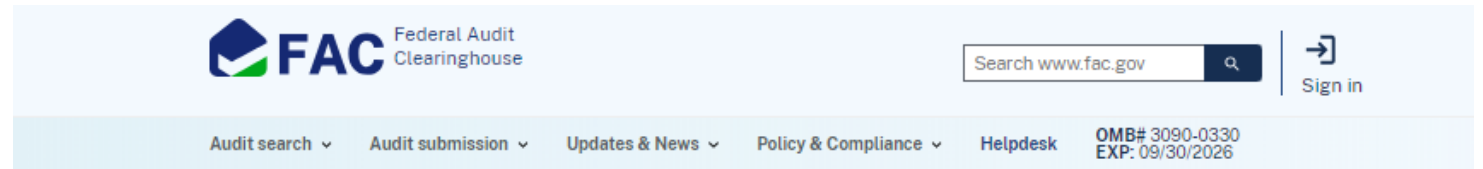
OMB Number: 4040-0016  
Expiration Date: 02/28/2025

Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page)	
Complete the applicable blocks below for each parcel of real property for which you are seeking disposition or other instructions (duplicate this page to provide information for each parcel of real property under the Federal financial assistance award identified in section 2). If a section does not apply, enter "N/A":	
13a. Description of Real Property:	
13b. Address of Real Property (legal description and complete address including zoning information):	
Street1:	
Street2:	
City:	County:
State:	Province:
Country:	ZIP / Postal Code:
Zoning Information:	
GPS Location Longitude:	GPS Location Latitude:
13c. Land Acreage or Square Units:	13d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.):
Enter Amount:	Enter Amounts:
Select units: <input type="checkbox"/> Acres <input type="checkbox"/> Square Feet	Gross <input type="checkbox"/> Usable <input type="checkbox"/>
<input type="checkbox"/> Square Kilometers <input type="checkbox"/> Square Meters	Select units: <input type="checkbox"/> Square Feet <input type="checkbox"/> Square Meters

SF- 429 Family Forms: Use these forms for the following:

- **Cover page (SF-429):** This is your cover page only
- SF-429A: complete for each parcel of real property being reported
- SF-429C: Disposition Request
- Fill SF-429 (Cover Page) even if NO Real Property was acquired

Please provide a copy of your most recent financial audit.



**The Federal Audit Clearinghouse (FAC) is the place to submit and review federal grant audits.**

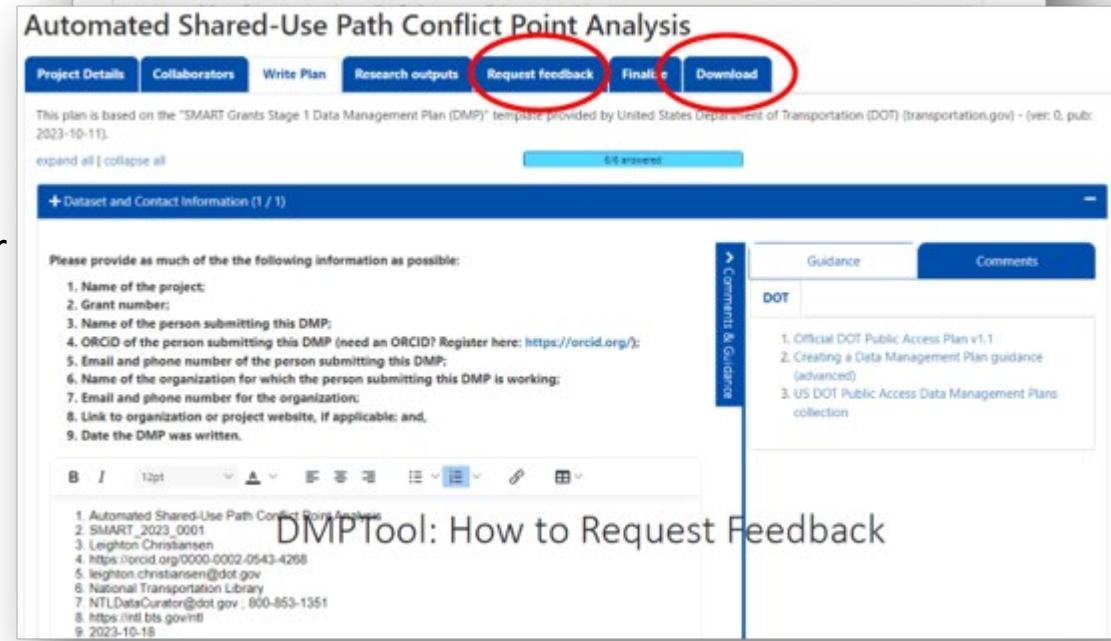
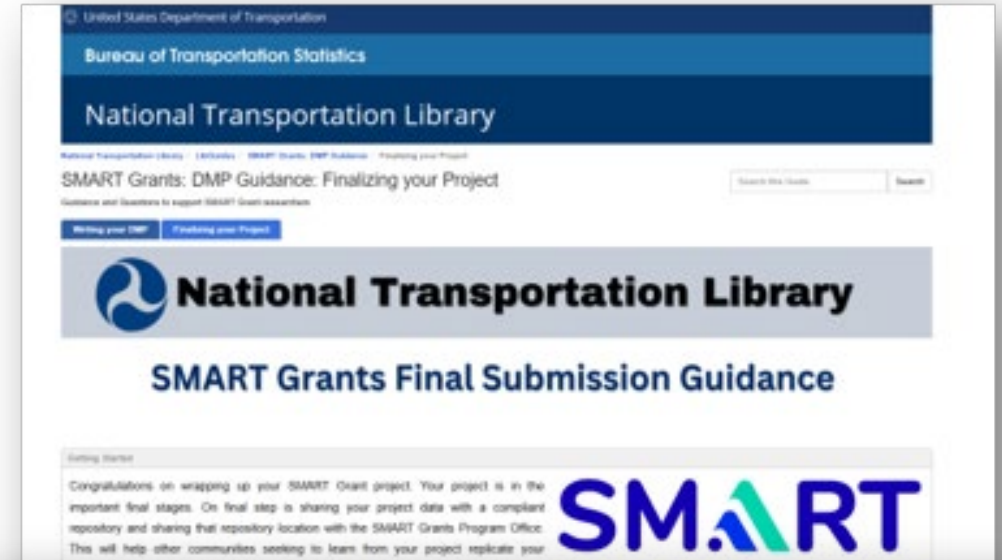
## [Finalizing your Project - SMART Grants: DMP Guidance - LibGuides at National Transportation Library](#)

This guide is comprehensive, containing various topics that will assist when writing DMPs, creating metadata, and preparing and submitting for publication.

1. Once all sections are Saved, click on the “Request Feedback” Tab.

2. Download a copy for your records.

3. Your Data should be live and publicly accessible within 120 days post POP.



DMPTool: How to Request Feedback

# Completing the Final Implementation Report

Due Date	60 Days after end of POP if applying to Stage 2. 120 days after end of POP otherwise.
----------	--

- Follow the provided guidance.
- Submit to [smartreports@dot.gov](mailto:smartreports@dot.gov) with a copy to your Grants Management Specialist.

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM  
REPORTING TEMPLATES

### Stage 1 Implementation Report Guidance

The purpose of this guidance is to assist grant recipients in developing their Implementation Report, as required for the Strengthening Mobility and Revolutionizing Transportation (SMART) Stage 1 grant program. While not all grant recipients will require Stage 2 funding for at-scale implementation, this report could function as a blueprint for future proposals.

Following this guidance, while not required, is highly recommended, as the USDOT intends to use the information from the Implementation Reports to prepare the required program-level reports on the effectiveness of the grant recipients in meeting the original expectations projected in their proposals.

The information you have provided in the evaluation plan, data management plan, and quarterly reports should help you prepare this report. However, reflect on the experience to provide a holistic view of the project, your accomplishments, the challenges ahead, and what you have learned from the experience.

Reporting Requirement:

In accordance with the requirements established in the Infrastructure Investment and Jobs Act (IIJA) (Public Law 117-58 Sec 25005), the SMART grant agreement states that Stage 1 grant recipients must submit an Implementation Report. A draft report shall be submitted no later than one year after receiving the grant, and the final report shall be submitted by the end of the period of performance.<sup>1</sup>

Per the grant agreement, grant recipients must submit implementation reports that describe:

## Archiving and Preservation Plan:

### ➤ Public Access for Research Data

- Recipients must comply with the US DOT Public Access Plan, meaning, among other requirements, **project data must be shared with the public**, if possible, either by the researchers or by US DOT.

### ➤ Conformant Repositories and Persistent Identifiers

- The final data should be deposited into a publicly accessible repository (no payment requirements).
- Provide persistent identifiers or captures them if you personally provide one to the data.
- The repository should support the capture and provision of the US Federal Government DCAT-US Metadata Schema.
  - Pre-approved data repositories: <https://doi.org/10.21949/1520566>.
    - All data repositories on this list meet the Persistent Identifiers and DCAT-US requirement, so if you select one of them you would only need to add a brief sentence, such as “The repository \_\_\_\_\_ does provide persistent identifiers to their published data and supports the capture and provision of the DCAT-US Metadata Schema.”

## *The Report Must Provide*

- Initial evaluation findings including the performance measurement data.
- Anticipated benefits and costs of scale.
- Challenges, lessons learned, and recommendations.
- Assessment of the feasibility of scaling.
- An analysis of the successes, challenges, and validity of the initial approach.

## *Building the Report*

- The final report should have 7 parts. Follow the updated guidance that will be provided to you in the closeout email.
- Assume your reader is not familiar with the project but has a high-level understanding of the technologies.
- Use language from your evaluation plan, proposal, and draft implementation report but review the text and adjust for this context.

- **USDOT anticipates that the FY25 Stage 2 NOFO will open in Fall 2025**
- **In last Stage 2 competition:**
  - Draft Implementation Reports (DIRs) were assessed by DOT SMEs.
  - DIR assessments were reviewed by Evaluation team.
  - DIRs were due by close of NOFO period.
- **USDOT anticipates that the FY26 Stage 2 NOFO will open in Summer/Fall 2026**
  - These are expected to be the final two NOFOs of the program

**Thy H. Nguyen**  
**Lead Grants Management Specialist/  
Grants Agreement Officer**  
**Thy.Nguyen@dot.gov**

**Raine Pike**  
**Grants Management Specialist**  
**Raine.Pike@dot.gov**

**Alfreda Johnson**  
**Grants Management Specialist**  
**Alfreda.Johnson@dot.gov**

## **SUMMIT OFFICE HOURS**

**Day 2: Thursday, July 31<sup>st</sup>**

**Office Hours: 12:30pm-1:30pm - Table 1 Atrium Hallway**



# SMART

Closeout Process



SMART

# THE SMART TEAM

## *SMART Program Staff*

### **Stanley Caldwell**

SMART Grants Program Director

### **Thy Nguyen**

Lead Grants Management Specialist/Agreement Officer

### **Alfreda Johnson**

Grants Management Specialist

### **Raine Pike**

Grants Management Specialist

# Agenda



**Official Closeout Notification Letter**



**Closeout Requirements**



**Stage 2 NOFO**

# Official Closeout Notification Letter

- The Closeout Letter alerts Grantees to pending closeout around 30 days prior to the end of their POP, or Period of Performance, and will be sent by your Grants Management Specialist.



US Department of Transportation  
Office of the Assistant Secretary for Research & Technology

**SMART** Program

1200 New Jersey Avenue, SE. 3<sup>rd</sup> flr.  
Washington, DC 20590  
855-368-4200

Dear, SMART Grantee,

According to our records, your SMART project Award #69A3552340000 is going to expire on 9/15/2025. Per Award Terms & Conditions, you are required to submit the following FINAL reports:

1. Implementation report
2. Financial report (SF-425)
3. Disclosure of Lobbying Activities (SF-LLL)

Additionally, you are required to submit the following documents, as applicable:

1. Tangible Personal Property Report forms (SF-428, SF-428B, SF-428C)
2. Real Property Status Report (SF-429, SF-429A, SF-429C)

Please be advised that:

# Closeout Requirements

## Required Documents & Reports : Due within 120 days

- Final FFR SF-425
- Disclosure of Lobbying Activities (SF-LLL)
- Tangible Personal Property report forms (SF-428, SF-428B, SF-428C)
- Real Property Status Report (SF-429, SF-429A, SF-429C)
- Most recent Financial audit
- Finalized Data Management Plan
- Final Implementation Report (within 60 days if applying to Stage 2)

Submit to: [smartreports@dot.gov](mailto:smartreports@dot.gov) **with a copy to** your Grants Management Specialist

# FINAL Federal Financial Report (FFR SF-425)

View Burden Statement

**Federal Financial Report**  
(Follow form Instructions)

OMB Number: 4040-0014  
Expiration Date: 02/28/2025

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
<input type="text"/>		<input type="text"/>	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: <input type="text"/>			
Street1: <input type="text"/>			
Street2: <input type="text"/>			
City: <input type="text"/>		County: <input type="text"/>	
State: <input type="text"/>		Province: <input type="text"/>	
Country: USA: UNITED STATES		ZIP / Postal Code: <input type="text"/>	
4a. UEI	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: <input type="text"/> To: <input type="text"/>	<input type="text"/>
10. Transactions			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
Federal Cash (To report multiple grants, also use FFR attachment):			
a. Cash Receipts			0.00
b. Cash Disbursements			0.00
c. Cash on Hand (line a minus b)			0.00

- Use [Standard Form 425](#)
- You must RECEIVE your final reimbursement from Delphi before filling this form.

# Final Disclosure of Lobbying Activities (SF-LLL)

<b>DISCLOSURE OF LOBBYING ACTIVITIES</b>		
Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352		
OMB Number: 4040-0013 Expiration Date: 02/28/2025		
<b>Review Public Burden Disclosure Statement</b>		
<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input checked="" type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name <input type="text"/> * Street 1 <input type="text"/> Street 2 <input type="text"/> * City <input type="text"/> State <input type="text"/> Zip <input type="text"/> Congressional District, if known: <input type="text"/>		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b> <input type="text"/> <input type="text"/> <input type="text"/>		
<b>6. * Federal Department/Agency:</b> <input type="text"/>	<b>7. * Federal Program Name/Description:</b> <input type="text"/> CFDA Number, if applicable: <input type="text"/>	
<b>8. Federal Action Number, if known:</b> <input type="text"/>	<b>9. Award Amount, if known:</b> \$ <input type="text"/>	

- Be sure to mark your form “post-award”
- Sign and date at the bottom

# Tangible Personal Property Forms

## TANGIBLE PERSONAL PROPERTY REPORT SF- 428

OMB Number: 4040-0018  
Expiration Date: 12/31/2027

1. Federal Agency and Organizational Element to Which Report is Submitted		
[Redacted]		
2. Federal Grant or Other Identifying Number Assigned by Federal Agency	3a. UEI	3b. EIN
[Redacted]	[Redacted]	[Redacted]
4. Recipient Organization (Name and complete address including zip code)		
Recipient Organization Name: [Redacted]		
Street1: [Redacted]		
Street2: [Redacted]		
City: [Redacted]		County: [Redacted]
State: [Redacted]		Province: [Redacted]
Country: USA: UNITED STATES		ZIP / Postal Code: [Redacted]
5. Recipient Account or Identifying Number	6. Attachment (Check applicable)	7. Supp
[Redacted]	<input type="checkbox"/> Annual Report (SF-428-A) <input type="checkbox"/> Final (Award Closeout) Report (SF-428-B) <input type="checkbox"/> Disposition Report/Request (SF-428-C)	<input type="checkbox"/>
8. Comments		
[Redacted]		
9a. Typed or Printed Name and Title of Authorized Certifying Official		
Prefix: [Redacted]	First Name: [Redacted]	Middle Name: [Redacted]
Last Name: [Redacted]	Suffix: [Redacted]	
Title: [Redacted]		

## TANGIBLE PERSONAL PROPERTY REPORT Final Report SF-428-B

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).

[Redacted]

### 1. Report (Select all that apply)

- a. Federally-owned Property (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2c below)
- b. Acquired Equipment with acquisition cost of \$10,000 or more for which the awarding agency has transfer title (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2c below)
- c. Residual Unused Supplies with total aggregate fair market value exceeding \$10,000 not needed sponsored programs or projects (Complete Section 2c below)
- d. None of the above

### 2. Complete relevant section(s)

#### 2a. Federally-owned Property (Select one or more).

- (i) Request transfer to Award
- (ii) Request Federal Agency disposition instructions

#### For Agency Use

Agency response to requested disposition of Federally owned property:

- (i) Recipient request approved
- (ii) Dispose in accordance with attached instructions:

Agency response to requested disposition of acquired equipment:

## TANGIBLE PERSONAL PROPERTY REPORT Disposition Request/Report SF-428-C

OMB Number: 4040-0018  
Expiration Date: 12/31/2027

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).

[Redacted]

### 1. Request Disposition Instructions for:

#### a. Federally-owned Property

- (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
- (i) Request Federal Agency disposition instructions
  - (ii) Other (Specify in Block 4 "Comments" or attach request)

#### b. Equipment Acquired under a Federal Award, as instructed by the Federal agency.

- (Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
- (i) Request approval to retain, sell, or otherwise dispose of equipment with a current per unit fair market value of \$10,000 or less with no further obligation to the Federal awarding agency. Contact the awarding agency to determine if this form is required for items with a fair market value of \$10,000 or less.
  - (ii) Request approval, and compensate the Federal awarding agency

#### For Agency Use Only

Agency response to requested disposition of Federally owned property:

- (i) Recipient request approved
- (ii) Dispose in accordance with attached instructions:

Agency response to requested disposition of acquired equipment:

- (i) Recipient request approved
- (ii) Dispose in accordance with attached instructions:

Authorized Awarding Agency Official:

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

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Title: \_\_\_\_\_ E-Mail: \_\_\_\_\_

SF- 428 Family Forms: Use these forms for the following:

- Acquired Equipment with acquisition cost of \$10,000 or more
- Residual Unused Supplies with total aggregate fair market value exceeding \$10,000
- Disposition Request
- Fill SF-428 even if NO Tangible Personal Property was acquired

# Real Property Status Reports

The image displays three overlapping forms for Real Property Status Reports. The top form is the cover page (SF-429), the middle is Attachment A (SF-429-A), and the bottom is Attachment C (SF-429-C). Each form contains various fields for reporting information, including agency details, recipient organization, property description, and financial data.

**REAL PROPERTY STATUS REPORT SF-429 (COVER PAGE)**  
OMB Number: [redacted] Expiration Date: [redacted]

1. Federal Agency and Organizational Element to Which Report is Submitted: [redacted]  
2. Federal Grant(s) or Other Identifying Number(s) Assigned by Federal Agency(ies): [redacted]

3. Recipient Organization (name and complete address including zip code):  
Recipient Organization Name: [redacted]  
Street1: [redacted]  
Street2: [redacted]  
City: [redacted] County: [redacted]  
State: [redacted] Province: [redacted]  
Country: USA: UNITED STATES ZIP / Postal Code: [redacted]

4a. UEI: [redacted] 4b. EIN: [redacted] 5. Recipient Account or Identifying Number: [redacted]

6. Contact Person for this Report:  
Prefix: [redacted] First Name: [redacted] Middle Name: [redacted]  
Last Name: [redacted] Suffix: [redacted]  
Email: [redacted]  
Phone: [redacted] Fax: [redacted]

**Real Property Status Report ATTACHMENT A (General Reporting) SF-429-A**  
OMB Number: [redacted] Expiration Date: [redacted]

Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page): [redacted]

Complete the applicable blocks below for each parcel of real property being reported (duplicate this page to provide information for parcel of real property being reported under the Federal financial assistance award identified in section 2):

13. Period and type of Federal Interest (MM/DD/YYYY): From: [redacted] To: [redacted]  
 Acquisition  Renovation  Construction  Government Furnished Property

14a. Description of Real Property: [redacted]

14b. Address of Real Property (legal description and complete address including zoning information):  
Street1: [redacted]  
Street2: [redacted]  
City: [redacted] County: [redacted]  
State: [redacted] Province: [redacted]  
Country: [redacted] ZIP / Postal Code: [redacted]  
Zoning Information: [redacted]  
GPS Location Longitude: [redacted] GPS Location Latitude: [redacted]

14c. Land Acreage or Square Units:  
Enter Amount: [redacted]  
Select units:  Acres  Square Feet

14d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.):  
Enter Amounts:  
Gross [redacted] Usable [redacted]  
Select units:  Square Feet  Square Meters

**Real Property Status Report ATTACHMENT C (Disposition or Encumbrance Request) SF-429-C**  
OMB Number: 4040-0016 Expiration Date: 02/28/2025

Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page): [redacted]

Complete the applicable blocks below for each parcel of real property for which you are seeking disposition or other instructions (duplicate this page to provide information for each parcel of real property under the Federal financial assistance award identified in section 2). If a section does not apply, enter "N/A":

13a. Description of Real Property: [redacted]

13b. Address of Real Property (legal description and complete address including zoning information):  
Street1: [redacted]  
Street2: [redacted]  
City: [redacted] County: [redacted]  
State: [redacted] Province: [redacted]  
Country: [redacted] ZIP / Postal Code: [redacted]  
Zoning Information: [redacted]  
GPS Location Longitude: [redacted] GPS Location Latitude: [redacted]

13c. Land Acreage or Square Units:  
Enter Amount: [redacted]  
Select units:  Acres  Square Feet  Square Kilometers  Square Meters

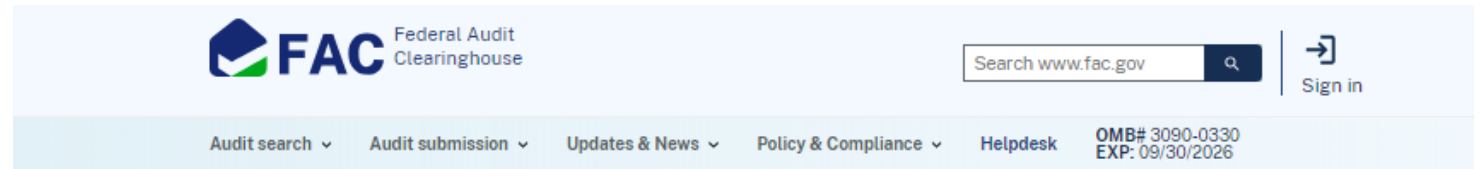
13d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.):  
Enter Amounts:  
Gross [redacted] Usable [redacted]  
Select units:  Square Feet  Square Meters

SF- 429 Family Forms: Use these forms for the following:

- **Cover page (SF-429):** This is your cover page only
- SF-429A: complete for each parcel of real property being reported
- SF-429C: Disposition Request
- Fill SF-429 (Cover Page) even if NO Real Property was acquired

# Most Recent Financial Audit

Please provide a copy of your most recent financial audit.



**The Federal Audit Clearinghouse (FAC) is the place to submit and review federal grant audits.**

# Final Data Management Plan (DMP) Guidance

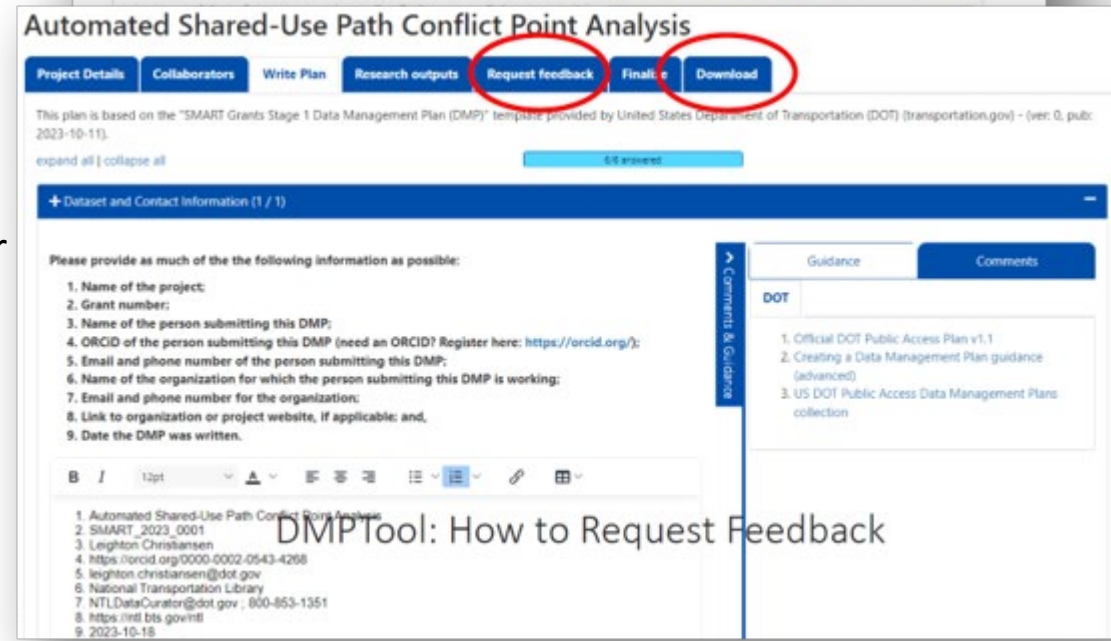
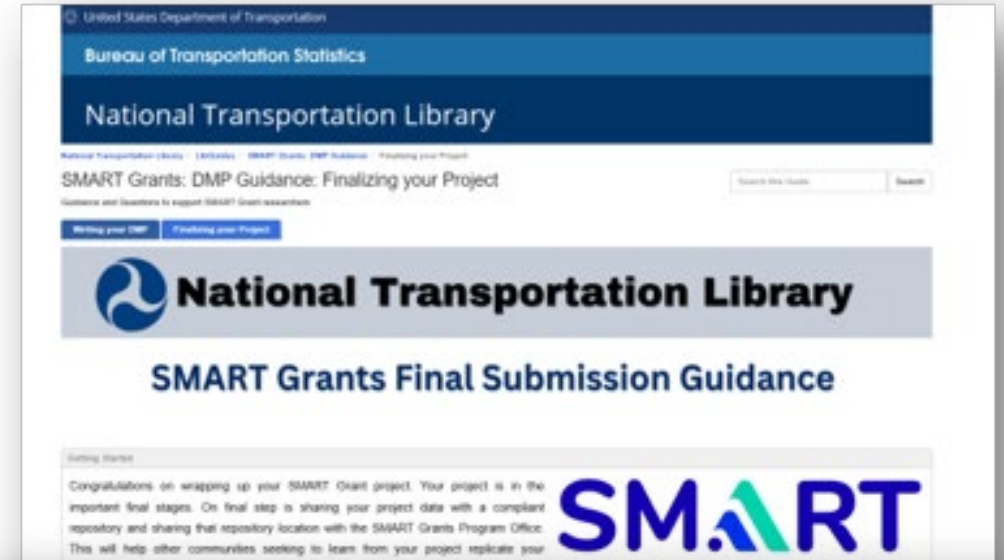
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1. Once all sections are Saved, click on the “Request Feedback” Tab.

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3. Your Data should be live and publicly accessible within 120 days post POP.



DMPTool: How to Request Feedback

# Final Implementation Report (FIR)

## Completing the Final Implementation Report

Due Date	60 Days after end of POP if applying to Stage 2. 120 days after end of POP otherwise.
----------	--

- Follow the provided guidance.
- Submit to [smartreports@dot.gov](mailto:smartreports@dot.gov) with a copy to your Grants Management Specialist.

STRENGTHENING MOBILITY AND REVOLUTIONIZING TRANSPORTATION (SMART) GRANT PROGRAM  
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Per the grant agreement, grant recipients must submit implementation reports that describe:

# Final DMP: How to be Compliant

## Archiving and Preservation Plan:

### ➤ Public Access for Research Data

- Recipients must comply with the US DOT Public Access Plan, meaning, among other requirements, **project data must be shared with the public**, if possible, either by the researchers or by US DOT.

### ➤ Conformant Repositories and Persistent Identifiers

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- The final report should have 7 parts. Follow the updated guidance that will be provided to you in the closeout email.
- Assume your reader is not familiar with the project but has a high-level understanding of the technologies.
- Use language from your evaluation plan, proposal, and draft implementation report but review the text and adjust for this context.

# Timing with Stage 2 NOFO

- **USDOT anticipates that the FY25 Stage 2 NOFO will open in Fall 2025**
- **In last Stage 2 competition:**
  - Draft Implementation Reports (DIRs) were assessed by DOT SMEs.
  - DIR assessments were reviewed by Evaluation team.
  - DIRs were due by close of NOFO period.
- **USDOT anticipates that the FY26 Stage 2 NOFO will open in Summer/Fall 2026**
  - These are expected to be the final two NOFOs of the program

# Questions?

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## SUMMIT OFFICE HOURS

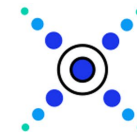
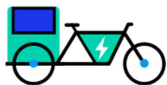
Day 2: Thursday, July 31<sup>st</sup>

Office Hours: 12:30pm-1:30pm - Table 1 Atrium Hallway

# Please help us improve with the SMART Grantee Summit Survey

A link will also be emailed to all registered attendees

U.S. DOT SMART Grantee Summit  
2025 Feedback Form





# Thank you for attending the 2025 SMART Grants Summit



U.S. Department of Transportation

