

Program Logistics and Norms

- The program will begin shortly
- Please turn on your video
- Your microphone will be muted when you join
- **Please format your name to “First Name Last Name - City, State”**
- Please use the chat box to say hello to us and your peers! Please also use this space to ask any questions outside of small groups or dedicated Q&A time



Local Infrastructure Hub: Module 5: Demystifying Capital Stacks and Budgeting

March 31, 2023

Expected learning outcomes for Module 5

Upon successful completion of this module, city teams will be able to:

- ✓ *Understand the fundamentals of **capital stacks** with respect to eligibility for federal funding, including knowing possible **local match requirements** or **limitations and allowable uses**.*
- ✓ *Apply this knowledge to developing a **draft project budget** for their application, with matching sources and potential new sources of funding.*

Bootcamp Structure

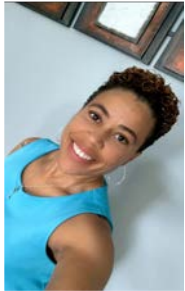
Modules	Descriptions	Outputs
0 Predevelopment	Smaller towns and cities with less federal grants experience will develop a basic understanding of the federal grants process and are prepared to attend Modules 1-8.	N/A
1 Setting the Table	Cities will be oriented to the funding program and understand how to develop a robust asset map tailored to their community and to the grant context.	N/A
2 Engaging the Community	Cities will be able to draft Community Engagement and Advocacy Strategies and understand the audience for advocacy and project strategies.	Community Engagement Strategy aligned to grant context
3 Federal Administration Priorities	Cities will also be able to incorporate climate, equity, and training and workforce development into their grant applications and demonstrate that they are willing to raise their ambitions in these priority areas.	Plan for incorporating administration priorities into the grant application
4 Data Driven Decision Making	Cities will understand application data requirements ; general data principles and uses; how to apply data tools to assess local framework and to support a transformational agenda.	Data Strategy aligned to grant context and Federal Administration Priorities
5 Demystifying Capital Stacks and Budgeting	Cities will understand the basics of capital stacks and funding structures for projects; possible matching grant requirements and allowable uses; and applying this understanding towards developing a draft project budget with matching sources and potential new sources of funding	Draft budget for grant application
6 Writing a Strong Narrative	Cities will understand the best practices for narratives and will be able to produce a compelling grant narrative consistent with the funding opportunity requirements.	Draft a grant narrative based on experience of previous modules
7 Package, Submit, and Tell Your Story	Cities will be able to package a full grant application package and develop a plan to advance the request with key officials	Draft a full grant application package validated by a city's chief executive
8 <i>Post Submission:</i> Long Term Capacity Building	Cities will be able to develop plans to successfully administer the grant and will understand how best to (re)-organize local institutional processes which position the community to compete for outside investment	Draft plan for grant administration

Your hosts today



Corrine Oliver, J.D.
Witt O'Briens

- Legal background and 10 years of experience in administering/managing grant programs and grants compliance
- Since joining Witt O'Brien's in 2020, Corrine has been supporting policy and compliance initiatives centered around: Uniform Guidance, CRF, ARPA/SLFRF, BIL, and more
- Prior experience includes responsibility for managing Housing & Urban Development (HUD)-funded programs, including CDBG on behalf of state-level agencies



Andrea Harris
Course Deliverer and Facilitator, NLC

- Social Sciences Professor at Jackson State University and Alcorn State University
- College Readiness & Career Coach
- Leadership & Executive Coach
- Diversity and Inclusion Facilitator



Demystifying Capital Stacks and Budgeting

Safe Streets Implementation Grant: Recap



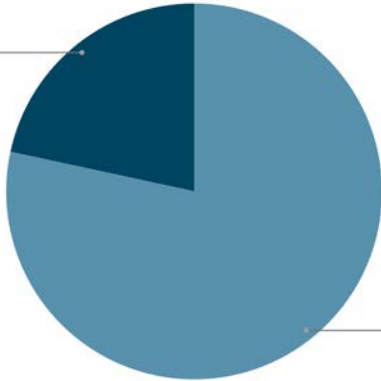
- Fund projects and strategies identified in an Action Plan that address roadway safety problems.
- Implementation Grants may also fund associated planning and design and supplemental Action Plan activities in support of an existing Action Plan.
- Applicants must have an existing Action Plan to apply for Implementation Grants or have an existing plan that is substantially similar and meets the eligibility requirements of an Action Plan. (*NOFO p. 9*).
- The period of performance for Implementation Grant agreements may not exceed five years. (*NOFO p. 13*).

Safe Streets Implementation Grant: Statistics

- 37 Total Implementation Grants Awarded First Round for FY22
- 29 Urban
- 8 Rural
- \$500M+ awarded

Percentage of Total Grants Awarded

Rural
21.6%



Urban
78.4%



Safe Streets Implementation Grant: Priorities

Priorities: (NOFO at p. 9-10)

- Promote safety;
- Employ low-cost, high-impact strategies that can improve safety over a wider geographic area;
- Ensure equitable investment in the safety needs of underserved communities, (includes both underserved urban and rural communities)
- Incorporate evidence-based projects and strategies;

May include activities such as: (NOFO at p. 19)

- Applying low-cost roadway safety treatments; Identifying and Correcting common risks;
- Transforming a roadway corridor; Installing pedestrian safety enhancements and closing network gaps (i.e. sidewalks);
- Working with community members in an identified problem area to carry out quick-build street design changes informed by outreach and user input.
- Supporting the development of bikeway networks with bicycle lanes;
- Carrying out speed management strategies, addressing speed along key corridors through infrastructure;
- Creating safe routes to school and public transit services ;
- Promoting the adoption of innovative technologies or strategies to promote safety and protect vulnerable road users in high-traffic areas where commercial motor vehicles (CMVs), pedestrians, bicyclists, motorcyclists, etc. interact; Conducting education campaigns to accompany new or innovative infrastructure, (i.e. roundabouts);
- Implementing standard and novel data collection and analysis technologies and strategies to better understand vulnerable road user (pedestrian/bicycle/transit rider) network gaps and to collect exposure data; Deploying advanced transportation technologies;
- Combating roadway departure crashes
- Evaluating and improving the safety of intersections;
- Improving first responder services enhancing emergency vehicle warning systems;
- Unifying and integrating safety data across jurisdictions

Safe Streets Implementation Grant: Eligibility Requirements Highlights

Eligible applicants Are:

- A metropolitan planning organization (MPO);
- A political subdivision of a State or territory;
- A federally recognized Tribal government; and
- A multijurisdictional group of entities described in any of the aforementioned three types of entities. (NOFO p. 14).

Must meet at least one of these conditions:

- Have ownership and/or maintenance responsibilities over a roadway network;
- Have safety responsibilities that affect roadways; or
- Have agreement from the agency that has ownership and/or maintenance responsibilities for the roadway within the applicant's jurisdiction. (Id.).

An applicant's jurisdiction is defined as the U.S. Census tracts where the applicant operates or performs their safety responsibilities. (Id.).

Safe Streets Implementation Grant: Application Requirements

Applicants must submit the following Standard Forms (SFs):

- Application for Federal Assistance (SF-424)
- Budget Information for Construction Programs (SF-424C)
- Assurances for Construction Programs (SF-424D)
- Disclosure of Lobbying Activities (SF-LLL) In addition to the SFs above (*NOFO* at 23).

Additionally, applicants must provide:

- Key Information;
- Narrative;
- Self-Certification Eligibility Worksheet; and
- Budget (*Id.*)

Safe Streets Implementation Grant: Application Scoring

Application Rating Considerations: (NOFO at p. 35)

- Safety Impact (Three subcomponents)
 - The description of the safety problem;
 - The safety impact assessment; and
 - The implementation costs.);
- Equity, Engagement, and Collaboration;
- Effective Practices and Strategies;
- Climate Change and Sustainability, and Economic Competitiveness. (the Department will consider whether the application narrative is clear, direct, responsive to the selection criterion focus areas, and logical, which will result in a rating of “high, “medium,” “low,” or “non-responsive)

Safety Impact Rating Methodology Relative to Implementation Costs: (NOFO p. 39)

- Implementation Cost Sub-Rating Guidelines
 - The costs for the implementation of the projects and strategies are clearly articulated and summarized. The quantity and quality of the projects and strategies in relation to the cost amounts strongly indicate the costs are reasonable.
 - The costs for the implementation of the projects and strategies are summarized. The quantity and quality of the projects and strategies in relation to the cost amounts seem to indicate the costs are reasonable.
 - The costs for the implementation of the projects and strategies are not well-articulated or missing key details. Based on the limited quantity and/or quality of the projects and strategies in relation to the cost amounts, the cost reasonableness is uncertain.
 - Cost information is not provided.

Safe Streets Implementation Grant: Match Requirements

- The Federal share of a SS4A grant may not exceed 80% of total eligible activity costs. (NOFO at p. 14-15)
- Recipients are required to contribute a local matching share of no less than 20 percent of eligible activity costs.
- All matching funds must be from non-Federal sources.
- In accordance with 2 CFR § 200.306, grant recipients may use in-kind or cash contributions toward local match requirements so long as those contributions meet the requirements under 2 CFR § 200.306(b).
- Matching funds may include funding from the applicant, or other SS4A-eligible non-Federal sources partnering with the applicant, which could include, but is not limited to, funds from the State.
- Any in-kind contributions used to fulfill the cost-share requirement for Action Plan and Implementation Grants must: be in accordance with the cost principles in 2 CFR § 200 Subpart E. (NOFO at 14-15)
 - Include documented evidence of completion within the period of performance; and support the execution of the eligible activities in Section C.4
 - Ensure alignment with 2 CFR § 200 Subpart E generally, including 2 CFR § 200.403 (Factors Affecting Allowability of Costs)
 - Ensure alignment with 2 CFR § 200.404 (Reasonable Costs)

Safe Streets Implementation Grant: Funding Source Considerations

Potential funding sources may include:

- General Fund (revenue from property taxes, sales, income taxes etc.)
- Leveraging bonds
- Tax Credits
- Public/Private Partnerships (contractual agreements between a municipality and private entity agreeing to share financial responsibility for funding/managing)
- Other targeted State Funding
- Other Federal Funding (i.e. ARPA, RAISE, etc.)

Recommend

- Ensure consideration of all potential funding potential sources/uses prior to applying
- Make a graph/chart to compare the needs of the contemplated program against different funding source requirements and allowability.

A look at Some Federal Funding Examples

- **American Rescue Plan Act-State and Local Fiscal Recovery Funds (ARPA SLFRF)**
 - Recipients have broad flexibility to use funds under the revenue loss use category provide government services, which generally include any service traditionally provided by a government.
 - These services may include, but are not limited to, maintenance of 30 infrastructure or pay-go spending for building of new infrastructure, including roads. [SLFRF-Final-Rule-FAQ.pdf \(treasury.gov\)](#)
- **Rebuilding American Infrastructure with Sustainability and Equity (RAISE)**
 - Helps communities around the country carry out projects with significant local or regional impact.
 - Help project sponsors at the State and local levels, including municipalities, Tribal governments, counties, and others complete critical freight and passenger transportation infrastructure projects. [RAISE Discretionary Grants | US Department of Transportation](#)

Poll

Safe Streets Implementation Grants: Funding Source Considerations Continued

Fund Braiding Considerations:

- Applicants may be able to optimize the impact of federal funding by layering funding (braiding funding), and prioritizing the usage of funding sources with more stringent limitations on allowable expenditures prior to utilizing less restrictive sources of federal funding that allow more flexibility in allowable usage.
- Typically, where funds are braided, the more stringent limitations/requirements will control, but see the terms and conditions of each respective grant for more guidance.

Duplication of Benefits:

- A duplication of benefits (DOB) occurs when a person, household, business, government, or other entity receives financial assistance from multiple sources for the same purpose, and the total assistance received for that purpose is more than the total need for assistance.
- A recipient/grantee must check to see that the assistance will not cause a duplication of benefits, meaning that the cost has not or will not be paid by another source. Grantees are also required to avoid the duplication of benefits when providing disaster assistance through federally funded programs.

Safe Streets Implementation Grant: Building a Budget

- Utilize scoring criteria to help build a focused budget
- Ensure both application narrative and application justification/itemization align with scoring criteria
- Differentiate between funding sources as separate line items or categories
- Make clear how each funding source (public, private, federal, or other) contributes to the overall project or project components in the budget (helps keep you organized within the file too for audit/monitoring later)
- Ensure you have good tracking mechanisms in place to track costs and prevent duplication of benefits
- Understand the disbursement process for each funding source
- If funding spans multiple fiscal years, understand the impact of funding sources on fiscal reports, reserve impacts, bond rating, or other financial reporting impacts

Safe Streets Implementation Grant: SF-424C Form

View Burden Statement

OMB Number: 4040-0008
Expiration Date: 02/28/2025

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
2. Land, structures, rights-of-way, appraisals, etc.	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
3. Relocation expenses and payments	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
4. Architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
5. Other architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
6. Project inspection fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Site work	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
8. Demolition and removal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9. Construction	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
10. Equipment	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
11. Miscellaneous	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
12. SUBTOTAL (sum of lines 1-11)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
13. Contingencies	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
14. SUBTOTAL	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
15. Project (program) income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
FEDERAL FUNDING			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c. Multiply X <input type="text"/> % Enter the resulting Federal share.			\$ <input type="text"/>

Safe Streets Implementation Grant: Funding Source Considerations

In the NOFO, (pg. 27), is the required supplemental budget which must be submitted in addition to the SF- 424C.

The Supplemental Budget is broken down into the following 3 areas:

- A. Supplemental action plan activities;
- B. Conducting planning, design, and development activities
- C. Proposed projects and strategies Item

Recommend

- Creating an overarching budget that accounts for both funding sources, match and costs.
- Attach the Supplemental Budget to the SF-424C document if able during submission. Otherwise, attach to the narrative and label as "Supplemental Budget"

Supplemental Estimated Budget

Subtotal Budget for (A) supplemental action plan activities;	\$0.00
Itemized Estimated Costs of the (A) supplemental action plan activities	
Item #1	\$0.00
Item #2	\$0.00
Subtotal Budget for (B) conducting planning, design, and development activities	\$0.00
Itemized Estimated Costs of the (B) planning, design, and development activities	
Item #1	\$0.00
Item #2	\$0.00
Item #3	\$0.00
Subtotal Budget for (C) carrying out projects and strategies	\$0.00
Itemized Estimated Costs of the (C) proposed projects and strategies	
Item #1	\$0.00
Item #2	\$0.00
Item #3	\$0.00
Item #4	\$0.00
Subtotal Funds to Underserved Communities	\$0.00



Q&A

End of Module Survey

Answer the following questions on the Zoom poll to assess your understanding of the content.

- How prepared do you currently feel to submit your application (*Scale of 1-5*)
 - 5 - Very Prepared
 - 4 - Somewhat Prepared
 - 3 - Neither Prepared nor Unprepared
 - 2 - Somewhat Unprepared
 - 1 - Very Unprepared
- How helpful did you find today's session in preparing your grant application? (*Scale of 1-5*)
 - 5 - Very Helpful
 - 4 - Somewhat Helpful
 - 3 - Neither Helpful nor Unhelpful
 - 2 - Somewhat Unhelpful
 - 1 - Very Unhelpful
- Which of the following support resources do you plan to use? (*Multiple Select*)
 - Coaching sessions or office hours
 - Navigators / Support Team
 - Canvas



Coaching and Office Hours

To deepen learning on this subject, Coaching, Office Hours, and Toolkits for this grant are available to all cities in the program



Peer Learning

Interactive sessions featuring **subject matter experts** on the policy and grant approach; followed by smaller **cohort sessions*** for peer discussions



Coaching

Smaller, cohort-based sessions to continue to build on **specific application questions** identified in the peer learning session



Office Hours

Support in the form of **designated time slots** with content experts to address specific questions



Tools and Templates

The following resources can help **strengthen core components** of your grant application

Support During this Bootcamp

You have multiple resources you can reach out to for support during this Program.

Navigator



Questions for Navigators can be raised in **onboarding sessions or bi-monthly check-ins** and/or **via email or phone**. The following are types of questions that can be raised with Navigators:

- A city has an **administrative question** about the bootcamp including questions regarding:
 - Timelines
 - Attendance
 - Participation expectations, and/or
 - Future program offerings
 - Certificates

You should have received initial registration emails from your assigned Navigator (either bootcampnavigator1@nlc.org or bootcampnavigator2@nlc.org)

Bootcamp Facilitator

Questions for bootcamp facilitators should be raised during **office hours**. The following are types of questions that could be raised in this setting:

- A city has a question about **content covered** in that week's peer learning or coaching sessions
- A city has a **technical question** about their grant application
- A city has a question about the **Canvas course**

We recommend that cities **hold questions** until the subject is covered in a relevant module. Many questions may be addressed in the learning sessions. Additionally, by holding the question, this ensures that cities will have **access to the appropriate subject matter expert** in office hours. Should a question fall **outside the scope of the curriculum**, cities may raise the question with bootcamp facilitators via email at ssr4aimplementbootcamp@nlc.org.



Coaching and Office Hours help build forward from the peer learning session



Coaching

Smaller sessions to work on **specific application questions** as peers

Who will you engage with?

Corrine Oliver, Witt O'Brien's
Jenny O'Connell, NACTO

How will you engage?

Coaching sessions will be held on
Monday, April 3, 1-2 EST
You will receive a separate calendar invite for the coaching session.



Office Hours

Support in the form of **designated time slots** with content experts to address specific questions

Who will you engage with?

Corrine Oliver, Witt O'Brien's
Jenny O'Connell, NACTO

How will you engage?

Participants will be able to **register for office hours** through Canvas. Reserved time slots will be **15-minutes in length**, but may be extended pending availability and demand. Office hours will be offered on **Tuesday, April 4, 1-2 EST, Wednesday, April 5 1-3 EST.**

Coming up for SS4A Implementation

Module 5 Coaching Session

Hosted by our Experts, Corrine Oliver, from Witt O'Briens and Jenny O'Connell, NACTO

When: **Monday, April 3, 1-2 EST**

Registration Link: <https://nlc-org.zoom.us/j/89650218144?pwd=a21hdHFNNTNIQWJrTUxCeTRLNTdxZz09>

Module 5 Office Hours

Tuesday, April 4, 1 - 2 EST, Wednesday April 5, 1 - 3 EST

<https://calendly.com/ssr4aimplementbootcamp/module-5-ss4a-implementation-office-hours>

Sign up through the calendar link in Canvas

Module 6 Peer Learning Session

Topic: Cities will understand the **best practices for narratives** and will be able to produce a compelling grant narrative consistent with the funding opportunity requirements.

When: **Friday April 14, 1 EST**

Registration Link: <https://nlc-org.zoom.us/j/82063651924?pwd=bEVaSDNweUhnNXRaOGNvZVJ2VndxUT09>



Tools and Templates



Tools and Templates for Module 5: Demystifying Capital Stacks and Budgeting

The following resources can help **strengthen core components** of your grant application

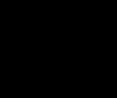
- **SF 424 Family Forms at Grants.gov:** [SF-424 Family | GRANTS.GOV](#)
- **FY 2022 SS4A NOFO:** [Notice of Funding Opportunity for the Safe Streets and Roads for All \(SS4A\) Discretionary Grant Opportunity Amendment 1 \(transportation.gov\)](#)
- **SS4A Webinars:** [Webinar Series: Safe Streets and Roads for All Grants | US Department of Transportation](#)
- **US DOT Safe Streets Site:** [Safe Streets and Roads for All \(SS4A\) Grant Program | US Department of Transportation](#)
- **2 CFR 200 Subpart E:** [eCFR :: 2 CFR Part 200 Subpart E -- Cost Principles](#)
- **Bloomberg Cities Network Resources:** [Resources for City Leaders | Bloomberg Cities \(jhu.edu\)](#)
- [eCFR :: 2 CFR 200.403 -- Factors affecting allowability of costs.](#)
- [eCFR :: 2 CFR 200.404 -- Reasonable costs.](#)
- [eCFR :: 2 CFR 200.306 -- Cost sharing or matching.](#)
- **SS4A Underserved Communities Census Tracts (Historically Disadvantaged Communities)** <https://datahub.transportation.gov/stories/s/tsyd-k6ij>
<https://usdot.maps.arcgis.com/apps/dashboards/99f9268777ff4218867ceedfabe58a3a>

Thank you!

For questions, please contact your navigator, the office hours and/or coaching lead, or email ssr4aimplementbootcamp@nlc.org.

For general information, please visit www.localinfrastructurehub.org





WITH SUPPORT FROM:



THE UNITED STATES
CONFERENCE OF MAYORS

