

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 30, 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 Post Submission: 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



Erin Daly

TITLE, Witt O'Briens

- Joined Witt O'Brien's in 2020, Director in Community Services practice providing policy support for federal grant programs.
- Specializes in legislative analysis, program development, management, and implementation for federal, state and local clients.
- 20+ yrs. as Sr. Public Policy and Grants Management professional, including 18 years at USDA advising on management of +\$1B annual budget for extramural federal grants.



Dewaynna Horn

Course Deliverer and Facilitator, NLC

- Associate Dean and Professor of Management, College of Business, Texas Woman's University, Houston
- Teaches graduate courses in the Online MBA Program



Demystifying Capital Stacks and Budgeting

Key Points – Safe Streets and Roads for All (SS4A) Action Plan Grants

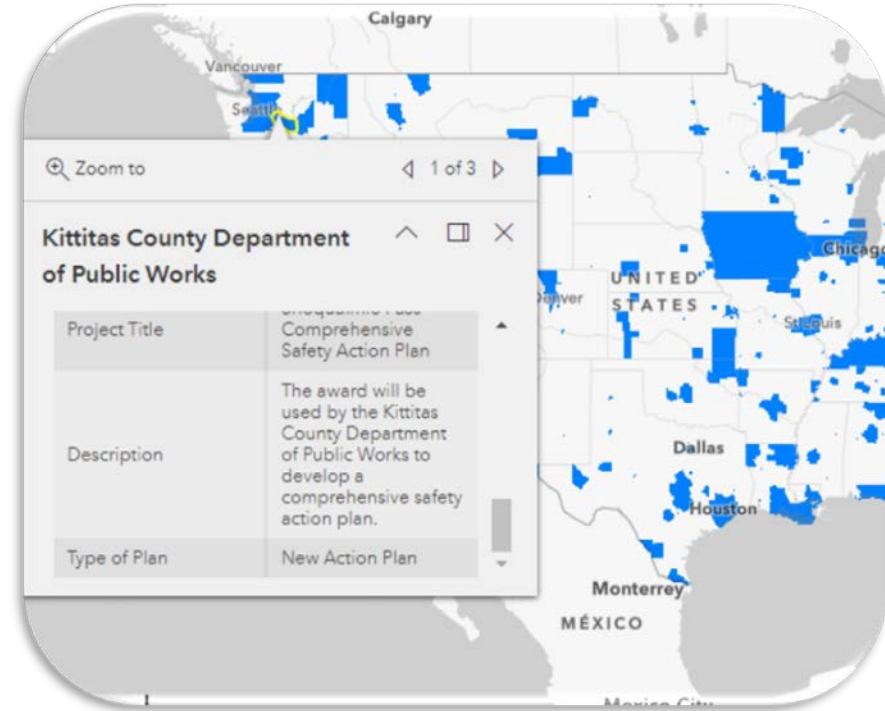
- **\$5B over 5 yrs. for SS4A - Action and Implementation**
- **Round 1**
 - \$800M awarded to 510 projects in February 2023
 - 40% of each FY's SS4A funds for Action Plan Grants
 - 473 Action Plan awards made
- **Size of grants = \$200k to \$1M (multijurisdictional up to \$5M)**
- **Length of grants = 1 to 2 years**
- **Outcome = Comprehensive, publicly available roadway safety action plans**
 - Funds requested for new/further developed plan, OR supplemental activities (not AND)

Round 2 Notice of Funding Opportunity release (FY 2023 funds) anticipated April 2023



Review the 2022 Funding Awards

- USDOT published [the list of awardees](#) for the 2022 competition
- The [map feature](#) allows you to review summaries for each awarded Action Plan award



States Receiving Most Funding – Round 1 SS4A Action Grants

State	Total Funding
California	\$25,569,156
Florida	\$19,383,226
Texas	\$16,718,807
Washington	\$9,198,763
Michigan	\$8,852,399
Virginia	\$7,060,814
Massachusetts	\$6,545,402
New York	\$6,158,655
Georgia	\$6,152,102
Colorado	\$6,088,970

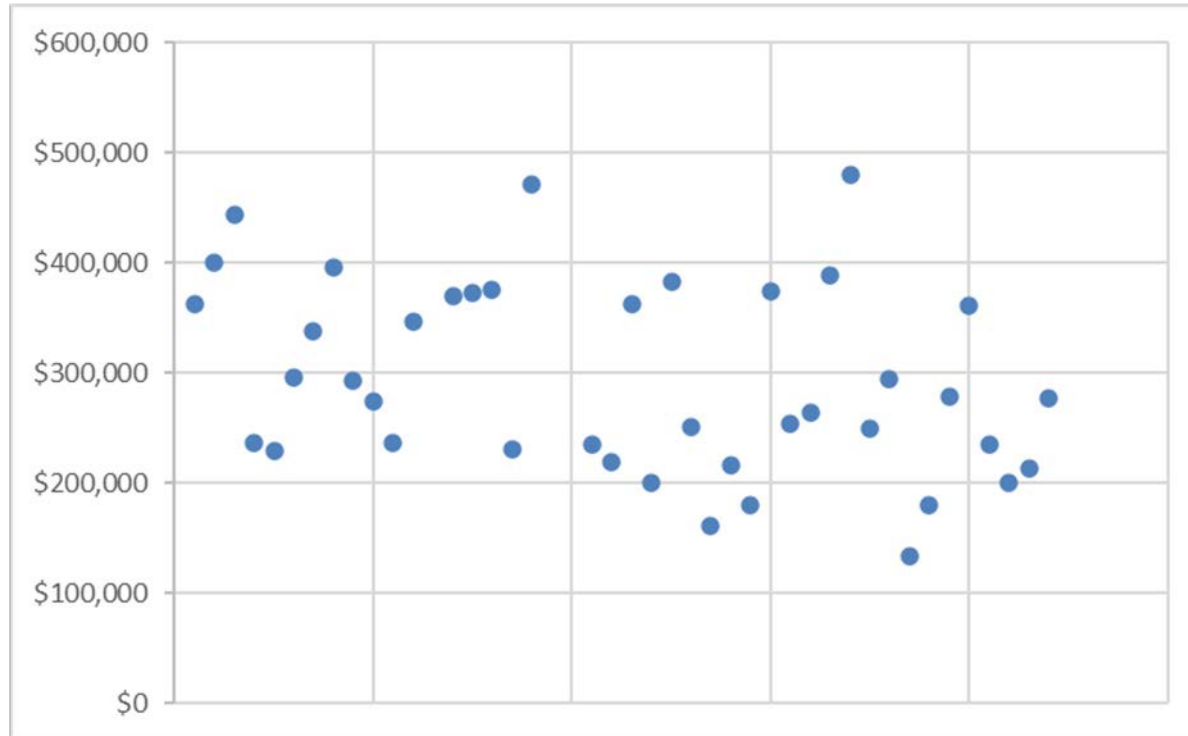
States Receiving Least Funding – Round 1 SS4A Action Grants

State	Total Funding
Hawaii	\$0
South Dakota	\$48,264
Vermont	\$80,000
Delaware	\$200,000
Puerto Rico	\$220,000
Wyoming	\$480,000
Mississippi	\$832,000
New Hampshire	\$850,000
Maine	\$863,382
Idaho	\$937,900

States Receiving the Most Funding for Rural Awards – Round 1 SS4A Action Plan Grants

State	Total Rural Funding
Texas	\$5,765,655
California	\$5,428,107
Kansas	\$3,696,034
Florida	\$3,600,374
Colorado	\$3,570,370
Washington	\$2,838,400
Iowa	\$2,826,186
Alaska	\$2,675,863
Georgia	\$2,630,102
Kentucky	\$2,402,866

Average Size of Rural Awards/State – Round 1, Action Plan Grants



Demystifying factors impacting selection – SS4A Action Plan Awards

- Maximize potential service to underserved communities
 - DOT goal = fund applications that target at least 40% of benefits towards low-income and underserved communities
 - Underserved includes low-income, historically disadvantaged, underserved, or overburdened communities. For more information, see the [Administration's Justice40 initiative](#).
 - Underserved includes “rural communities” defined as jurisdictions outside Urbanized Area (UA) or within UA with populations fewer than 200,000
 - Tribal lands, territories, or possession of US are considered underserved communities

Census tracts identified

- [SS4A Underserved Communities Census Tracts \(Historically Disadvantaged Communities\) \(arcgis.com\)](https://usdot.maps.arcgis.com/apps/dashboards/99f9268777ff4218867ceedfabe58a3a)
<https://usdot.maps.arcgis.com/apps/dashboards/99f9268777ff4218867ceedfabe58a3a>

Strategy for Success – Focus planned expenditures on program priorities

- **Request funding to engage with public and private stakeholders**
- **Budget to meet reporting and data management requirements**
- **Incorporate costs for use of innovative technologies and strategies to:**
 - Promote safety
 - Employ low-cost, high-impact strategies over wide geographic area
 - Ensure equitable investment in safety of urban and rural underserved communities
 - Utilize evidence-based projects and strategies
 - Align project plan with DOT mission = equity, climate/sustainability, quality job creation, and economic strength and global competitiveness



Dissect the Selection Criteria

Remember 300 word max on Narrative addressing ALL 3 criteria

#1. Budget for and effectively describe your project's proposed Safety Impact (most heavily weighted)

- Description of safety problem
- Safety impact assessment
- Implementation costs

ENSURE you address the 2 quantitative ratings (county of roadway fatalities and fatality rate)



Dissect the Selection Criteria

#2. Budget for and describe activities to ensure equitable investment in the safety needs of underserved communities, including rural

(Equity, Engagement, and Collaboration)

- **Self-certification worksheet describes an equitable plan as having:**
 - Inclusive and representative processes
 - Identifying underserved communities through data
 - Including an equity analysis

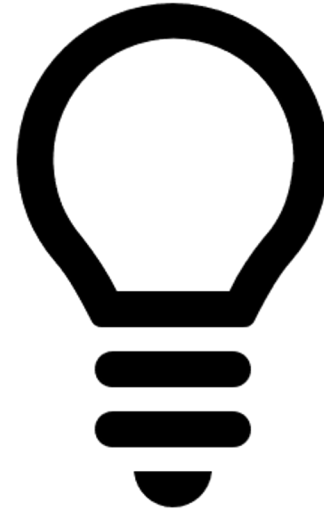
ENSURE you address the 1 quantitative rating (% of population in underserved area)



Dissect the Selection Criteria

#3. Tell a story that shows how you'll address 4 additional safety considerations, underscore with data where possible

- **Employ low-cost, high-impact strategies that can improve safety over wide geographical area**
- **Engage with a variety of public and private stakeholders**
- **Seek to adopt innovative technologies/strategies to promote safety and equity**
- **Include evidence-based projects or strategies**



Completing Standard Form 424A

[SF424A- Page1 \(grants.gov\)](#)

[General Instructions for Submitting SF 424A: Budget Information - Non-Construction Programs | FRA \(dot.gov\)](#)

BUDGET INFORMATION - Non-Construction Programs							OMB Number: 4040-0006 Expiration Date: 02/28/2025
SECTION A - BUDGET SUMMARY							
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget			
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)	
1. <div></div>	<div></div>	\$ <div></div>	\$ <div></div>	\$ <div></div>	\$ <div></div>	\$ <div></div>	
2. <div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	
3. <div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	
4. <div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	
5. Totals		\$ <div></div>	\$ <div></div>	\$ <div></div>	\$ <div></div>	\$ <div></div>	

Standard Form 424A (Rev. 7-97)
Prescribed by OMB (Circular A-102) Page 1

Completing Standard Form 424A

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	(1)	(2)	(3)	(4)	Total (5)
	GRANT PROGRAM, FUNCTION OR ACTIVITY				
a. Personnel	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
b. Fringe Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Travel	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Contractual	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Construction	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Other	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Total Direct Charges (sum of 6a-6h)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
j. Indirect Charges	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
k. TOTALS (sum of 6i and 6j)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Program Income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
Prescribed by OMB (Circular A-102) Page 1A

Completing Standard Form 424A

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.		\$	\$	\$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)		\$	\$	\$

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$				
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	
22. Indirect Charges:	
23. Remarks:	

Authorized for Local Reproduction

Standard Form 424A (Rev. 7-97)
Prescribed by OMB (Circular A-102) Page 2

Cost-sharing

- 20% of total project costs must be from non-federal match
 - Cash or in-kind allowed
 - Compliance with 2 CFR 200.306 and Subpart E on match
 - Source = applicant, or other SS4A-eligible non-Federal source partnering with applicant, can be State

SSFA Match and Cost Share Examples

[SS4A Match and Cost Share Examples | US Department of Transportation](#)

Strategic partnering plans to secure these



What does it mean to be cost-effective?

- **Have a plan to obligate all awarded funds AND matching funds within the Period of Performance (1-2 years)**
 - Pay attention to average size of grants made to cities like yours
 - Urban vs. rural
- **Be strategic in your funding request**
 - How will funds you're budgeting for the planning process improve your city's capacity to pursue SS4A Implementation and other DOT/federal grants?
 - How can you braid in funding from other sources to supplement, sustain or grow the impacts of your work?



How to be grant-ready for SS4A Round 2 Action Plan

- **Grants are paid on a reimbursable basis**
 - DoT could set up alternative payment plans on case-by-case basis
- **Be confident of ability to commit match AND have funds to support proposed activities upfront**
- **Be aware that pre-award costs for Action Plan Grants are unallowable**
 - Unless authorized in writing by DOT after award announcement





Q&A



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 ssr4aactionbootcamp@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?

Erin Daly, Witt O'Briens
Ryan Russo, from Together Projects

How will you engage?

Coaching sessions will be held on
Tuesday, April 4, 2 - 3 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?

Erin Daly, Witt O'Briens
Ryan Russo, from Together Projects

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 **Thursday, April 6, 1 - 4 EST**

Coming up for SS4A Action Planning

Module 5 Coaching Session

Hosted by our experts, Erin Daly, from Witt O'Briens and Ryan Russo, from Together Projects

When: **Tuesday, April 4, 2 - 3 EST**

Registration Link: <https://nlc-org.zoom.us/j/83982877478?pwd=RnN3VjNpSE1ybGowYWRZNWZrT29MZz09>

Module 5 Office Hours

Thursday, April 6, 1 - 4 EST

<https://calendly.com/ssr4aactionbootcamp/module-5-ss4a-action-planning-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: April 13, 1 PM EST

Registration Link: <https://nlc-org.zoom.us/j/83599722756?pwd=YVliMFBTWU9xQmllUFlnNm9CaFhyd09>

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



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

- Federal Tools to Determine Disadvantaged Community Status - <https://www.transportation.gov/grants/dot-navigator/federal-tools-determine-disadvantaged-community-status>
- Transportation Toolkit - <https://www.transportation.gov/policy-initiatives/leadership-academy/transportation-toolkit>
- Data Visualization Tool - Our Nation's Roadway Safety Crisis (arcgis.com)
<https://storymaps.arcgis.com/stories/9e0e6b7397734c1387172bbc0001f29b>
- Is Federal Funding the Right Fit for My Organization? - <https://www.transportation.gov/grants/dot-navigator/federal-funding-right-fit-my-organization>
- SS4A Action Plan Grant Information Sheet - <https://www.transportation.gov/grants/ss4a/action-plan-information-sheet>
- Eligible and Ineligible SS4A Action Plans - <https://www.transportation.gov/grants/ss4a/eligible-and-ineligible-action-plans>
- USDOT's Equity Action Plan
https://www.transportation.gov/sites/dot.gov/files/2022-04/Equity_Action_Plan.pdf
- SSFA Match and Cost Share Examples
[SS4A Match and Cost Share Examples | US Department of Transportation](#)

Thank you!

For questions, please contact your navigator, the office hours and/or coaching lead, or email ssr4aactionbootcamp@nlc.org

For general information, please visit www.localinfrastructurehub.org



WITH SUPPORT FROM:



THE UNITED STATES
CONFERENCE OF MAYORS



Bloomberg
Philanthropies



FORD
FOUNDATION

THE
KRESGE
FOUNDATION