

MASTERING STATE AND FEDERAL FUNDING

FROM APPLICATION TO EXECUTION

TODAY'S TOPICS & YOUR PRESENTERS

- Navigating Grants and Funding | *Sandy Zimmer*
- Contracts and Procurement | *Laura Hemler*
- Designing for Success | *Jamey Smith*
- Executing with Precision | *Molly Thiebaut*
- The Funding Game | *From Proposal to Reality*

GETTING TO KNOW THE AUDIENCE

Ulteig

Poll Questions

NAVIGATING GRANTS AND FUNDING

SANDY ZIMMER | G&F PROGRAM MANAGER



AGENDA – STEPS TO FUNDING SUCCESS

- Formulate a Strategy
- Get Prepared
- Write the Grant
- Celebrate Briefly!
- Execute the Grant
- Count the Cost



FORMULATE A STRATEGY

- **DEVELOP A LIST OF PROJECTS**
- **FIND POTENTIAL FUNDING OPPORTUNITIES**
 - Grants (All)
 - State-funded programs
 - SDOT formula federal funding
 - Other stakeholders/agencies
 - Innovative financing (PPP, TIFIA, bonds)

GET PREPARED

If you haven't prepared and the NOFO hits the street.....

You'll find yourself behind the 8-ball!

GET PREPARED

Get Familiar With the Program Requirements

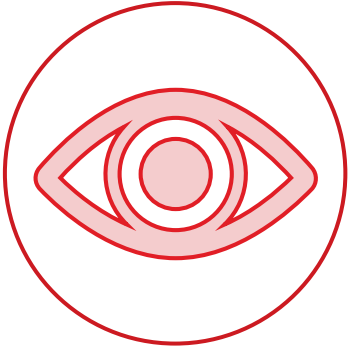
- Review previous NOFOs & Grant Agreement Language
- Perform an Assessment of Processes, Procedures, and Systems
 - Financial Management Systems (2 CFR 200.302)
 - Internal Controls (2 CFR 200.303)
 - Bidding/Procurement (2 CFR 200.317-327 or other)
 - Environmental Review (NEPA Regulations, etc.)
 - ROW/Uniform Act (49 CFR Part 24)

Review Your Single Audit (2 CFR 200 Subpart F)

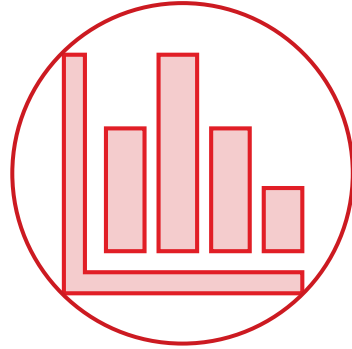
Communicate, Communicate, Communicate!

- State Department of Transportation, Legal Counsel, and Congressional Team

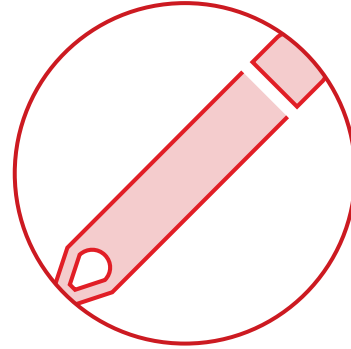
WRITE THE GRANT



**Familiarity with
the Project**



**Provide Data
and Analysis**



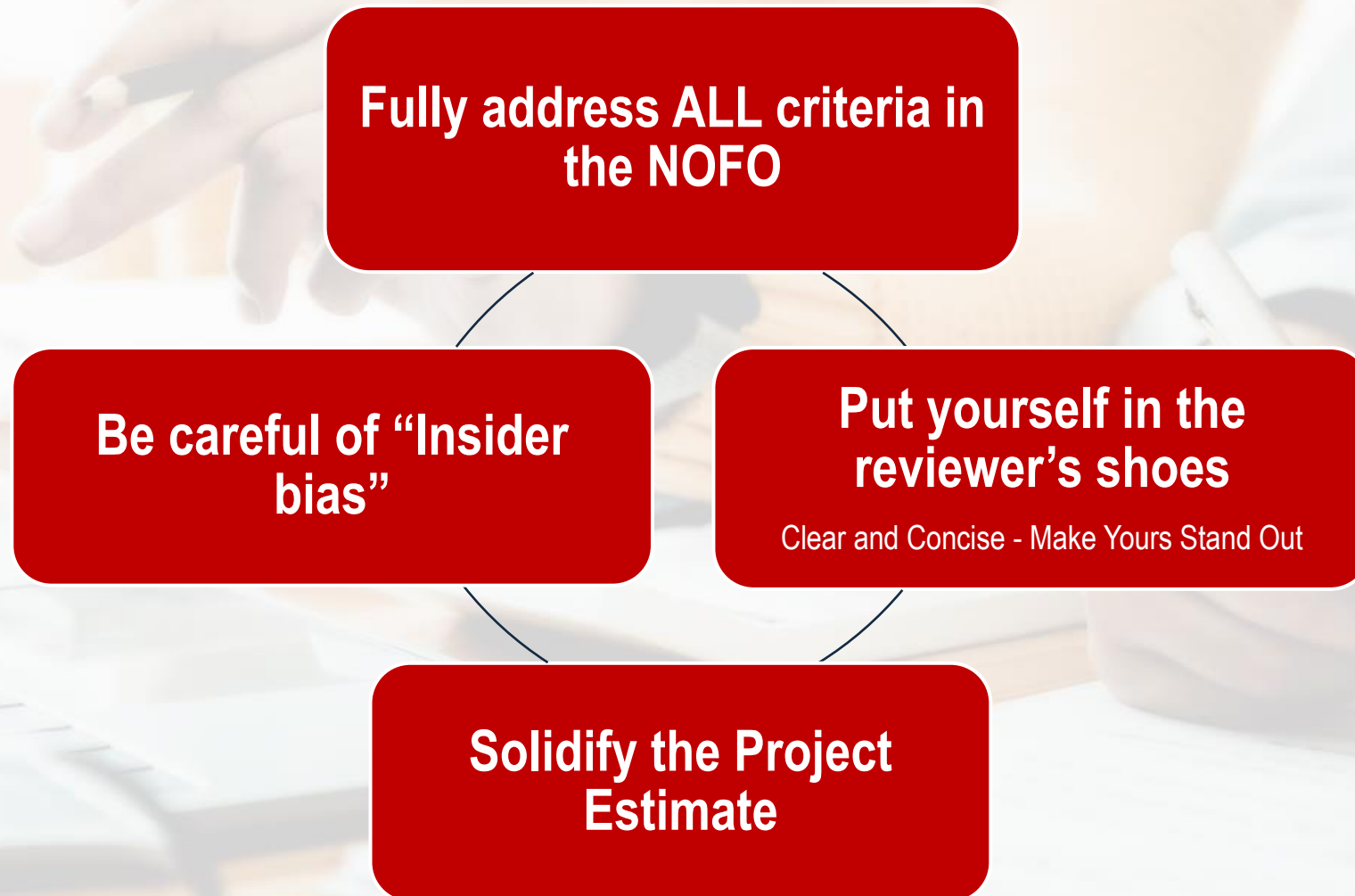
**Write a
Compelling
Story**



**Designate a
Champion!**

BUILD A TEAM

WRITE THE GRANT



EXECUTE THE GRANT

- **Be ready to get started immediately!**

- But don't incur costs!



- **Period of Performance (2 CFR 200.344)**

- Start date – nothing eligible before
- End Date – no cost eligible after
- Close-out within 90 days (Final acceptance and voucher)

- **Execute the grant agreement**

- Consider the SDOT as a pass-through

EXECUTE THE GRANT

- **Records Retention (2 CFR 200.334)**
 - FHWA Example

REPAY FUNDS!

⚠ **No Records**

⚠ **Not Following Requirements**

COUNT THE COST

PROS

- Additional Funding
- Fills Funding Gaps
- Frees Up Other Funds
- Attention to Needs-Locally, Regionally, Nationally

CONS

- Federalizes Project
- Performance Monitoring
- Reporting/Invoicing
- Time (\$ to Materialize/Project to Start)
- Effort/Cost.....

COUNT THE COST

GRANT ACTIVITY	SIMPLE GRANTS	COMPLEX GRANTS	COST
Identify	Ongoing		?
Write	10 hours	100 hours	?
Administer (per month)	Several hours	Several days	?

CONTRACTS AND PROCUREMENT

LAURA HEMLER | SENIOR ASSISTANT CITY ATTORNEY - ARVADA



CONTRACTS AND PROCUREMENT REQUIREMENTS

Grant Review (Pre-Application/Award)

- Review early
- Big issues
- Awareness
- Build relationship

Pre-Grant Agreements

- (e.g. on call agreement for debris removal; FEMA eligible)

Accepting/Executing the Grant

- State of CO Small Dollar Grant Award Terms & Conditions
- IGA

CONTRACTS AND PROCUREMENT REQUIREMENTS

Contractor agreement

- **Procurement/solicitation/bid requirements**

- Special provisions and clearances
- Standardized terms included in solicitation
- Confirm accurate forms and requirements
- Communicate with CDOT

- **Contract**

- Required verbatim language
- 2 CFR 200 (Appendix II to Part 200) - Contract Provisions for Non-Federal Entity Contracts Under Federal Awards

KEY CONTRACTING TAKEAWAYS



CDOT review

Executive Orders

- Check with the source of funds for current information

CDOT Local Agency website

- <https://www.codot.gov/business/localagency/manual>

Work with your procurement team

DESIGNING FOR SUCCESS

JAMEY SMITH, PE | TECHNICAL MANAGER



DESIGN PHASE – KEY REQUIREMENTS

***Intergovernmental Agreement (IGA) –
Must be Executed before Spending Funds***

Project Risk Assessment = Oversight Level

***CDOT Review Required at Every Milestone -
(4-6 weeks typical) (FIR, FOR, Final PS&E)***

DESIGN PHASE – NAVIGATING CRITICAL CLEARANCES

ENVIRONMENTAL

Form 128 signed by CDOT/
FHWA before ROW

UTILITY

Conflicts resolved or
documented

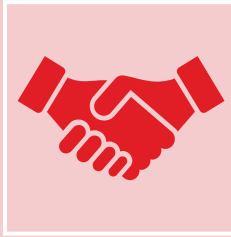
RIGHT-OF-WAY

Appraisals, acquisition
plans, offer
documentation

DESIGN PHASE – STREAMLINING STRATEGIES



**START IGA & RISK
ASSESSMENT EARLY**



**ENGAGE CDOT
LOCAL AGENCY REP**



**DESIGN FOR CDOT
COMPLIANCE**

DESIGN PHASE – LOCAL VS. FEDERAL FUNDED PROJECTS

LOCALLY FUNDED	FEDERALLY FUNDED (CDOT)
Full Control	Structured process
Flexible Timing	More review + compliance
Faster timeline	Federal reimbursement

DESIGN PHASE – BIDDING REQUIREMENTS

Checklist:

- ☐ CDOT formatted plans/specs
- ☐ Bid tabs and special provisions
- ☐ All clearances completed
- ☐ Allow 4+ weeks for review

DESIGN PHASE – KEY TAKEAWAYS



Start early – schedule around CDOT's process



Environmental, ROW, and Utility Clearances control timeline



Design with compliance in mind to avoid delays and rework.

EXECUTING WITH PRECISION

MOLLY THIEBAUT | MARKET LEADER, TRANSPORTATION



EXECUTING WITH PRECISION

- **Requirements for Federal & State Funding**
 - CDOT Local Agency Checklist
- **Managing through Construction**
 - Document Organization
 - CM Staff Resources and Commitment
 - Common Missteps & Misunderstandings

REQUIREMENTS FEDERAL & STATE FUNDING – LOCAL AGENCY CHECKLIST



MANAGING THROUGH CONSTRUCTION

Document Management & Organization

- **Contractor Documentation & Requests**
- **Structure Folders for Final Closeout**
- **B2G/LPC Tracker Manager**
- **Pay Applications**
 - Monthly Schedules
 - Pay Tracking for Quantities
 - OJT/DBE Requirements
 - Buy America COCs/CTRs (submittals)
- **Inspection Master Tracking for Quantities, Counts and Traffic**
- **Material Testing Folder & Weekly Meeting Actions**

CM Resources & Staffing

- **CDOT and federally funded project requirements and compliance increase the resources and documentation strain on the local agency staff.**

MANAGING THROUGH CONSTRUCTION

- **Common Missteps or Misunderstandings**

- **Bidding Requirements – Contractors and Consultants**

- 10% can be included in the Grant to cover consultant fees.
- RFP for DBE for Consultant
- Adding Force Account for OJT, DBE

- **Funding –**

- Partial funding for project
 - Project limits will not be extended by contract; will need to work internally
- No variance requests for Buy America Chain of Custody or Civil Rights

- **Resources & Benefits:**

- CDOT is a resource, and the LA wants to help you succeed
 - Pre-Pre con with LA representation and Project CM Management Team
- Consultant staff are often hired to come on board to help with the administrative lift and can also be used for additional knowledge and resources that the Agency may not have with current staff.

KNOWLEDGE CHECK

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The Funding Game: From Proposal to Reality



QUESTIONS?

The logo consists of a solid red square. Inside the square, the word "Ulteig" is written in a white, sans-serif font. The background of the slide is dark gray with a pattern of thin, light gray lines that create a sense of depth and movement, resembling a series of concentric, slightly offset rectangles.

Ulteig

THANK YOU FOR YOUR TIME

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