

DEEP Climate Resilience Fund

Webinar 4: Budget and Milestone Chart

- Please keep cameras off and stay on mute unless you are called on to speak
- Please use the raise hand function to be called on
- You may also put questions in the chat.



Dr. Rebecca French and Sarah Watson
DEEP Office of Climate Planning
October 27, 2022

CT CLIMATE
ACTION

DEEP Climate Resilience Fund

- Up to \$10 million available in first round. **NO MATCH REQUIRED.**
- 40% of funds must go to vulnerable communities, including EJ
- Must develop strategy for local match funding for implementation
- Preparing federal grant applications for construction is required



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graph LR; A[Track 1: Planning] --> B[Track 2: Project Development]
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**Track 1:
Planning**

**Track 2: Project
Development**

NOTE: Implementation & Construction to be funded by federal grants



What Does Climate Resilience Mean?

“(T)he ability to prepare for and adapt to changing conditions and withstand and recover rapidly from deliberate attacks, accidents or naturally occurring threats or incidents, including, but not limited to, threats or incidents associated with the impacts of climate change.”

- What do impacts from hazards mean to people, property, livelihoods, health, and community services/lifelines?
- How can we reduce disruption, damage, and/or other impacts?



What Does Climate Resilience Mean?

Hazards include:

- Extreme precipitation
- Flooding from riverine, stormwater, tidal sources, or a combination
- Sea level rise (including groundwater impacts)
- Extreme temperatures (heat and cold)
- Extreme weather (winter storms, nor'easters, severe thunderstorms, tornadoes)
- Tropical storm and hurricane impacts
- Windstorms
- Wildfire
- Drought

How do these hazards change due to climate change through at least 2050?

What does changing risk mean to people, property, livelihoods, health, and community services/lifelines?



Differences Between Tracks

Track 1 – Planning

- Develop a plan
- Identify potential projects
- Identify vulnerability
- Engage community and stakeholders
- Typical applicants: local government, councils of government, utilities, non-profits/academia/consulting firms already partnering with communities
- Typical applications may have multiple partners involved

Track 2 – Project Development

- Already have a plan
- Ready to advance identified projects
- Already understand vulnerability
- Continue engaging community and stakeholders
- Typical applicants: local governments, utilities, COGs, consulting firms, and nonprofits that already manage federal grants or infrastructure projects
- Depending on scope, typical applications will only have partners directly impacted by and/or contributing to the project



Who Can Apply?

Eligible applicants include:

- Local government
- Councils of Government
- Nonprofit organizations
- Utilities
- Academic institutions
- Private sector

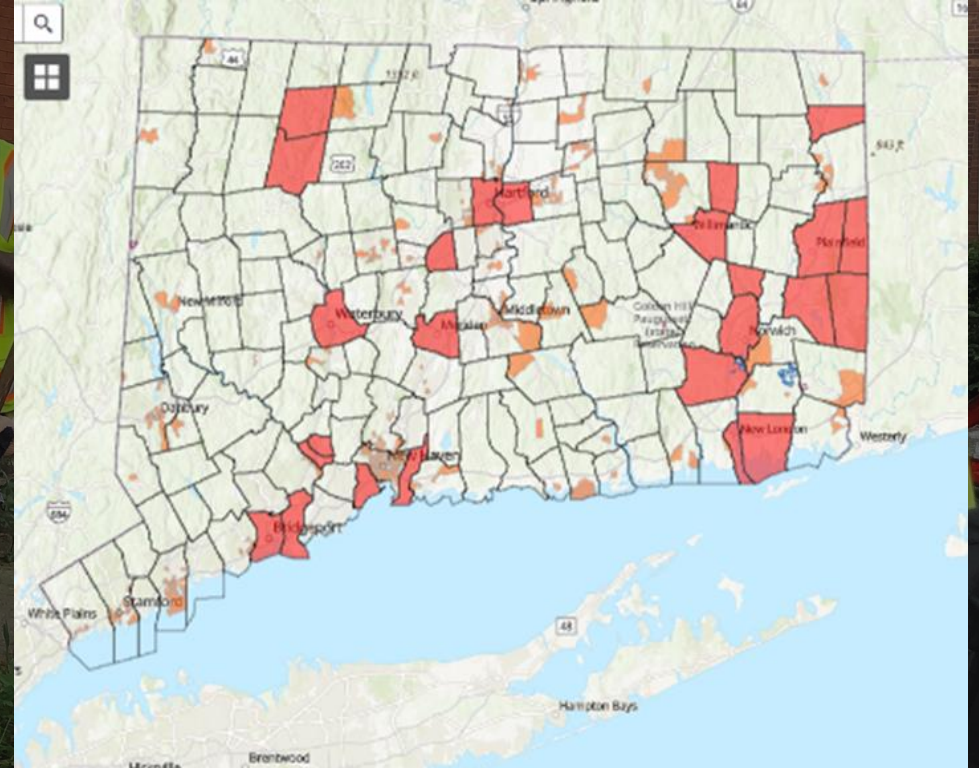
Note: All applications **must** demonstrate strong commitment and partnerships with local governments and community organizations.



Prioritizing Vulnerable Communities

At least 40% of resources must go to municipalities where vulnerable people reside.

This means if DEEP awards \$10 million in grants, at least \$4 million must go to municipalities where vulnerable people reside.



CT Environmental Justice
Communities



DEEP Climate Resilience Fund

Community Engagement

Track 1: Planning:

Minimum of 3 public meetings, including 1 to share results with community and one final feedback opportunity.

Strongly encourage more!

Track 2: Project Development

Minimum of 2 public meetings, including 1 to share results.

Engagement must be commensurate with proposed scope of work

You do NOT need to conduct engagement before applying!



Required Deliverables

Track 1: Planning:

Copy of the prioritized list of next steps (unless already in plan)

Track 2: Project Development

Copy of draft project narrative for federal grant application

- Copy of funded activity (plan, design, study, etc.)
- Executive summary highlighting the process and lessons learned
- Funding assessment exercise
- Presentation slide communicating accomplishments and lessons



Local Match Funding Strategy

All grantees (Tracks 1 and 2) are required to develop a local match funding strategy to meet the non-federal match requirements of federal funding opportunities.

The local match strategy may include using the stormwater authority and climate resilience board expansions authorized under Governor Lamont's **Public Act 21-115**



Application Tips

- Use specific examples to illustrate what you want to accomplish
- Be concise. Think about what DEEP needs to know in each question to make a decision.
- Use supporting materials, such as resumes, the milestone chart and budget, and letters of support to demonstrate your team's qualifications and how you will accomplish this work.



Letters Of Support

Letters of Support are strongly encouraged

- Make sure each letter highlights the role of the writer/organization and what they will add to the process. Do not send form letters.
- If the applicant is not a local government, letters of support from local government staff are strongly encouraged and should make participation commitments.



Frequently Asked Questions (FAQs)

- DEEP will post an updated version of the [FAQs](#) on the [DEEP Climate Resilience Fund website](#) every Friday.
- We will review emailed questions in batches so we have time to provide a thoughtful response and also add to the FAQs so everyone can see the response.



Budget and Milestone Chart

Budget Justification
Budget Tool
Milestone Chart



CT CLIMATE
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CT Climate Action Main >

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Executive Order 21-3 >

DEEP Climate Resilience Fund >

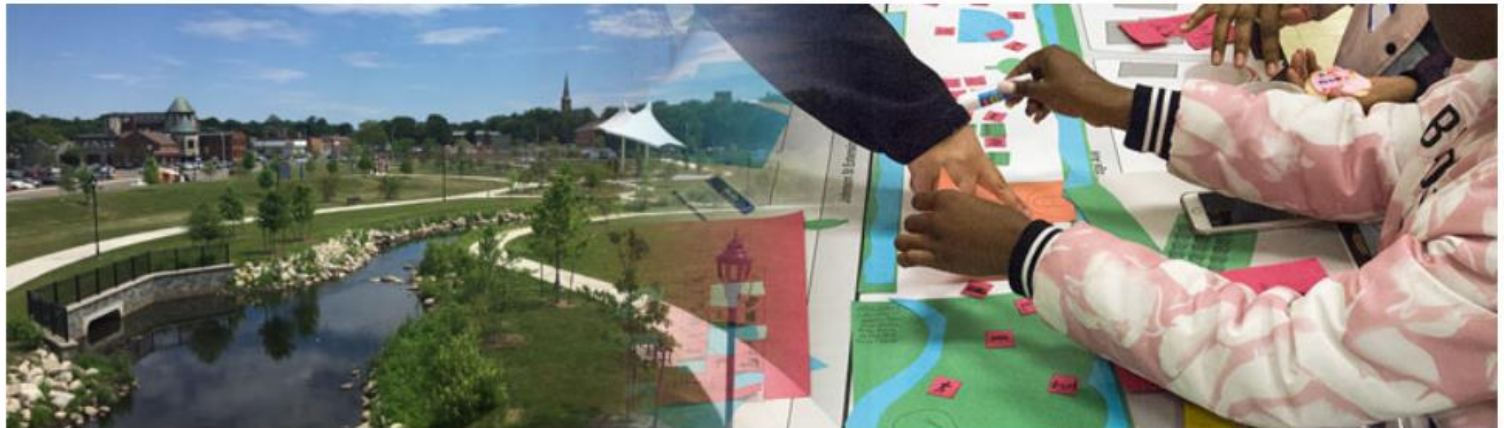
Executive Order 21-3

Search Climate Action

by Keyword



DEEP Climate Resilience Fund



DEEP is pleased to open the first round of the DEEP Climate Resilience Fund.

Check the Webinar section below for upcoming informational webinars.

Register for the next webinar:

Track 2: Project Development Details and Q&A

Friday, September 30, 10 – 11:30 AM

<https://portal.ct.gov/connecticutclimateaction/executive-order/deep-climate-resilience-fund>

DEEP Climate Resilience Fund



Budget Justification Template



Budget Justification Template and Budget Summary

This budget justification template is intended to guide applicants as they provide CT DEEP a breakdown of the costs associated with your Track 1 or Track 2 application. Include total category costs next to each category header. These values will be used when submitting the project budget summary. Applicants are permitted to use alternative budget tools to the spreadsheet template provided, however, the budget summary with all categories costs and a completed copy of this budget justification form must be included with your application.

Italicized text is informational only. Please delete it before you submit your application. The plain text is a mock-budget justification for the mock-budget summary below to further aid applicants in building a budget and justification. Applicants should use values and descriptions that fit their application. This justification narrative is illustrative only.

NOTE: This is the budget document we will evaluate

Fringe Benefits. \$23,829

Provide here all personnel names (if applicable), positions, and total fringe benefit amount for Year 1 and Year 2. Fringe benefit rates may differ across positions.

Name: J. Smith
Position Title: Project Manager
Total Fringe Benefit Amount: \$14,297

Name: TBD
Position Title: Project Assistant
Total Fringe Benefit Amount: \$9,532

Travel \$4,000

Include here a topline estimate of travel-related expenses for the project team. Include, planned travel destinations and purpose (i.e., community meetings, conferences, site visits, etc. in [Town X]). If attending a conference, please include the conference name. For all planned travel you must describe how it is intended to benefit the purpose and goals of the project. As a reminder, all actual travel costs are by reimbursement only.

We request \$2000 for Year 1 and 2 each (\$4000 total). It is anticipated that the Project Manager and Project Assistant will travel for an initial visit to the expected site of the climate resilience project. The project team also expects to host up to three in-person community engagement workshops yearly (6 total in Years 1 and 2), where the team will travel to the [Town X] community library. The Project Manager intends to attend [Organization Y's] statewide climate resilience conference at the end of Year 1, where they will gain education on equitable community resilience and capacity



Budget Justification: Budget Summary

DEEP Climate Resilience Fund Budget

Budget Summary

Salaries *	\$47,657.00
Fringe	\$23,829.00
Total Salary & Fringe	\$71,486.00
Travel	\$4,000.00
Participant Support Costs	\$7,500.00
Subawards	\$100,000.00
Contractual Services	\$25,000.00
Materials and Supplies	\$4,000.00
Total Other Direct	\$129,000.00
Indirect	\$20,449.00
Total Budgets:	\$232,435.00

Budget Justification

Direct Costs: \$211,986

Indirect Costs: \$20,449

Total Request: \$232,435

Don't Forget

NOTE: This is the budget document we will evaluate

DEEP Climate Resilience Fund



Budget Justification: Personnel

Personnel \$47,657

This section will include the name (if applicable), position, and responsibilities of each individual budgeted to the plan or project and how the work of each position will support the project purpose and goals. This narrative must also detail the time contribution each of position to the project over Years 1 and 2, total project salary, and any applicable annual salary escalation. Indicate whether each position is currently or expected to be hired.

Name: J. Smith
Position Title: Project Manager
Hired: Yes
Personnel Total Project Salary: \$28,594
Months of Contribution: 12 months in Year 1; 6 months in Year 2
Effort: 25%
Position Responsibilities: Project oversight, facilitate DEEP Climate Resilience Fund subaward partnerships and contracts, manage invoicing, and timeline management
Annual Salary escalation: 5%

Name: TBD
Position Title: Project Assistant
Hired: No
Personnel Total Project Salary: \$19,063
Months of Contribution: 12 months in Year 1; 6 months in Year 2
Effort: 25%
Position Responsibilities: Administrative support to the Project Manager, edit outreach materials, manage communication with DEEP Climate Resilience Fund subaward partnerships and contracts, and assist in grant writing
Annual Salary Escalation: 5%



Budget Justification: Fringe Benefits

Fringe Benefits. \$23,829

*Provide here all personnel names (if applicable), positions, and total fringe benefit amount for Year 1 and Year 2.
Fringe benefit rates may differ across positions.*

Name: J. Smith
Position Title: Project Manager
Total Fringe Benefit Amount: \$14,297

Name: TBD
Position Title: Project Assistant
Total Fringe Benefit Amount: \$9,532



Budget Justification: Travel Expenses

Travel \$4,000

Include here a topline estimate of travel-related expenses for the project team. Include, planned travel destinations and purpose (i.e., community meetings, conferences, site visits, etc. in [Town X]). If attending a conference, please include the conference name. For all planned travel you must describe how it is intended to benefit the purpose and goals of the project. As a reminder, all actual travel costs are by reimbursement only.

We request \$2000 for Year 1 and 2 each (\$4000 total). It is anticipated that the Project Manager and Project Assistant will travel for an initial visit to the expected site of the climate resilience project. The project team also expects to host up to three in-person community engagement workshops yearly (6 total in Years 1 and 2), where the team will travel to the [Town X] community library. The Project Manager intends to attend [Organization Y's] statewide climate resilience conference at the end of Year 1, where they will gain education on equitable community resilience and capacity



building strategies that will be help the project team understand how their current activities may be improved to better meet the needs of and achieve the most equitable outcomes for the project community.



Budget Justification: Participant Support

Participant Support Costs \$7,500

This section details all costs associated with supporting individuals and facilitating inclusive project participation (i.e., gift cards, food at meetings, childcare, facility rental, stipends, travel assistance, meeting translational services, etc.). For all expected participant support costs, include how the service or item will improve community engagement and ultimately benefit the purpose and goals of the project.

We request participant support costs of \$5000 in Year 1 and \$2500 in Year 2 (\$7,500 total). We will work in partnership with our subaward community organization to conduct a series of approximately 3 workshops. In order to facilitate a high level of community participation, funds will be used to provide the following to workshop participants: food during the meeting and on-site childcare. We expect to have approximately 50 members of the public participate in each workshop at a cost of approximately \$50 per person, per workshop (\$2500 per workshop x 3). Workshops are anticipated to be ½ day in duration and include a light breakfast, lunch, or dinner depending on time of day. There are no facility rental fees for the workshops.

See subaward to the community organization for their costs associated with the workshops, including community liaisons and stipends.



Budget Justification: Other Direct Costs

Other Direct Costs \$129,000

Include here all other direct costs related to project activities (i.e., subawards to partner organizations, contractual services agreements, publication costs, materials and supplies, printed translational services, etc.). Quantity and costs are not required but must include the name of each item or service and describe how it supports project purpose and goals. Any subawardee partner organizations on the project must complete a separate topline budget proposal and budget justification accounting for the subawarded amount.

Subaward \$100,000

*Subawardees are partner organizations and community groups identified by the project team to assist in various project activities. Applicants are assumed and highly encouraged to have identified subawardees prior to submitting an application to DEEP. Provide a brief explanation of scope of services and total budget for subaward and how the subawardee's services will benefit the goals and purpose of the project. **Applicant must include a complete budget and budget justification for each subaward.***

We request \$100,000 to partner with [X community organization] across Years 1 and 2. A budget justification for these funds is attached separately. This organization will use its understanding of the community to help facilitate an inclusive and engaging public feedback process that will ensure community voices and concerns are adequately represented and addressed in every step of the project. This organization will play a vital role in facilitating community workshops and supporting the community vulnerability assessment, using their



Budget Justification: Other Direct Costs

Contractual Services \$25,000

Applicants may choose to pursue contractual services to consult on various aspects of their project planning and development. Applicants are assumed to have identified project activities and services they plan to seek contractual services to assist in prior to submitting an application to DEEP. Provide an explanation of the general expected scope of services and budget estimate and how the contractual services will benefit the goals and purpose of the project. It is assumed that applicants will proceed with procurement of contractual services once they have been awarded the grant, and no additional budget justifications are required.

We request \$25,000 to contract an undetermined consulting group to assist in grant writing, proposing evidence-based community engagement strategies and workshop design, and conducting the community vulnerability assessment in collaboration with [X community organization]. We expect to contract these services early in the project, so \$25,000 is only estimated in the budget for Year 1.

Materials and Supplies \$4,000

Include in this section the direct costs of materials, services, and equipment required to conduct project activities and building the project team's capacity necessary for the project's success (i.e., outreach material printing and shipping costs, written translation services, laptops for hired personnel, etc.). The quantity and individual costs of items or services is not required, but please provide the name of the requests item or service and how it will benefit project goals and purpose.

We request \$1,000 in Year 1 and Year 2 (\$2,000 total) to design, publish, and distribute outreach materials related to the resilience project. These will include factsheets about the climate impacts effecting the project area, solicitations for feedback and participation in the resilience project, and summary fliers detailing the final product of the community's resilience project and how it benefits the community. These materials will be distributed via USPS to all households within the scope of the project area.

We request an additional \$1,000 for translation services in both Years 1 and 2 each (\$2,000 total) to translate English language program outreach materials to Spanish. We anticipate initial materials will be developed in Year 1 and updates of a similar scope will be needed in Year 2.



Budget Justification: Indirect Costs

Indirect Costs \$20,449

Indirect Costs are incurred for a common purpose, benefiting more than one objective project, or program, and cannot be easily assignable to the outcome, project or program specifically attaining the related benefits. Applicants/ subawardees should first use any previously negotiated Indirect Cost Rate with the State of Connecticut. The budget justification should include a reference for the Indirect Cost Rate used.

Applicant/ subawardees that do not have a rate negotiated with the state, but do have an approved federally recognized and valid Negotiated Indirect Cost Rate (or Recovery) Agreement (NICRA) from their cognizant agency can charge indirect costs to projects based on their negotiated indirect cost rate and modified total direct cost (MTDC) base, both as listed in their NICRA.

An approved and valid NICRA is one in which the rate has been authorized by a cognizant agency and the effective period has not expired. Valid provisional, final or fixed NICRAs will be accepted. Applicants/ subrecipients must provide a copy of their approved and valid NICRA with their application in order for indirect cost reimbursements to be considered.

The federal government has determined that a de minimis 10% indirect rate is an acceptable minimum for organizations without a NICRA, as such CT DEEP reserves the right to scrutinize ALL proposals with indirect rates above 10% for cost-effectiveness.

If you are including indirect costs in your budget request that are above 10% and you do NOT have NICRA or previously negotiated indirect cost rate with the State of Connecticut, please provide a narrative description identifying what the indirect request will be supporting (e.g., CEO salary, rent for organization space, etc.). Indirect cost narratives should include a statement of whether the applicant has ever had a NICRA. If the applicant has a NICRA, it shall include supporting documentation. Budgets without narrative descriptions for indirect costs may be rejected and/or returned to the applicant for further details and clarification.

The project team does not have a previously negotiated indirect rate with the state of Connecticut or a NICRA and is therefore using the federally de minimus 10% indirect rate (\$15,338 in Year 1 and \$10,611 in Year 2).



Budget Tool

1	DEEP Resilience Fund Budget Template		Note: The numbers provided here are used for illustration purposes.						
2				Year 1 Months	Year 2 Months		Year 1	Year 2	Total
3	A.	Name (if available) and Title of Personnel	Annual Salary	1/1/2023- 12/31/2023	1/1/2024- 5/31/2024	% Annual Effort	1/1/2023- 12/31/2023	1/1/2024- 5/31/2024	
4		Example: J. Smith, Project Manager	\$75,000	12.00	6.00	25.00%	18,750	9,844	28,594
5		Example: To-be-hired, Project Assistant	\$50,000	12.00	6.00	25.00%	12,500	6,563	19,063
6							-	-	-
7							-	-	-
8							-	-	-
9							-	-	-
10							-	-	-
11							-	-	-
12							-	-	-
13							-	-	-
14							-	-	-
15							-	-	-
16			Total Salaries				31,250	16,407	47,657
17									
18	C.	Fringe Benefits	Yr 1	Yr 2					
19		Example: J. Smith, Project Manager	50.0%	50.0%			9,375	4,922	14,297
20		Example: To-be-hired, Project Assistant	50.0%	50.0%			6,250	3,282	9,532
21							-	-	-
22							-	-	-
23							-	-	-

NOTE: This tool is to help you prepare the budget for the justification and summary. You can use any method. We are not evaluating this document.

Please do not submit this file with your application.



Budget Tool

NOTE: This tool is to help you prepare the budget for the justification and summary. You can use any method. We are not evaluating this document.

Please do not submit this file with your application.

32									-
33	E.	Travel	Domestic				2,000	2,000	4,000
34									-
35	F.	Participant Support Costs							
36		Stipends							-
37		Participant Travel							-
38									
39		Other					5,000	2,500	7,500
40						Total Participant Costs	5,000	2,500	7,500
41	G.	Other Direct Costs							
42		Materials & Supplies					2,000	2,000	4,000
43		Partner Subawards					100,000		100,000
44		Contractual Services					25,000		25,000
45									-
46		Other							-
47						Total Other Direct Costs	127,000	2,000	129,000
48									
49	H.	Total Direct Costs	YR 1	YR 2			180,875	31,111	211,986
50	I.	Indirect Costs (F&A) @	10.0%	10.0%			17,588	2,861	20,449
51									
52	J.	Total Costs					\$ 198,463	\$ 33,972	\$ 232,435
53									
54		Indirect Cost Base (MTDC)					\$ 175,875	\$ 28,611	\$ 204,486
55									



Milestone Chart for Track 1



Resilience Plan Milestone Chart – DEEP Resilience Fund Grant – TRACK 1

DEEP expects Track 1 funding requests between \$100,000 to \$200,000, however, applicants are eligible to request up to \$250,000. The expected duration of Track 1 planning is up to 24 months from the contract execution date, depending on project scope, complexity, and community engagement plan.

1. Applicant Name: _____
2. Project Name: _____
3. Program Duration: _____
4. Total Grant Request \$: _____

If approved, the schedule will become part of your grant contract with the state. You will be monitored for compliance with these dates. Therefore, you must estimate the dates as wisely as possible.

Please provide projected dates of completion. Be advised these dates will be considered part of your project schedule. A quarterly progress report is required. Quarters are January 1 – March 31; April 1 – June 30; July 1 – September 30; and October 1 – December 31.

Primary Tasks (expand as needed)	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	5th Qtr.	6th Qtr.	7th Qtr.	8th Qtr.

NOTE: This document will be evaluated.

Please use this template for your milestone chart.



Milestone Chart for Track 2



Resilience Project Milestone Chart – DEEP Resilience Fund Grant – TRACK 2

There is no formal cap on funding requests for Track 2, however, DEEP expects awards to range between \$300,000 and \$700,000. The expected duration of Track 2 project development is up to 18 months from the contract execution date, depending on project scope, complexity, and community engagement plan.

1. Applicant Name: _____
2. Project Name: _____
3. Program Duration: _____
4. Total Grant Request \$: _____

If approved, the schedule will become part of your grant contract with the state. You will be monitored for compliance with these dates. Therefore, you must estimate the dates as wisely as possible.

Please provide projected dates of completion. Be advised these dates will be considered part of your project schedule. A quarterly progress report is required. Quarters are January 1 – March 31; April 1 – June 30; July 1 – September 30; and October 1 – December 31.

Primary Tasks (expand as needed)	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	5th Qtr.	6th Qtr.

NOTE: This document will be evaluated.

Please use this template for your milestone chart.



From the FAQ: Ineligible Costs

47. What activities are not considered eligible expenses under the DEEP Climate Resilience Fund?

- Construction
- Any activity considered implementation (if you have a question about this, please email us.)
- Activities that do not align with the stated Track 1 or Track 2 fundable activities
- Any activity that is a prohibited use of state bond funds



From the FAQ: Ineligible Costs

Additionally, as detailed in DEEP's standard contract language for this program:

Prohibited Reimbursements: Unless specifically authorized by DEEP in its sole and absolute discretion, allowable costs under this Contract shall not include:

- Advertising, except reasonable costs incurred in issuing notices of public meetings shall be allowable;
- Alcoholic beverages;
- Alterations and renovations to existing facilities;
- Bad debts;
- Fundraising;
- Insurance;
- Interest;
- Membership dues;
- Land or building acquisition;
- Litigation expenses;
- Lobbying;
- Maintenance and repair costs;
- Rental or lease of facilities or equipment, except reasonable costs incurred in hosting public meetings shall be allowable;
- Overtime premiums;
- Other costs not necessary to complete the above-described deliverables;

Please note that DEEP may make changes and amendments to this list at any time.



From the FAQ: Decision Timeline

33. What is the anticipated award date on this funding

This is the inaugural round of the DEEP Climate Resilience Fund and **award announcement dates will be determined based on the number of applicants**. Awards will be announced prior to contract development. Timing of contract development will vary. We will update applicants as this information develops.

DEEP will not reimburse for any costs incurred prior to the finalization of the contract. If you have any questions, please send an email to DEEP.climate resilience@ct.gov.



Questions?

Sarah.Watson@ct.gov



DEEP Climate Resilience Fund