SLIGP Budget Amendments

How to Complete your Phase 2 Modification
PARTICIPATING IN THIS WEBINAR

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SLIGP Budget Amendments
How to Complete your Phase 2 Modification

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SLIGP State and Local Implementation Grant Program
PHASE 2 PACKAGE OVERVIEW

- The following documents are required for a complete Phase 2 package. A complete package is required to recommend the release of the Phase 2 reserve:
  - Cover letter or transmittal email from AOR or SPOC
  - Revised budget detail spreadsheet
  - Revised budget narrative
  - Revised Standard Form (SF)-424A
  - Supplemental Application Narrative Question 14
  - Revised baseline/expenditure plan
Recipients must submit a revised budget detail spreadsheet that aligns with the new period of performance.

Phase 2 represents an opportunity to develop a budget that more accurately represents each recipient’s project plan.

Revised budget detail spreadsheets should include costs related to any Phase 2 activities that recipients plan to conduct.

Recipients should leverage the SLIGP – Sample REVISED Budget Spreadsheet to update their budgets.

Recipients should reference their last approved budget as they begin to revise their budgets.
Recipients must submit a new budget narrative documenting how they intend to use the federal and match funds in each object class category.

Recipients should provide a narrative breakdown and explanation of all the costs that appear in their revised budget detail spreadsheet.

If recipients have added activities or moved money between object class categories, all costs must match costs reported in the revised budget detail.

Recipients should leverage the SLIGP SAMPLE Budget Narrative to update their budget narratives.

**Sample Revised Budget Narrative**

<table>
<thead>
<tr>
<th>Personnel</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Fringe</strong></td>
<td></td>
</tr>
<tr>
<td>Federal:</td>
<td>$75,600</td>
</tr>
<tr>
<td>Non-Federal:</td>
<td>$25,200</td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td><strong>$100,800</strong></td>
</tr>
</tbody>
</table>

See the Detailed Budget Spreadsheet for calculations:

- **Swic (Federal):** The SWIC will provide oversight for the SLIGP grant, ensuring that all activities are completed on time and within budget. The SWIC will be the primary point of contact for consultation with FirstNet, and will work to expand the State’s governance structure. The budgeted costs (30% time) are only for the duties associated with public safety broadband and the SLIGP grant, not the additional land mobile radio and general interoperable communication duties of the SWIC.

- **Grant Manager (Federal):** This person will provide grant management support, including completing progress reports, managing the project’s budget, and ensuring grant activities are completed on time. She will spend 100% of her time on SLIGP grant activities.

- **Outreach Coordinator (Non-Federal):** This person will organize meetings with local and tribal jurisdictions, and communicate information about grant activities to key stakeholders. This position will spend 100% of his time on SLIGP grant activities. All of this expense will be provided as an in-kind match. The source of this match is the State’s general fund and is not from another Federal source.
The SF-424A is a high-level breakdown of federal and match spending in each object class category.

Recipients must submit a revised SF-424A reflecting the changes outlined in the revised budget detail spreadsheet and budget narrative.

Recipients should ensure their SF-424A aligns with the object class categories in their new budget detail spreadsheet exactly.

**Sample SF-424A**

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**SLIGP**
State and Local Implementation Grant Program
Recipients must submit a revised response to “Question 14: Phase Two Funding” in their supplemental application narrative.

Question 14 asks, “Describe the activities that you expect to undertake with the Phase 2 funding when it is made available to the State, Territory, or District.”

Recipients should note which FirstNet-determined data collection activities they plan to conduct and should provide as much detail as possible around what they plan on doing under each data collection category.
The baseline/expenditure plan provides insight to NTIA into specific activities recipients will accomplish over the four-and-a-half-year award period through the following:

- Identifies “Milestone Activity Categories” (e.g., stakeholder meetings and governance meetings) that reflect the types of activities that recipients will undertake
- Asks recipients to project spending of federal and non-federal funds by quarter for the remainder of their period of performance

Recipients can now revise their baseline/expenditure plans to reflect any necessary changes and the extended period of performance.
NTIA GUIDANCE AND INSTRUCTIONS FOR COMPLETING THE BASELINE/EXPENDITURE PLAN

NTIA Guidance

• NTIA has clarified the milestone activity categories and directions based on a more in-depth view of the activities recipients will undertake
• All recipients should complete the baseline/expenditure plan according to the guidance provided here as it is more expansive than the guidance provided with the form
• NTIA has provided an audio/visual tutorial (Captivate) to supplement this guidance

Spreadsheet Instructions

• On the first page of the baseline expenditure plans, SLIGP recipients should project progress toward milestone categories for each quarter of their SLIGP grant; these projections are not cumulative
• On the second page of the baseline expenditure plans, SLIGP recipients should project spending toward specific cost categories; these projections are cumulative

SLIGP
State and Local Implementation Grant Program
# SLIGP Grant Quarterly Calendar

The following table serves as a reference for recipients:

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Calendar Period</th>
<th>Quarter</th>
<th>Calendar Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q10</td>
<td>October 1, 2015 – December 31, 2015</td>
<td>Q16</td>
<td>April 1, 2017 – June 30, 2017</td>
</tr>
<tr>
<td>Q11</td>
<td>January 1, 2016 – March 31, 2016</td>
<td>Q17</td>
<td>July 1, 2017 – September 30, 2017</td>
</tr>
<tr>
<td>Q12</td>
<td>April 1, 2016 – June 30, 2016</td>
<td>Q18</td>
<td>October 1, 2017 – December 31, 2017*</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Q19</td>
<td>January 1, 2018 – March 31, 2018*</td>
</tr>
</tbody>
</table>

*18 month SLIGP grant extensions were provided to all recipients not to extend beyond February 2018. Recipients will have a 12/31/2017, 1/31/2018 or 2/28/2018 end date
The baseline/expenditure plan identifies the following milestone categories. The instructions direct recipients to identify the number of activities they plan to complete each quarter. NTIA reviews projected and actual progress towards milestone categories each quarter.

- Stakeholder Meetings
- Broadband Conferences
- Staff Hires (Full-Time Equivalent) (FTE)
- Contract Executions
- Governance Meetings
- Education and Outreach Materials
- Subrecipient Agreements Executed
- Phase 2 Activities
  - Coverage
  - Users and Their Operational Areas
  - Capacity Planning
  - Current Providers/Procurement
  - State Plan Decision
## MILESTONE CATEGORIES: DEFINITIONS

<table>
<thead>
<tr>
<th>Milestone Activity Categories</th>
<th>Definition</th>
<th>Data To Be Reflected</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Stakeholders Engaged at Meetings (number of individuals reached via stakeholder meetings)</td>
<td>Events during which SLIGP-funded staff, or representatives of the SLIGP program, meet with stakeholders for the purpose of consultation, education, and outreach. Events may include meetings, conferences, and regional summits. Events do NOT include governance meetings or conferences that do NOT include stakeholders</td>
<td>Number of individuals reached via meetings</td>
</tr>
<tr>
<td>2. Broadband Conferences Attended (number of individuals sent to third-party broadband conferences)</td>
<td>Broadband conferences hosted by a third party that you attend as part of your SLIGP activities (examples include IWCE, PSCR, APCO, etc.)</td>
<td>Number of people who are sent to conferences using SLIGP grant funds</td>
</tr>
</tbody>
</table>
### MILESTONE CATEGORIES: DEFINITIONS (CONT.)

<table>
<thead>
<tr>
<th>Milestone Activity Category</th>
<th>Definition</th>
<th>Data To Be Reflected</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Staff Hires (Full-Time Equivalent) (FTE)</td>
<td>State personnel FTEs supporting SLIGP. This includes new hires and existing staff who will start spending time supporting SLIGP during the quarter, and should align with the staff listed in the &quot;Personnel&quot; cost category. This includes individuals devoting 100% of their time to SLIGP, as well as individuals spending a portion of their time supporting SLIGP. It includes individuals supported by Federal and matching funds. This should NOT include contractors or vendors.</td>
<td>Number of FTEs that began supporting SLIGP activities</td>
</tr>
<tr>
<td>4. Contract Executions</td>
<td>Contracts that are executed by the recipient. This should align with the number of contracts listed in the &quot;Contractual&quot; cost category</td>
<td>Number of contracts executed</td>
</tr>
</tbody>
</table>
### MILESTONE CATEGORIES: DEFINITIONS (CONT.)

<table>
<thead>
<tr>
<th>Milestone Activity Category</th>
<th>Definition</th>
<th>Data To Be Reflected</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Governance Meetings</td>
<td>Meetings of the governance body. This includes meetings by subcommittees or working groups for the purpose of governance</td>
<td>Number of meetings held</td>
</tr>
<tr>
<td>6. Education and Outreach Materials</td>
<td>Materials developed and/or distributed by the recipient for the purpose of informing others about SLIGP and the NPSBN. This category also includes materials developed for project websites and social media accounts</td>
<td>Number of materials distributed plus hits to any websites supported by SLIGP funding</td>
</tr>
<tr>
<td>7. Subrecipient Agreements Executed</td>
<td>Subrecipient agreements that are executed by the recipient. This should align with any subrecipients listed in the &quot;Other&quot; cost category</td>
<td>Number of agreements executed</td>
</tr>
</tbody>
</table>
### PHASE 2 MILESTONE CATEGORIES: DEFINITIONS

<table>
<thead>
<tr>
<th>Milestone Activity Category</th>
<th>Definition</th>
<th>Data To Be Reflected</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. Phase 2 - Coverage</td>
<td>Identify desired coverage within the state/territory and proposed build-out phases</td>
<td>For each Phase 2 milestone category, provide the status of activity:</td>
</tr>
<tr>
<td>9. Phase 2 – Users and Their Operational Areas</td>
<td>Gather information on potential user base and their operational areas</td>
<td>• <strong>Stage 1</strong>: Process development</td>
</tr>
<tr>
<td>10. Phase 2 – Capacity Planning</td>
<td>Estimate current data usage and projected data usage on FirstNet</td>
<td>• <strong>Stage 2</strong>: Data collection in progress</td>
</tr>
<tr>
<td>11. Phase 2 – Current Providers/Procurement</td>
<td>Identify current service providers and plans, procurement vehicles and barriers to adoption</td>
<td>• <strong>Stage 3</strong>: Collection complete; Analyzing/aggregating data</td>
</tr>
<tr>
<td>12. Phase 2 – State Plan Decision</td>
<td>Document the process for state plan review and decision making</td>
<td>• <strong>Stage 4</strong>: Data submitted to FirstNet</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• <strong>Stage 5</strong>: Continued/iterative data collection</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• <strong>Stage 6</strong>: Submitted iterative data to FirstNet</td>
</tr>
</tbody>
</table>
Broadband Conferences Attended (project the number of broadband conferences attended by SLIGP-funded individuals)
• A recipient reported sending 8 SLIGP-funded individuals to broadband conferences in quarters 1-7. They looked at the calendar and know that in some future quarters they will send 2 or 3 SLIGP-funded staff to conferences – The total number of SLIGP funded staff to be sent to conferences is 20

Phase 2 – Users and Their Operational Areas (project status of activities)
• In preparation for Phase 2 data collection activities a recipient assessed that they will spend one quarter developing their data collection process, two quarters collecting their initial data, one quarter analyzing what they collected, and will report in one quarter that the data was sent to FirstNet. The following quarter they will resume data collection because data collection is an iterative process and will ultimately submit data to FirstNet

See example Milestone Categories table on the next slide
## COMPLETING THE MILESTONE CATEGORIES TAB: EXAMPLE (CONT.)

### SAMPLE

<table>
<thead>
<tr>
<th>Category</th>
<th>Total</th>
<th>Q1 - 7</th>
<th>Q8</th>
<th>Q9</th>
<th>Q10</th>
<th>Q11</th>
<th>Q12</th>
<th>Q13</th>
<th>Q14</th>
<th>Q15</th>
<th>Q16</th>
<th>Q17</th>
<th>Q18</th>
<th>Q19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Broadband Conferences</td>
<td>20</td>
<td>8</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Data Collection: Users and Operational Areas</td>
<td>N/A</td>
<td>0</td>
<td>Stage 1</td>
<td>Stage 2</td>
<td>Stage 2</td>
<td>Stage 3</td>
<td>Stage 4</td>
<td>Stage 5</td>
<td>Stage 5</td>
<td>Stage 5</td>
<td>Stage 5</td>
<td>Stage 6</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
KEY INDICATORS (EXPENDITURES BY COST CATEGORY): EXPLAINED

- The baseline/expenditure plan asks recipients to project quarterly spending for the award period.
- The directions in the form state expenses "should be reported in the quarter you are anticipating expending the funds." We are also requesting that you report expenditures cumulatively. For example if a recipient plans on spending $10,000 on travel in Q8 and $15,000 in Q9 then the total projected in Q9 should be $25,000.
- Recipients may now reflect Phase 2 expenditures in the object class categories they have used to budget Phase 2 activities.
Contractual: Federal Funds

- A recipient plans to ramp up the contractor’s engagement during the next few quarters. The total budget for contracts is $725,000. Between Q1 and Q7 they have spent $50,000
- Federal expenditures for contractual support during the next five quarters would be:
  - Q8 – $50,000
  - Q9 – $75,000
  - Q10 – $75,000
  - Q11 – $75,000
  - Q12 – $50,000
- In quarters 13-19 the recipient plans to maintain a steady level of contractor support, spending approximately $50,000 each quarter.

See example Key Indicators table on the next slide
## Completing the Key Indicators Tab: Example (Cont.)

### SAMPLE

<table>
<thead>
<tr>
<th>Category</th>
<th>Total</th>
<th>Q1-7</th>
<th>Q8</th>
<th>Q9</th>
<th>Q10</th>
<th>Q11</th>
<th>Q12</th>
<th>Q13</th>
<th>Q14</th>
<th>Q15</th>
<th>Q16</th>
<th>Q17</th>
<th>Q18</th>
<th>Q19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contractual*</td>
<td>$725K</td>
<td>$50K</td>
<td>$100K</td>
<td>$175K</td>
<td>$250K</td>
<td>$325K</td>
<td>$375K</td>
<td>$425K</td>
<td>$475K</td>
<td>$525K</td>
<td>$575K</td>
<td>$625K</td>
<td>$675K</td>
<td>$725K</td>
</tr>
</tbody>
</table>

*Recipients should report dollar figures in whole dollars (e.g. $725,000)
DOC Standard Terms and Conditions state that the non-Federal share is expected to be paid out at the same general rate as the Federal share.

If your budget is 20% match and 80% federal funds, then each quarter your total actual expenditures should be at least 20% match and at most 80% federal funds. This proportionality should be reflected in your B/E Plan.

If you are unable to meet match proportionality requirements, you must request a waiver from the Program and Grants Office.
• Refer to your budget detail and budget narrative when completing the “Milestone Categories.” Many recipients indicated the planned number of meetings, trips, new staff, etc. when developing their budgets
• Take into account start-up time for your Phase 2 activities.
• Take into account the time needed to hire any new staff or contractors, to procure supplies, etc.
• Alert your FPO if you anticipate being out of proportion in your federal and match spending. If you are unable to meet match proportionality requirements, you must request a waiver from the Program and Grants Office
• Use any project plans that you have developed to help complete your B/E plan
• Reach out to your assigned FPO if you have any questions or concerns
SUBMITTING YOUR BUDGET AMENDMENT PACKAGE

Recipients should:

• Email the entire package to the SLIGP email account (sligp@ntia.doc.gov) and cc: your assigned FPO
  o Cover letter or transmittal email from AOR or SPOC
  o Revised budget detail spreadsheet
  o Revised budget narrative
  o Revised Standard Form (SF)-424A
  o Supplemental Application Narrative Question 14
  o Revised baseline/expenditure plan

• FPOs will review the entire package and will contact recipients with any questions
• Recipients may be asked to revise documents in their package to clarify any issues; FPOs will inform recipients when the package has been recommended to the Grants Officer for processing and approval
• FPOs will email you a copy of your baseline/expenditure plan with Q1-7 filled out with data from your approved PPRs
• Templates and instructions on how to complete your phase 2 package are on the SLIGP website
Questions?