



U.S. Department
of Transportation

How to Apply for a Strengthening Mobility and Revolutionizing Transportation (SMART) Grant

September 29, 2022

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Website

- For more information, please visit <https://www.transportation.gov/SMART>
- Subscribe to receive email updates on the SMART program.

Today's Presenters



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U.S. Department
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SMART Grants Program Overview

Strengthening Mobility and Revolutionizing Transportation (SMART)

- New grant program to fund demonstration projects focused on **advanced smart city or community technologies and systems**.
- Provides **\$100M annually** from FY22 – 26 to eligible projects in States, political subdivisions of a State (e.g. cities, counties, towns), Tribal governments, transit agencies, toll authorities, MPOs, and groups of eligible recipients.



SMART

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USDOT's SMART Grants will be a two-stage program. Stage I: Planning & Prototyping and Stage II: Implementation

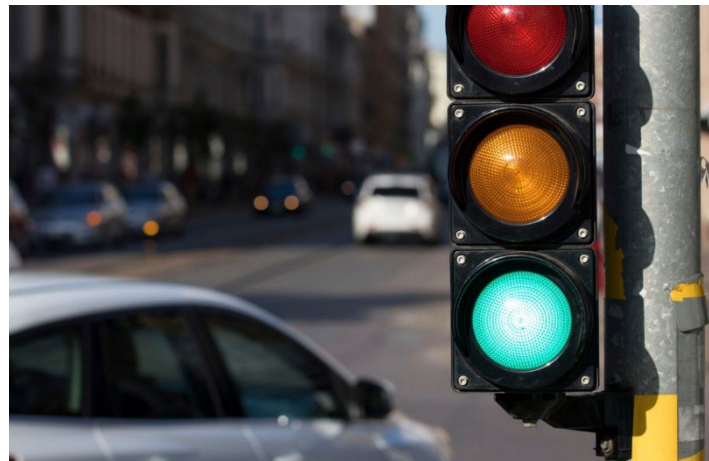
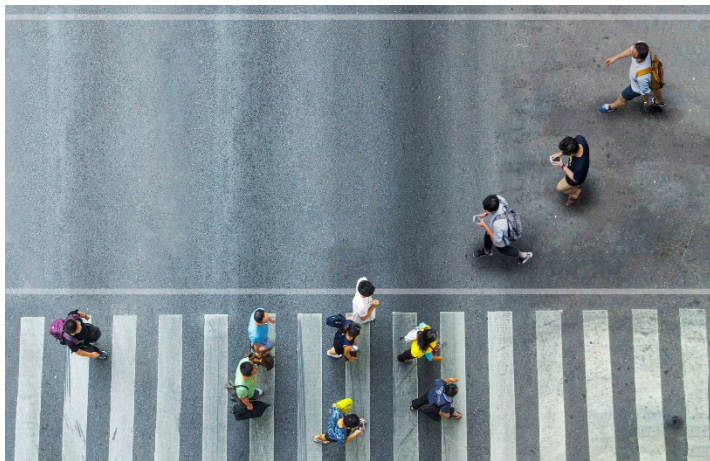
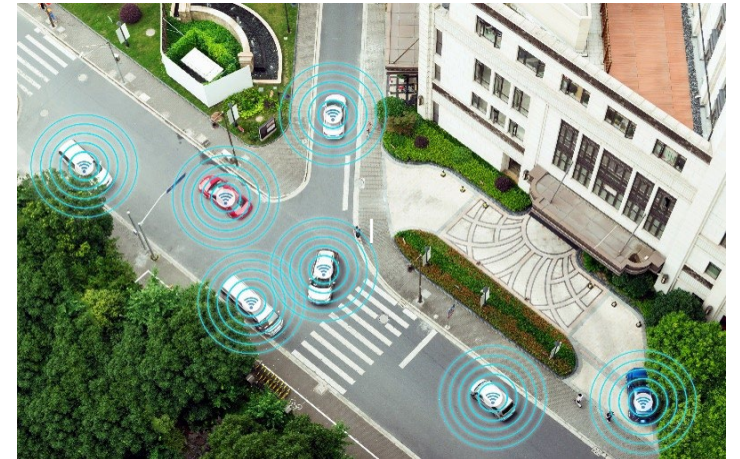


DOT anticipates awarding 30 - 50 Stage I grants from the FY22 NOFO



The NOFO opened on 09/19/2022 and will close at 5:00PM ET on Friday 11/18/2022.

Start with the Problem



SMART Grants Program Overview

SMART was established by the Bipartisan Infrastructure Law to “conduct demonstration projects focused on **advanced smart city or community technologies and systems** in a variety of communities to improve transportation efficiency and safety.”

The SMART Grants Program:



Funds
Demonstration
Projects



Addresses Real
World
Challenges



Aims for
Purpose Driven
Innovation



Builds Local
Technology
Capacity

Who is Here Today?

What type of organization do you represent?

- State government
- Local government
- Tribal government
- Federal government
- Metropolitan Planning Organization
- Nonprofit Organization or Academic Institution
- Public Transit Agency or Authority
- Airport or Port Authority
- Technology Vendor or Manufacturer / Consultant
- Other

Did you attend the first SMART Grants webinar on July 28, 2022?

- Yes
- No
- I watched the recording

The structure is a **two-stage program**.

- Stage 1: Planning and Prototyping Grant: up to \$2 million over 18 months
- Stage 2: Implementation Grant: up to \$15 million over 36 months

STAGE ONE:

- Proof-of-concept
- Build & strengthen partnerships
- Move quickly and demonstrate capacity

STAGE TWO:

- Scale prototypes to demonstrate benefits to community
 - Capture lessons learned
 - Evaluate benefits
- Work towards key performance indicators

BEYOND:

- Plan for widespread deployment of successful demonstrations

Overview: Eligible Entities

Eligible entities include:

- A. a State;
- B. a political subdivision of a State;
- C. a Tribal government;
- D. a public transit agency or authority;
- E. a public toll authority;
- F. a metropolitan planning organization; and
- G. a group of 2 or more eligible entities described above

*The NOFO includes a **Collaborative Application** option in which eligible entities may choose to collaborate across different regions or geographies on projects with similar characteristics, addressing similar problems and with similar technologies, potentially sharing common resources such as partnerships with industry, nonprofits, academic institutions, or community foundations.*



Are universities and academic institutions eligible applicants?

No. However, eligible applicants may choose to partner with universities and academic institutions.

What is the role of partners? Who can be a partner?

Partners are organizations that will not directly apply to the program as an eligible applicant, but they are committed to supporting a SMART Grants proposal in a meaningful way. Partners could include academic institutions, non-profit partners, state and local government agencies, utility providers, labor organizations, workforce organizations, or private sector organizations.

Can collaborative applications be submitted?

If eligible applicants choose not to apply as a group with a single lead applicant, they should identify their application as a Collaborative Application. **All organizations in a collaborative application must be eligible applicants.**

1. Each organization in a Collaborative Application must submit an individual application.
2. Collaborative Applications can include any type of eligible entity.
3. Each individual application in a Collaborative Application will be evaluated on its own merits, and USDOT reserves the right to fund all, some, or none of the associated applications.

SMART Program Eligible Activities

Eight technology areas:

- Coordinated automation
- Connected vehicles
- Sensors
- Systems integration
- Delivery / logistics
- Innovative aviation
- Smart grid
- Traffic signals

Considerations across technology areas:

- Applicants should focus on **one or two technology areas**. They should not attempt to cover all areas in their proposals.
- Applicants will be **required to comply with applicable laws and regulations**, including but not limited to the Americans with Disabilities Act, the Federal Motor Vehicle Safety Standards, and FAA regulations.
- Applicants should:
 - Address identified policy barriers
 - Clearly address data requirements
 - Consider workforce capacity building

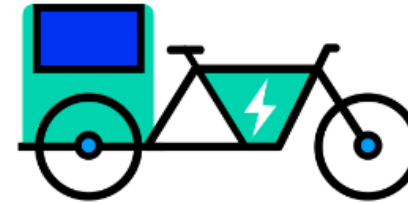
Technology Areas



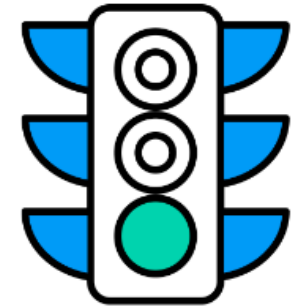
Smart Grid



Sensor-Based
Infrastructure



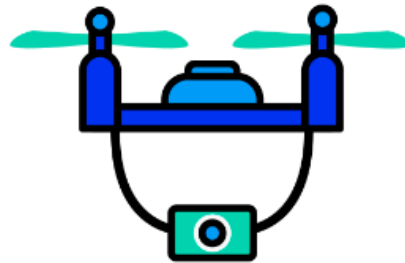
Commerce Delivery
& Logistics



Smart Traffic
Signals



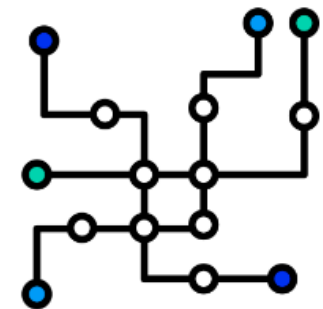
Coordinated
Automation



Innovative
Aviation



Connected
Vehicles



Systems
Integration

Eligible Costs

- Planning
- Feasibility analyses
- Revenue forecasting
- Environmental review
- Permitting
- Preliminary engineering and design work
- Systems development or information
- Technology work
- Acquisition of real property
- Construction
- Reconstruction
- Rehabilitation
- Replacement
- Environmental Mitigation
- Construction Contingencies
- Acquisition of equipment, including vehicles

Overview: Prohibited Uses

A SMART grant shall **not** be used for the following:



To reimburse any pre-award costs or application preparation costs of the SMART grant application



For any traffic or parking enforcement activity



To purchase or lease a license plate reader

Do you intend to submit a SMART Grants application?

- Yes, as a lead applicant
- I plan to participate as a partner
- No
- I am not sure yet

What technology area(s) does your potential project cover?

- Coordinated automation
- Connected vehicles
- Intelligent, sensor-based infrastructure
- Systems integration
- Commerce delivery and logistics
- Leveraging use of innovative aviation technology
- Smart grid
- Smart technology traffic signals
- I am not sure yet

The following use cases are illustrative examples of projects that could be eligible for the SMART Grants Program. This is not an exhaustive list, nor will projects that match these use cases necessarily be selected to receive a SMART grant.

Safety and Reliability

- **Improve safety and reduce costs related to minor collisions** with ADAS for public fleet vehicles like transit buses and emergency vehicles, including functions like precision docking; lane keeping or lane centering; and/or bus on shoulder operations.
- **Protect workers and the traveling public and reduce travel delays** through the implementation of the [Workzone Data Exchange](#) standard.
- **Improve state-of-good repair, reduce costs, and improve safety** with the use of sensors, small UAS, or other technologies to enhance infrastructure inspection and asset management processes.

Equity and Access

- **Get reduced-fare transit to people who need it** by streamlining income-based transit fare programs by integrating back-end databases with other social service programs.
- **Improve infrastructure for all** by using technology to assess infrastructure that supports mobility, including sidewalks, bus shelters, bike lanes, and curb cuts.
- **Improve equity** with the integration of climate, public health, and socioeconomic data into transportation operations.

Climate and Resiliency

- **Reduce port gate congestion and truck-related emissions** with truck reservation systems at ports and intermodal container yards.
- **Support local goals such as zero-emission zones or shared streets** with digital tools to manage alternative approaches to last-mile delivery.
- **Improve mobility and infrastructure resilience** with tools that map and monitor environmental conditions, including roadway flooding, air quality, tree canopy, and sidewalk accessibility.

Integration

- **Support local economies, improve mobility, and reduce congestion** by digitalization of curb management to optimize use across purposes and modes, including freight, pick-up drop-off, and transit usage.
- **Make safety and mobility improvements** through sensors that collect continuous traffic data for passenger vehicles, trucks and buses, cyclists, and pedestrians, and integrate with traffic signalization systems and transportation planning tools.
- **Improve the operation and management of traffic signals** and develop evaluation criteria that support agency goals leveraging [Automated Traffic Signal Performance Measure \(ATSPM\)](#)-equipped signals.



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Applying for a SMART Grant

FY 2022 Notice of Funding Opportunity

- The Notice of Funding Opportunity (NOFO) contains the instructions for developing and submitting a SMART Grant application.
- Applicants are encouraged to read the NOFO in its entirety.
- The NOFO can be found at Grants.gov using Opportunity Number #DOT-SMART-FY22-01.
- A copy of the NOFO can also be found at <https://www.transportation.gov/grants/smart/fy22-smart-notice-funding-opportunity>
- Application Deadline: 5:00 PM ET on Friday, November 18, 2022.

Required Application Materials

1. Standard Forms

- Standard Form 424 (Application for Federal Assistance)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- If applicable, also include Assurances for Construction Programs (SF-424D), Budget Information for Construction Programs (SF-424C), and/or Disclosure of Lobbying Activities (SF-LLL).

2. Key Information Questions

3. Project Narrative

- Should not exceed 7 pages.
- Sections include: Overview/Project Description, Project Location, Community Impact, Technical Merit Overview, Project Readiness Overview, and an Appendix (Resumes, Summary Budget Narrative, and optional Letters of Commitment).

4. Summary Budget Narrative

- Included in the Appendix of the Project Narrative.

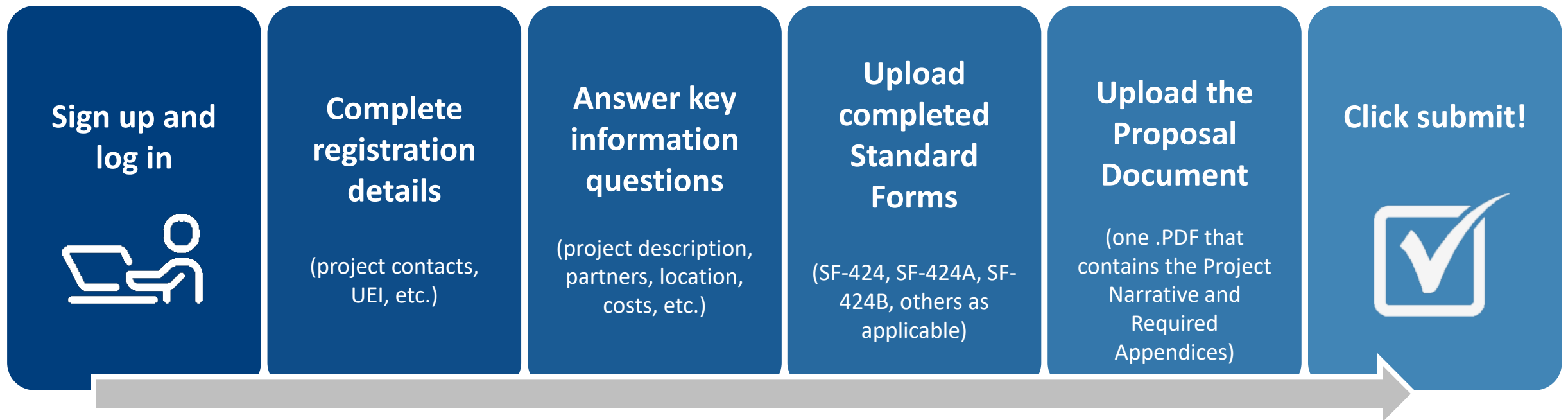
Full details can be found in Section D of the NOFO.

3. Project Narrative

- Should not exceed 7 pages.
- Sections include:
 - Overview/Project Description
 - Project Location
 - Community Impact
 - Technical Merit Overview
 - Project Readiness Overview
 - Appendix (Resumes, Summary Budget Narrative, and optional Letters of Commitment)

Where to Submit the Application

All application materials must be submitted through ValidEval, an online submission proposal system used by USDOT, at https://usg.valideval.com/teams/USDOT_SMART_2022/signup.



Letters of Commitment (Optional)

What are they?

- Statements describing commitments from a critical project partner.
- Commitments could include:
 - Financial support
 - Technical assistance
 - Independent evaluation process
 - Training programs
 - Research collaborations
 - Policy changes

Who can provide them?

- Universities and other educational institutions
- Non-profit partners
- State and local agencies
- Utility providers
- Private sector organizations

How should they be developed?

Letters of Commitment should:

- Be 2 pages or less.
- Describe specific, measurable commitments.
- Explain the tangible benefits that will be generated by the commitment.
- Focus on quality over quantity.

View the Letter of Commitment Template at <https://www.transportation.gov/grants/smart/smart-letters-commitment-template>

- **Technical Merit**
 - Identification and Understanding of the Problem to Be Solved
 - Appropriateness of Proposed Solution
 - Expected Benefits
- **Project Readiness**
 - Feasibility of Workplan
 - Community Engagement and Partnerships
 - Leadership and Qualifications
- **Additional Consideration: Benefit to Historically Disadvantaged Communities**

Unique Entity Identifiers

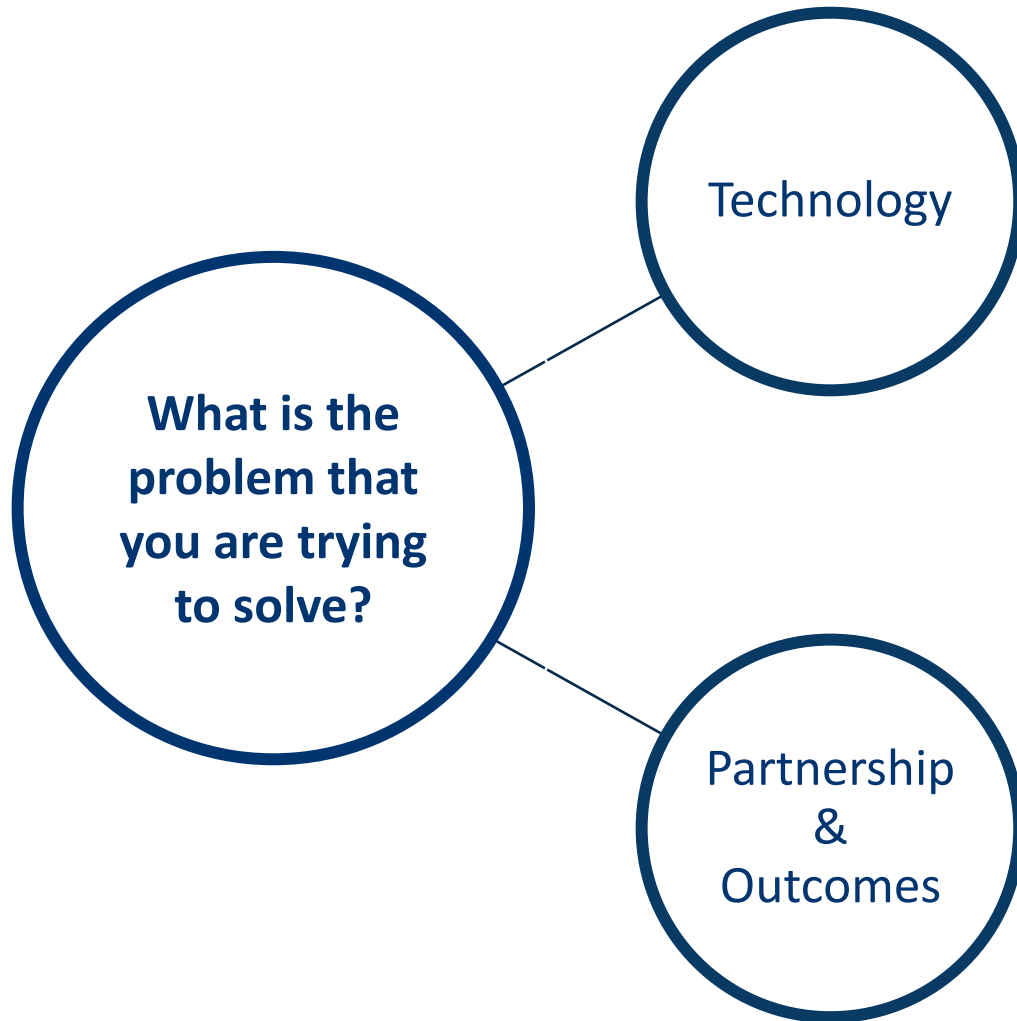
- All applicants will need to obtain a Unique Entity Identifier (UEI) through GSA to apply for grant opportunities in grants.gov.
- On April 4, the federal government stopped using Dun & Bradstreet's proprietary Data Universal Numbering System (DUNS) to identify contractors and grantees and began exclusively using the Unique Entity Identifier (UEI).
- The process of obtaining a UEI can take **up to a month**, so applicants are encouraged to apply for the UEI now. If you previously had a DUNS number that you used at SAM.gov, your UEI has already been created and is available to view in SAM.gov.
- For more information, see <https://sam.gov/>.



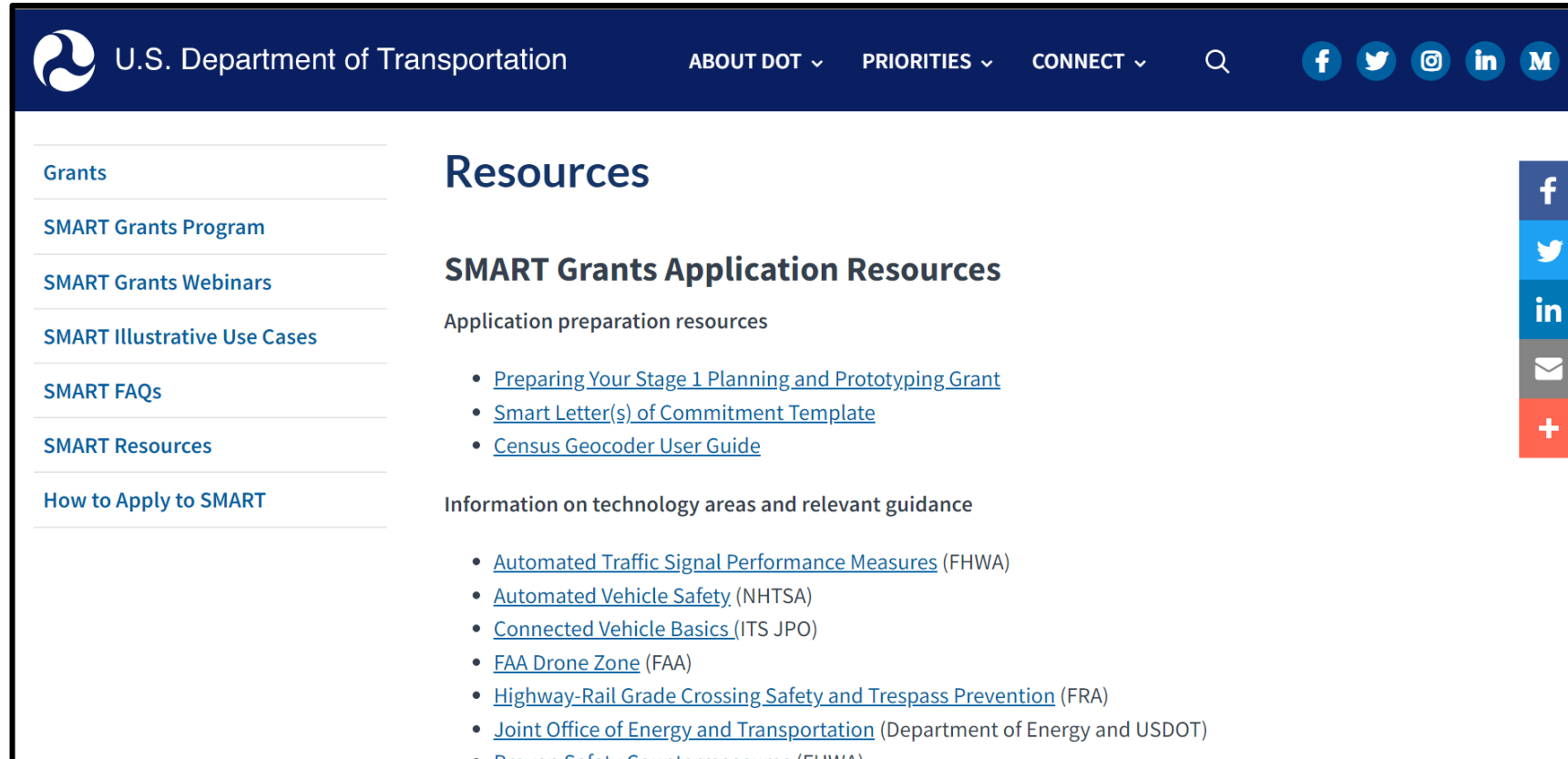
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Application Resources

Questions to Think About



- Is this technology an effective solution for an issue that your community faces?
 - Will the technology deployment address a known problem?
 - Will the technology deployment lead to a significant improvement over existing conditions?
 - What obstacles existed in the past to implement these technologies?
-
- What partnerships exist or could exist?
 - Can you complete your project in a reasonable timeframe?
 - Will this project generate significant public benefits, and who will benefit from this project?
 - How does your project address climate, equity, and safety priorities?



The screenshot shows the SMART Resources Webpage. The header includes the U.S. Department of Transportation logo, navigation links for ABOUT DOT, PRIORITIES, and CONNECT, a search icon, and social media icons for Facebook, Twitter, Instagram, LinkedIn, and Messenger. The main content area is titled "Resources" and is divided into two sections: "SMART Grants Application Resources" and "Information on technology areas and relevant guidance". The "SMART Grants Application Resources" section includes a sub-section "Application preparation resources" with three links: "Preparing Your Stage 1 Planning and Prototyping Grant", "Smart Letter(s) of Commitment Template", and "Census Geocoder User Guide". The "Information on technology areas and relevant guidance" section includes five links: "Automated Traffic Signal Performance Measures (FHWA)", "Automated Vehicle Safety (NHTSA)", "Connected Vehicle Basics (ITS JPO)", "FAA Drone Zone (FAA)", and "Highway-Rail Grade Crossing Safety and Trespass Prevention (FRA)". A vertical sidebar on the right side of the page contains social media icons for Facebook, Twitter, LinkedIn, Email, and a plus sign for more options.

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ABOUT DOT ▾ PRIORITIES ▾ CONNECT ▾

Grants

SMART Grants Program

SMART Grants Webinars

SMART Illustrative Use Cases

SMART FAQs

SMART Resources

How to Apply to SMART

Resources

SMART Grants Application Resources

Application preparation resources

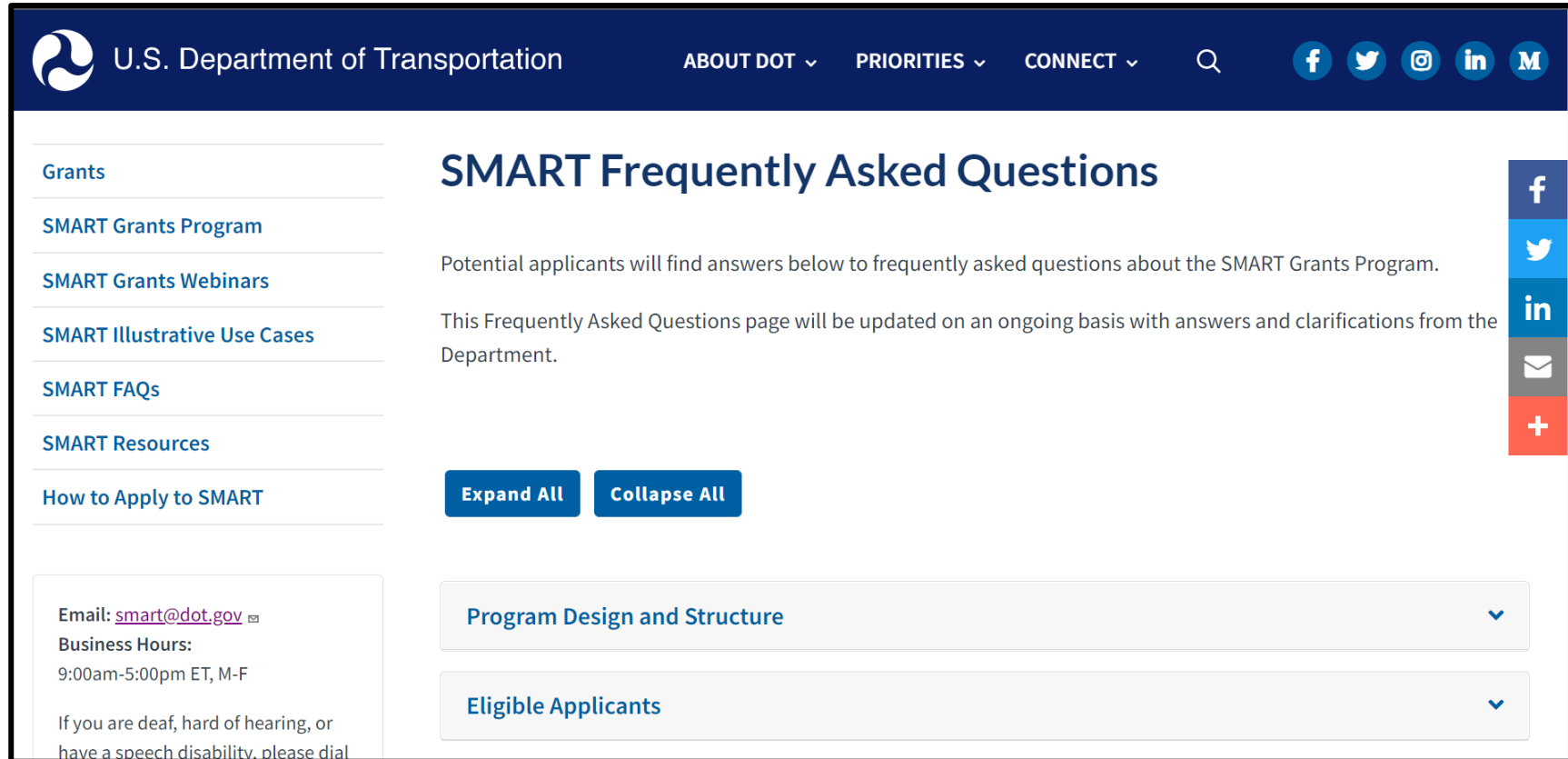
- [Preparing Your Stage 1 Planning and Prototyping Grant](#)
- [Smart Letter\(s\) of Commitment Template](#)
- [Census Geocoder User Guide](#)

Information on technology areas and relevant guidance

- [Automated Traffic Signal Performance Measures](#) (FHWA)
- [Automated Vehicle Safety](#) (NHTSA)
- [Connected Vehicle Basics](#) (ITS JPO)
- [FAA Drone Zone](#) (FAA)
- [Highway-Rail Grade Crossing Safety and Trespass Prevention](#) (FRA)
- [Joint Office of Energy and Transportation](#) (Department of Energy and USDOT)

<https://www.transportation.gov/grants/smart/resources>

Visit our Frequently Asked Questions Page



The screenshot shows the U.S. Department of Transportation website. The header includes the DOT logo, the text "U.S. Department of Transportation", and navigation links for "ABOUT DOT", "PRIORITIES", and "CONNECT". Social media icons for Facebook, Twitter, Instagram, LinkedIn, and YouTube are also present. The main content area is titled "SMART Frequently Asked Questions". Below the title, there is a paragraph stating: "Potential applicants will find answers below to frequently asked questions about the SMART Grants Program. This Frequently Asked Questions page will be updated on an ongoing basis with answers and clarifications from the Department." There are two buttons: "Expand All" and "Collapse All". Below these are two expandable sections: "Program Design and Structure" and "Eligible Applicants". On the left side, there is a sidebar with a "Grants" menu containing links for "SMART Grants Program", "SMART Grants Webinars", "SMART Illustrative Use Cases", "SMART FAQs", "SMART Resources", and "How to Apply to SMART". At the bottom of the sidebar, there is contact information: "Email: smart@dot.gov", "Business Hours: 9:00am-5:00pm ET, M-F", and a note: "If you are deaf, hard of hearing, or have a speech disability, please dial". On the right side of the main content area, there is a vertical stack of social media sharing icons: Facebook, Twitter, LinkedIn, Email, and a plus sign for more options.

<https://www.transportation.gov/grants/smart/smart-frequently-asked-questions>

Key Dates

- **Application Deadline: Friday, 11/18/2022 at 5:00PM ET**
- **Deadline to Submit Technical Questions to smart@dot.gov: Friday 11/04/2022**



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Questions and Answers

- Please type your questions into the Q&A box
- Technical Support: webconference@dot.gov
- Answers to Frequently Asked Questions (FAQs) are posted at <https://www.transportation.gov/grants/smart/smart-frequently-asked-questions>.
 - We will update the page with questions from this webinar.
- If you have additional questions after this webinar, you can email smart@dot.gov.
 - We strongly encourage you to review the NOFO and FAQs in full prior to submitting questions to the SMART inbox.
 - The deadline to submit technical questions to the SMART inbox is: 11/04/2022.