RAIL

MOVING AMERICA FORWARD

FY 2022 Federal-State Partnership for Intercity Passenger Rail Grant Program (FSP-National) NOFO Webinar

Presented by:

Bryan Rodda • Doug Gascon • Sergio Coronado • Michael Johnson • Laura Shick



U.S. Department of Transportation Federal Railroad Administration

FRA Presenters



Bryan Rodda

Lead Community Planner, Amtrak Asset Line Planning and Oversight Division



Doug Gascon Chief, Rail Program Policy and Performance Division



Sergio Coronado

Transportation Industry Analyst, Rail **Program Policy and** Performance Division



Michael Johnson Industry Economist, Railroad Industry **Economics** Division



Laura Shick Supervisory Environmental Protection Specialist, Environmental **Review Division**



Agenda

- 1 Partnership Program Overview
- 2 How to Apply
- 3 Best Practices
 - Project Narrative
 - \circ Statement of Work
 - Benefit-Cost Analysis
 - Environmental Readiness
- 4 Q&A



Fed-State Partnership Program Overview— National



Program Purpose & Funding Overview

Purpose

• The Federal-State Partnership for Intercity Passenger Rail Grant Program (FSP) funds capital projects that reduce the state of good repair backlog, improve performance, expand or establish new intercity passenger rail service, or enhance rail safety. This Notice is for projects not located on the Northeast Corridor (FSP-National).

Notice of Funding Opportunity (NOFO)

- Published in the Federal Register on December 7, 2022
 - **\$2.283 billion available** in FY 2022 supplemental advance and annual appropriations
 - Applications due by 5 pm ET on March 7, 2023
- Concurrent applications and resubmissions are allowed
 - Indicate other program(s) you may have applied to (e.g., CRISI, RAISE)

	Federal-State Partnership Program Changes
New Eligibilities	 Adds "Federally recognized Indian Tribe" as an eligible applicant Allows projects to expand or establish new intercity passenger rail service Allows projects on privately owned railroad lines used by intercity passenger rail
Modified Selection Preferences	 Adds preferences for projects: That improve the financial performance, reliability, service frequency, or address the state of good repair of an Amtrak route That are identified in, and consistent with, a corridor inventory prepared under the Corridor Identification and Development Program (once available) Removes preference for 50 percent or greater non-Federal match
Phased Funding Agreements	 New tool available allowing the Secretary to enter into a multi-year funding agreement for a project under certain circumstances
National / NEC Funding Splits	 Supplemental Advance Appropriations: At least 33 percent (\$12 billion) for projects not located on the NEC Annual Appropriations: not less than 45 percent for awards to non-NEC projects and not less than 45 percent for NEC projects, with 10 percent that can be awarded to either geography

Program Eligibility

Eligible Applicants

- States (incl. the District of Columbia)
- Groups of States
- Interstate Compacts
- Public agencies or publicly chartered authorities established by one or more States
- Political subdivisions of States
- Amtrak, acting on its own behalf or under a cooperative agreement with one or more States
- Federally recognized Indian Tribe New in BIL
- Any combination of the above

Selection preference: Projects for which Amtrak is not the sole applicant *Ineligible entities* (e.g., private sector firms): May be included as a *partner* on an application submitted by one or more eligible applicants



Program Eligibility

Eligible Projects

- A project to **replace**, **rehabilitate**, **or repair** infrastructure, equipment, or a facility **used for providing intercity passenger rail service** to bring such assets into a state of good repair
- A project to improve intercity passenger rail service performance, including reduced trip times, ۲ increased train frequencies, higher operating speeds, improved reliability, expanded capacity, reduced congestion, electrification, and other improvements, as determined by the Secretary
- A project to expand or establish new intercity passenger rail service **New in BIL** ٠
- A group of related projects described above ٠
- The **planning**, environmental studies, and final design for a project or group of projects described ٠ above New in BIL

Capital Project: Acquiring, constructing, improving, or inspecting rail equipment, track and track structures, or a rail facility...including acquiring rights-of-way.

Major Capital Project: Project with a capital cost estimate of \$500 million or greater and with at least \$100 million in Federal assistance received or requested under the FSP program.



FSP-National and Lifecycle Stages

Lifecycle Stage

• The consecutive stages of a capital project as it is developed and implemented that include Systems Planning, Project Development, Final Design, Construction, and Operation





Commuter Rail Passenger Transportation (CR)

• Short-haul rail passenger transportation in metropolitan and suburban areas usually having reduced fare, multiple rides, and commuter tickets, and morning and evening peak period operations, consistent with 49 U.S.C. 24102(3); the term does not include rapid transit operations in an urban area that are not connected to the general railroad system of transportation

Intercity Passenger Rail Transportation (IPR)

• Rail passenger transportation, except commuter rail passenger transportation. See 49 U.S.C. 24911(a)(2). In this NOFO, "Intercity Passenger Rail Service" and "Intercity Passenger Rail Transportation" are equivalent terms to "Intercity Rail Passenger Transportation."

Northeast Corridor (NEC)

- The main rail line between Boston, MA, and the District of Columbia, and branch lines to Harrisburg, PA, Springfield, MA, and Spuyten Duyvil, NY
- The FSP-National NOFO is for projects not located on the NEC. A separate FSP NOFO will be issued for NEC projects.

Non-Federal Match Requirements

Requirements

- Federal share of total costs for a project shall not exceed 80 percent
- A **minimum 20 percent (20%) non-Federal share** is required. Applications failing to demonstrate sufficient non-Federal match are ineligible.
- If Amtrak is an applicant, Amtrak may use ticket and other revenues generated from its operations and other non-Federal sources to satisfy the non-Federal share requirements

Process

- Identify the source(s) of matching and other funds and clearly and distinctly reflect these funds in project budget
- Cash and in-kind contributions are permitted, consistent with 2 CFR Part 200
- Include funding commitment letters outlining funding agreements as attachments or in an appendix

Program Evaluation & Selection Criteria

Evaluation Criteria

- **Technical Merit**: Quality of statement of work and application materials; readiness and completion of Capital Project Lifecycle prerequisites; applicant past performance, technical capacity, and financial contributions; private-sector participation; qualifications and experience of key personnel and organizations; and consistency with planning documents
- Project Benefits: benefit-cost analysis; effects on system and service performance (incl. as measured by FRA's metrics & minimum standards for IPR rule); effects on safety, competitiveness, reliability, trip time, and resilience; improved modal integration; ability to meet current or anticipated demand; anticipated positive economic and employment impacts in areas near stations, historic districts or other opportunity zones; and whether project services historically unconnected or under-connected communities.

Selection Preferences

- Amtrak is not sole applicant
- Improves the financial performance, reliability, service frequency, or address the state of good repair of an Amtrak route
- Identified in, and consistent with, a corridor inventory prepared under FRA's Corridor Identification and Development Program (to be implemented in future FSP-National NOFOs)

New in BIL

Key Departmental Objectives

DOT will assess the project's ability to meet one or more of these objectives. Such considerations can include, but are not limited to, the extent to which an application promotes:

Safety

Improves safety at highway-rail grade crossings, reduces incidences of rail-related trespassing, and upgrades infrastructure to achieve a higher level of safety.

Equitable economic growth and job creation

Invests in vital infrastructure assets and provides opportunities for families to achieve economic security through rail industry employment.

Climate Change and Sustainability

Reduces emissions, promotes energy efficiency, increases resiliency, and recycles or redevelops existing infrastructure.

Equity and Barriers to Opportunity

Includes a plan to incorporate small businesses as part of project completion and take account of a community engagement efforts designed to reach impacted communities and how community feedback is considered in decision making.

Transformation of our nation's transportation infrastructure

Adds capacity to congested corridors, builds new connections or attracts new users to passenger rail, and ensures assets will be improved to a state of good repair.



FRA Buy America

FRA Buy America includes new requirements enacted by the Build America, Buy America (BABA) Act

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About FRA	Railroad Safety	Rail Network Development	Research & Development	Legislation & Regulations	Grants & Loans	FRA eLibrary
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https://railroads.dot.gov/legislation-regulations/buyamerica/buy-america



For FRA-funded Projects - the steel, iron, construction materials, and manufactured goods used in the project must be produced in the United States



FRA Buy America applies to materials purchased with FRA funds and with non-Federal funds



Consider FRA Buy America requirements in project planning, design, and budget



Include FRA Buy America requirements in all procurement documents and obtain any necessary certifications to document compliance



FRA encourages applicants who might seek a waiver to develop and submit a domestic sourcing plan as part of their application



J.S. Department of Transportation Federal Railroad Administration The domestic sourcing plan should include:



Detail on the extent to which the systems covered by the waiver are to be imported and the extent to which such systems can be sourced domestically



Explanation of how the recipient anticipates making use of domestic sources for maintenance and replacement of initially imported goods and materials used in the project



Explanation of the number of domestic jobs, temporary and permanent, that will be generated by the project and outline a plan to transition any foreign labor responsibilities to domestic jobs



Other Requirements & Restrictions

- **Pre-award costs** incurred prior to selection, without an FRA NEPA determination, or without prior FRA written approval are unallowable
- FRA is prohibited from providing Partnership Program grants for Commuter Rail Passenger Transportation (*under 49 U.S.C. 24405(f)*)
 - FRA's primary intent in the FSP program is to make reasonable investments in Intercity
 Passenger Rail transportation. Such projects may be located on shared corridors where
 Commuter Rail Passenger Transportation and/or freight rail also benefit.
 - When applying for a shared benefit project, clearly demonstrate how the proposed project directly benefits IPR and that the project would be a reasonable investment in IPR, independent and separate from consideration of the proposed project's benefits to other transportation purposes.
- FRA has provided grants in the FSP program to commuter or local transit agencies when those agencies have demonstrated their projects have reasonable intercity passenger rail benefits



NOFO Overview & How to Apply



What is a NOFO?

Key Parts of a NOFO

A Notice of Funding Opportunity (NOFO):

- Announces the grant opportunity
- Contains details about the application requirements and procedures to request Federal funding for eligible projects



What information is in a NOFO?

Key Parts of a NOFO

- Program Summary
- Key Dates
- Addresses
- FRA Contact Information

- Table of Contents
 - Program Description
 - $\circ~$ Federal Award Information
 - Eligibility Information
 - Application and Submission Information
 - **o** Application Review Information
 - Federal Award Administration
 Information
 - Federal Awarding Agency Contacts
 - \circ Other Information



Where do I start?

Check the FRA Competitive Discretionary Grant Programs webpage

• https://railroads.dot.gov/grants-loans/competitive-discretionary-grant-programs/competitivediscretionary-grant-programs

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Legacy and Inactive Programs	Grant	The Federal-State Po FY 2022 funding for	Partnership for Inter artnership for Intercity Passe capital projects that reduce	nger Rail Grant Program (Nat the state of good repair back	tional) makes available log, improve performa	e \$2.283 billion in ance, or expand or	
		Northeast Corridor, the program (FY 202	city passenger rail service. The and the funding made availa 22–2026) for such projects. Ar	ble is the first portion of the polications are due no later t	at least \$12 billion in t han 5:00 p.m. ET. Marc	total funding under ch 7. 2023. For	
Related Links		more information a	bout this program, please see	e the <u>FY 2022 Federal-State P</u>	<u>Partnership for Intercit</u>	<u>y Passenger Rail</u>	



Where is the FY22 Partnership Program NOFO?

AI

NOFO in the Federal Register

https://www.federalregister.gov/d • ocuments/2022/12/07/2022-26610/notice-of-fundingopportunity-for-the-federal-statepartnership-for-intercitypassenger-rail-program

Notice of Funding Opportunity for the Federal-State Partnership for Intercity Passenger Rail Program

Notic	e by the Federal Railroad Administration on 12/07/2022	
ľ	PUBLISHED DOCUMENT	
=	AGENCY: Federal Railroad Administration (FRA), Department of Transportation (DOT).	DOCUMENT DETAILS Printed version: PDF
	ACTION: Notice of Funding Opportunity (NOFO or notice).	Publication Date: 12/07/2022 Agencies: Eederal Bailroad Administration
2	SUMMARY:	Dates: Applications for funding under this solicitation are due no later
ני ה	This notice (FSP-National) details the application requirements and procedures to obtain grant funding for projects not located on the Northeast Corridor under the Federal-State Partnership for Intercity Passenger Rail Program (FSP	than 5 p.m. ET, March 7, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 7, 2023 will not be
 >	Program) for Fiscal Year 2022. The FSP-National notice solicits applications for FSP funds made available by the Consolidated Appropriations Act, 2022, and the	considered for funding. See Section D of this notice for additional information on the
	Infrastructure Investment and Jobs Act. The opportunity described in this notice is made available under Assistance Listings Number 20.326, ⁴ Federal-State Partnership for Intercity Passenger Rail."	application process. Document Type: Notice
	DATES:	Document Citation: 87 FR 75119

Applications for funding under this solicitation are due no later than 5 p.m. ET, March 7, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 7, 2023 will not be considered for funding. See Section D of this notice for additional information on the application process.

DOCUMENT DETAIL

75119-75134 (16 pages)

Document Number:

2022-26610



Search Grants tab on Grants.gov:

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What is the Synopsis?

Summary information about the grant opportunity in Grants.gov:





How do I apply?

Key Steps

- Obtain a Unique Entity Identifier
- **Register early** in the Federal government's System for Award Management (SAM)
- For Grants.gov, complete an Authorized
 Organization Representative profile and create a username and password
- Submit an application addressing all requirements outlined in the NOFO

NOTE:

- SAM registration can take up to 2 weeks (longer if you do not have an Employer Identification Number)
- FRA does not control or have the authority to expedite SAM renewal requests
- GSA reported that as of December 6, 2022, the average time to complete a manual review otherwise known as Entity Validation is thirteen (13) business days.



What do I include in my application?

Required Documents

- Project Narrative
- Statement of Work
 - Scope, Schedule, Budget and Performance Measures
- Environmental Compliance (NEPA) Documentation
 - Note: May include a draft document that requires development, review, and approval by FRA or an existing completed NEPA document approved by FRA or another Federal agency that covers the proposed project scope
- Benefit-Cost Analysis
- Draft Use/Ownership Agreement (*if applicable*)
 - Note: FRA requires a written agreement exist between the applicant and the railroad regarding use and ownership consistent with 49 U.S.C. 22905(c)(1) for projects using rights-of-way owned by a railroad that is not the applicant

What forms are required?

Required Forms

- SF424 (Application for Federal Assistance)
 - *Either*: SF 424A or 424C Budget info for Non-Construction OR Construction
 Either: SF 424B or 424D Assurances for Non-Construction OR for Construction
- FRA's Additional Assurances and Certifications (FRA F 30)
- FRA's Applicant Financial Capability Questionnaire (FRA F 251)
- SF LLL: Disclosure of Lobbying Activities (only required if reportable Lobbying activities exist)



Where do I find additional information and help?

Find **Additional Information** about the grant opportunity in Grants.gov at the bottom of the Synopsis page:

Additional Information	
Agency Name:	DOT - Federal Railroad Administration
Description:	This program funds capital projects that reduce the state of good repair backlog, improve performance, or expand or establish new intercity passenger rail service.
Link to Additional Information:	FY22 Federal-State Partnership for Intercity Passenger Rail Grant Program for projects not located on the Northeast Corridor
Grantor Contact Information:	If you have difficulty accessing the full announcement electronically, please contact:
	Grants.gov Contact Center Phone Number: 1-800-518-4726
	Hours of operation are 24 hours a day, 7 days a week. The contact center is closed on federal holidays. support@grants.gov
	Grants.gov Customer Support



Application Review and Selection Process

1. Intake and Eligibility

Each application is reviewed for completeness and eligibility to determine which applications move to the evaluation stage



3. Selection

Final funding decisions are made by taking into account the evaluation and selection criteria outlined in the NOFO

2. Evaluation

Each complete and eligible application is evaluated by a panel of DOT subject matter experts using criteria outlined in the NOFO

4. Announcement FRA press release announces selections approximately 7 to 9 months following application due date



Grant Application Process

FRA's Competitive Grants Application Process webpage



Best Practices



Best Practices & Helpful Hints

- Read the NOFO completely and carefully to understand the criteria for eligibility and selection, and what information each application must include
- ☑ FRA has identified several focus areas where applications that are not selected often demonstrate deficiencies:
 - Project Narrative
 - Statement of Work (SOW)
 - Benefit-Cost Analysis (BCA)
 - Environmental Readiness

tice by the Federal Railroad Administration on 12/07/2022	100
PUBLISHED DOCUMENT	
PODESTIED DOCUMENT	DOCUMENT DETAILS
AGENCY:	Printed version:
Federal Railroad Administration (FRA), Department of Transportation (DOT).	PDF
rederal Kaliroad Administration (rKA), Department of Transportation (DOT).	Publication Date:
ACTION:	12/07/2022
	Agencies: Federal Railroad Administration
Notice of Funding Opportunity (NOFO or notice).	
SUMMARY:	Dates: Applications for funding under
	this solicitation are due no later
This notice (FSP-National) details the application requirements and procedures	than 5 p.m. ET, March 7, 2023. Applications that are incomplet
to obtain grant funding for projects not located on the Northeast Corridor under	or received after 5 p.m. ET, on
the Federal-State Partnership for Intercity Passenger Rail Program (FSP Program) for Fiscal Year 2022. The FSP-National notice solicits applications for	March 7, 2023 will not be considered for funding. See
FSP funds made available by the Consolidated Appropriations Act, 2022, and the	Section D of this notice for
Infrastructure Investment and Jobs Act. The opportunity described in this notice	additional information on the application process.
is made available under Assistance Listings Number 20.326, "Federal-State	Document Type:
Partnership for Intercity Passenger Rail."	Notice
	Document Citation:
DATES:	87 FR 75119
Applications for funding under this solicitation are due no later than 5 p.m. ET,	Page: 75119-75134 (16 pages)
March 7, 2023. Applications that are incomplete or received after 5 p.m. ET, on	
March 7, 2023 will not be considered for funding. See Section D of this notice for	Document Number: 2022-26610
additional information on the application process.	





Project Narrative Outline

- **Cover Page** Ι.
- 11. Project Summary
- **Project Funding III**.
- **Applicant Eligibility Criteria** IV.
- **Project Eligibility Criteria** V.
- VI. **Detailed Project Description**
- VII. **Project Location**
- VIII. Grade Crossing Information, if applicable
- **Evaluation and Selection Criteria** IX.
- Х. **Project Implementation and Management**
- **Environmental Readiness** XI.



- Structure your project narrative in accordance with the outline specified in the NOFO
- Include all elements identified in the outline
- Follow the instructions for each element
- Adhere to 25-page limit Cover Page does not count against limit

Project Narrative Outline

Cover Page Ι.

- ||. Project Summary
- III. Project Funding
- IV. Applicant Eligibility Criteria
- V. Project Eligibility Criteria
- VI. Detailed Project Description
- VII. Project Location
- VIII. Grade Crossing Information
- IX. Evaluation and Selection Criteria
- **Project Implementation and Management** Χ.
- XI. Environmental Readiness



✓ Indicate if an application for the project has been submitted previously to another Federal grant program—include the program and year, lead applicant, project cost, lifecycle stage, intercity route benefitting, infrastructure owner

Project Narrative Outline

I. Cover Page

II. Project Summary

- III. Project Funding
- IV. Applicant Eligibility Criteria
- V. Project Eligibility Criteria
- VI. Detailed Project Description
- VII. Project Location
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- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management
- XI. Environmental Readiness



- Briefly describe the project in
 4 to 6 sentences, its anticipated benefits, and the transportation challenges the project will address
- Think of this section of the application as your elevator pitch for the project to the DOT Secretary and FRA Administrator

Project Narrative Outline

- I. Cover Page
- II. Project Summary

III. Project Funding

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- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management
- XI. Environmental Readiness



- ✓ Only include eligible costs
- Specify each source of non-Federal match
- ✓ Provide details about in-kind match
- ✓ Indicate public- vs. private-sector match
- Describe the non-Federal funding arrangements
- ✓ Attach funding commitment letters
- ✓ Identify if the proposed match will not be available until a certain date or if funds must be spent by a deadline
Project Narrative Outline

- I. Cover Page
- II. Project Summary
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- X. Project Implementation and Management
- XI. Environmental Readiness



- Thoroughly discuss the transportation challenges and benefits
- ✓ Include data to support project benefits
- Describe how project components are related and will be sequenced
- ✓ Include photographs or diagrams
- ✓ Identify all host railroads, operators, and beneficiaries

Project Narrative Outline

- I. Cover Page
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- IV. Applicant Eligibility Criteria
- V. Project Eligibility Criteria
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VII. Project Location

- VIII. Grade Crossing Information
- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management
- XI. Environmental Readiness



- ✓ Identify cities, counties, and states where project is located
- ☑ Include a map of the project
- ✓ Identify railroad mileposts
- For grade crossing projects, include the U.S. DOT National Highway-Rail Crossing Inventory number
- Geospatial data—longitude and latitude

Project Narrative Outline

- I. Cover Page
- II. Project Summary
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VIII. Grade Crossing Information

- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management
- XI. Environmental Readiness



- ✓ Cite specific DOT National Grade Crossing Inventory information, including:
 - Railroad that owns infrastructure
- Primary railroad operator
- DOT crossing inventory number
- Roadway at the crossing

Project Narrative Outline

- I. Cover Page
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- VIII. Grade Crossing Information

IX. Evaluation and Selection Criteria

- X. Project Implementation and Management
- XI. Environmental Readiness



- ✓ Include a separate section in the project narrative focused on how the project meets each of the evaluation and selection criteria
- ✓ DO NOT rely solely on the contents of the "detailed project description" section to satisfy this requirement it is OK to repeat key points in this section
- ☑ Quantify benefits whenever possible

Project Narrative Outline

- Cover Page
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- VI. Detailed Project Description
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- IX. Evaluation and Selection Criteria
- **Project Implementation and Management** Χ.
- XI. Environmental Readiness



- Highlight applicant's past \checkmark experiences managing and overseeing similar projects, including FRA- or DOT-funded projects
- Describe expected arrangements for project contracting, contract oversight, change-order management, risk management, and conformance with Federal requirements for progress reporting
- FD projects applying for funding must resolve remaining uncertainties or risks associated with changes to the design and scope of the Capital Project

Project Narrative Outline

- I. Cover Page
- II. Project Summary
- III. Project Funding
- IV. Applicant Eligibility Criteria
- V. Project Eligibility Criteria
- VI. Detailed Project Description
- VII. Project Location
- VIII. Grade Crossing Information
- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management

XI. Environmental Readiness

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*For more information on the NEPA process, see relevant webinars on FRA's <u>Webinars</u> webpage.

- ✓ For Track 1/Track 2 Grant Applications:
- Provide draft NEPA document, if possible
- Identify any planning or environmental analyses done to date

Project Narrative Outline

- I. Cover Page
- II. Project Summary
- III. Project Funding
- IV. Applicant Eligibility Criteria
- V. Project Eligibility Criteria
- VI. Detailed Project Description
- VII. Project Location
- VIII. Grade Crossing Information
- IX. Evaluation and Selection Criteria
- X. Project Implementation and Management

XI. Environmental Readiness

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U.S. Department of Transportation Federal Railroad Administration

*For more information on the NEPA process, see relevant webinars on FRA's <u>Webinars</u> <u>webpage</u>.

- ✓ For Track 3 FD/Construction Grant Application:
- Provide copy of or weblink to completed NEPA document
- Identify environmental permits or approvals that may be needed from others besides FRA
- Provide status, expected completion date, and/or copy of permits or approvals

Best Practices— Statement of Work



✓ See FRA's Statements of Work webpage: <u>https://railroads.dot.gov/grants-loans/</u> <u>grant-administration/statements-work</u>

\blacksquare Use templates for the

- o SOW (Attachment 2)
- Schedule (Attachment 3)
- Budget (Attachment 4)
- Performance Measures (Attachment 5)

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About FRA	Railroad Safety	Rail Network Development	Research & Development	Legislation & Regulations	Grants & Loans	FRA eLibrary		
rant Admin	istration Overview	Statemen	ts of Work					
Reporting Requirements >		This section provides templates for developing a Statement of Work (SOW). In essence, the SOW is a description of the work that will be completed under the grant agreement. Drafting the SOW is a key step toward receiving a grant award.						
Grant Closeout		grantees will work with FRA to create an approved SOW.						
Use of Federal Funds - Improper Payment Audit		Please note: all deliverables listed in the SOW are subject to FRA approval and will require significant FRA input. Grantees should plan to work with FRA to ensure deliverables will meet all requirements.						
Additional Re Grantees	sources for	For helpful hints on drafting an SOW, please refer to the SOW Guidance link below. This document describes how FRA uses an SOW during the grant administration phase, key items to include when drafting an SOW, and formatting guidelines. Grantees should use this guidance as a reference when drafting an SOW, but should continue to work with FRA for further guidance.						
		If you have questions regarding how to begin drafting your SOW, please contact your FRA Regional or Project Manager.						
		 Statement of Work (SOW). Guidance Example General Grants - Attach 1 - Standard Terms and Conditions Example CRISI Grants - Attach 1A - Additional CRISI Terms and Conditions Example Federal-State Partnership Grants - Attach 1A - Additional Federal-State Partnership Terms and Conditions Example Restoration and Enhancement Grants - Attach 1A - Additional Restoration and Enhancement Terms and Conditions Example General Grants - Attach 2 - SOW Example General Grants - Attach 3 - Schedule Example General Grants - Attach 4 - Budget Example General Grants - Attach 5 - Performance Measures 						



Best Practices – Statement of Work

- ✓ Organize the scope of work into discrete and logically sequenced tasks
- \blacksquare Provide appropriate timing for tasks
- ☑ Identify the deliverables required to communicate progress and completion of tasks to FRA
- Check the budget to ensure numbers are consistent with cost information submitted in forms and other areas of the application





beyond that provided in this Agreement to complete the Project will be borne by the Grantee.

46

Reporting

ctual Project

Performance After

Project Completion

explaining the reported data. Grantee will submit the performance measures report to the

Date]:

Measuremen

Performance as of /Insert

Pre-Project (Baseline

Regional Manager in accordance with Table 1 below.

Description of Measure

Table 1: Performance Measurement Table

Performan

e Measure



Best Practices – Statement of Work

Federal Railroad Administration

U.S. Department of Transportation

August 30, 2016 (final)

CAPITAL COST ESTIMATING

GUIDANCE FOR

PROJECT SPONSORS

- Capital Cost Estimating Guidance:
 - <u>https://railroads.dot.gov/rail-network-development/</u> <u>training-guidance/capital-cost-estimating-guidance</u>
- Utilize FRA's Standard Cost Categories as a way to organize the scope of work and budget
 - o <u>https://railroads.dot.gov/elibrary/mp-33-scc-worksheets</u>
- Ensure consistency among the project narrative, statement of work, benefit-cost analysis, and other application materials

FRAMAIN WORKSHEET Grantee Name Project Name and Location: Rail Project A, Two cities with rural in-between			Today's Date Yr of Base Year \$																	
										Current	Phase : Final Design, Ready to Procure Construction							Yr of	f Revenue Ops	2017
														Base Year Dollars						YOE Dollars
Standard Cost Category		Unit	Quantity	Without Contingency (X000) (X000)	Contingency	TOTAL (X000)	Unit Cost (X000)	Percent of Construction Cost	Percent of Total Project Cost	Total (X000) (from Inflation Worksheet)										
	Guideway & Track Elements	Lineal Miles of Guideway	105	1,520,000	140,000	1,660,000	15,810	69%	52%	1,718,100										
10		Lineal Miles of Guideway	100	550,000	50,000	600,000	6,000													
10 10.010	Guideway: At-grade exclusive right-of-way	Linear miles of Guideway																		
	Guideway: At-grade exclusive right-of-way Guideway: At-grade semi-exclusive (allows cross-traffic)	Lineal Miles of Guideway		0		0														
10.010				0		0		-												



Best Practices— Benefit-Cost Analysis



Why Do a Benefit-Cost Analysis?

- BCA encourages applicants to focus and refine project scopes and outcomes
- BCA is a method to enable comparison across diverse project types and magnitudes
- Part of Fed-State Partnership selection criteria:
 - Secretary shall "take into account the cost-benefit analysis of the proposed project"
 - Other FRA programs (CRISI) and Departmental programs (RAISE and FASTLANE/INFRA) have similar provisions



- **1** Specify your project's <u>base case</u>, <u>alternate case</u>, and <u>timeline</u>
- 2 SHOW how your <u>alternate case</u> will result in specific effects (i.e., <u>project benefits</u>)
- 3 Break down benefits and costs into the smallest sub-elements possible
- 4 Assign monetary values to sub-elements using USDOT's <u>BCA Guidance</u>
- **5** Calculate results and <u>discount</u> to <u>base year</u>



BCA – Scope of Analysis

- The <u>base case</u> reflects the status quo—i.e., the world as it exists today
- The <u>alternate case</u> (i.e., "build scenario") is the proposed project
 - An analysis for construction should present a *single* project
 - One *application* can contain multiple projects
 - Multiple projects need multiple analyses
 - $\circ~$ Avoided costs of alternatives not taken are NOT benefits
- The <u>timeline</u> must be appropriate for the proposed project
 - Match the useful life of the project, but not more than 30 years of operation
 - Projects with useful life beyond 30 years will have residual value (stations in particular) → Use GAAP straight line depreciation



BCA – Scope of Analysis

- Examine ONLY the differences between the base case and alternate case (i.e., the <u>marginal effects</u>)
- Planned future projects are *irrelevant*
- These differences should reflect realistic projections

Examples

- Intercity passengers will likely change modes if their station is unavailable, while commuters are more likely to divert to another nearby station
- Host railroads will impose speed and weight restrictions before shutting down completely
- Growth rates will not suddenly double unless a fundamental change occurs



BCA – Benefits & Costs

- The marginal effects of the alternate case are the project benefits
 - Marginal effects are sometimes undesirable, shown as negative dollar amounts
- The total costs of the project are all costs associated with implementing the project
- Total **NET** operations & maintenance costs should be included *as benefits*:
 - Net O&M for new infrastructure and equipment will be a negative dollar amount
 - Changes in net O&M costs for existing infrastructure can be positive or negative, but are always included in the numerator
 - <u>Residual value</u> for remaining useful life is a benefit, NOT subtracted from costs



BCA – Development

- Break down marginal effects into the smallest possible sub-elements
 - This is where 90% of your "thought work" occurs
 - Provide documentation for inputs and growth rates

Example

Replacing a bridge might result in...

- Removal of slow orders, improving through speed (travel time savings)
- Reduced wait time at the approaches (travel time savings and emissions)
- Decreased delays at nearby sidings along the corridor (travel time savings and emissions)
- Reduced O&M costs





BCA – Modal Diversion

- <u>Modal diversion</u> is a marginal choice; *ONLY* count marginal effects
- New users value the project less than existing users (Follow the 50% rule in USDOT'S <u>BCA Guidance</u>)
- Lost revenue from passengers changing to other modes is a <u>transfer</u>, NOT a <u>benefit</u> (Follow USDOT'S <u>BCA Guidance</u>)

Example

Avoided rail-to-truck diversion could result in...

- Increased pavement damage
- Increased harmful emissions
- Increased congestion on highways
- Decreased safety



BCA – Final Advice

- ☑ Document your assumptions in as much detail as possible.
- ✓ If your application contains multiple projects, analyze benefits and costs of each project *separately*.
- ☑ If your BCA includes modal diversion, include
 YOUR freight and/or passenger traffic counts.
- ☑ Include the specific AADT for each grade crossing project. State DOTs often fail to send updates.
- ✓ You must include an unlocked Excel spreadsheet that clearly shows your calculations and discounting.



BCA – Guidance/Online Resources

- Follow USDOT's BCA Guidance, available at: <u>https://www.transportation.gov/office</u> <u>-policy/transportation-policy/benefit-</u> <u>cost-analysis-guidance</u>
- For rail-specific examples on how to apply the BCA Guidance, refer to FRA's BCA FAQ available at: <u>https://railroads.dot.gov/elibrary/cons</u> <u>olidated-rail-infrastructure-and-safety-</u> <u>improvements-crisi-and-federal-state</u>

U.S. Department of Transportation	
Benefit-Cost Analysis Guidance for Discretionary Grant Programs	
	U.S. Department of Transportation Federal Railroad Administration
	Consolidated Rail Infrastructure and
Office of the Secretary	Safety Improvements and Federal-State
U.S. Department of Transportation	Partnership for State of Good Repair
March 2022 (Revised)	Programs Benefit-Cost Analysis FAQs
	Q: Does every CRISI Project Track require a BCA? Yes. Applications for all projects submitted for CRISI must demonstrate the costs and benefit funding for FRA to evaluate the degree to which the project will maximize the net benefits a leverage the Federal investment to be made. The focus and level of detail of cost-benefit comparison will vary by track. Tracks 1 – 3 should demonstrate the benefits of the proposed project – each track consecutively requires more detail; beginning with at the minimum, a qualitative description of the benefits for Track 1 [Pinning], and progressing to a quantitative Benefit:Cost.Analysis for FD/Construction project. eligible for Track 3. In some cases, Track and Track 2 applications may include development or improvement of quantitative Benefit- Analyses. Track 4 project applications should include analysis of the benefits and costs at a lu of completely consistent with project scope.
	Q: Are there different BCA requirements for the CRISI, Federal-State Partnership for State of Good Repair, BUILD, and INFRA programs? Yes. Like the BUILD and INFRA programs, BCA's for Federal-State Partnership for State of Go Repair projects are on allowed to include scirity private benefits: in their analysis and must on only public benefits for justification. CRISI applications may consider both public and priv benefits relative to project costs. Applicants may discuss private and public benefits separat in the BCA narrative if they wish, but all benefits should be included together in the BCA calculations.
	Q: How should I treat fares and freight fees in my BCA? Fares and freight fees are covered under Section 7.2 of the BCA guidance document. As a summary, increases in fare revenue either from raising prices or from increased identific. The same applies to increased revenue via freight fees. These topics may be necessary to cover in the project narrative, for example to explain how the operator might cover increases in OBM or both wy dould not be covered one included in calculations in the BCA.

Best Practices— Environmental Readiness



Environmental review is required for all FRA grant-funded projects

Requirements include:

- National Environmental Policy Act (NEPA)
- National Historic Preservation Act (NHPA) Section 106
- Section 4(f) of the USDOT Act
- Endangered Species Act (ESA) Section 7
- Environmental Justice
- Wetlands and navigable waterways
- Others, as applicable



What to Know Before You Begin...

- The amount/kinds of environmental information and documentation you're typically expected to provide as part of your application depends on which track of the FSP-National program (1, 2, or 3) you're applying under
- Environmental review must be completed and approved by FRA prior to construction
- FRA may be able to adopt environmental documents prepared by/for other Federal agencies



Environmental Readiness – Track 1 or 2

Apply if...

Track 1 or 2

 You're seeking grant funding to pay for development of a NEPA document and conducting associated environmental impact analyses.

 Post-selection, FRA coordinates with grantees to formally determine the NEPA Class of Action and NEPA document required

<u>3 Options:</u>

- 1. Categorical Exclusion (CE) Worksheet
- 2. Environmental Assessment (EA)
- 3. Environmental Impact Statement (EIS)

And then...

With your application, provide as much project information/existing documentation as possible, i.e.:

- Project description
- Location (include maps, photos)
- Any planning or environmental analyses done to date
- Any prior or anticipated public/stakeholder/agency outreach or coordination
- Anticipated environmental impacts
- Anticipated local/State/Federal permits or other approvals (e.g., USACE)
- Anticipated coordination/ consultation with resource and/or regulatory agencies (e.g., SHPO, USFWS)

Environmental Readiness – Track 1 or 2



Also consider providing:

- A draft <u>Categorical Exclusion (CE)</u> worksheet with your grant application, OR
- Identify the anticipated CE category(-ies) that the project may fall under (*see FRA's CEs:* <u>23</u> <u>CFR 771.116</u>)
- If your project does not fit clearly within a CE category, an EA or EIS may be necessary depending on the potential for significant environmental impacts.

Need general **technical assistance** regarding our environmental review and documentation requirements? Contact our experts at <u>FRAenvironment@dot.gov</u>



Environmental Readiness – Track 3

Apply if...

NEPA has already been completed or is underway, and you're seeking grant funding for FD/construction for your project.

• FRA will evaluate environmental readiness based on information included in your application

And then...

With your application:

- Include a copy of approved NEPA document and/or weblink (or anticipated completion date). Identify:
 - Type of NEPA document (CE, EA, EIS)
 - $\circ~$ Lead Federal agency
 - Date of Federal NEPA approval
- Identify if any permits or approvals may be required from agencies besides FRA
- Identify any substantive changes to the proposed project scope and/or to the environmental setting/conditions since date of prior NEPA approval
 - FRA may determine a NEPA reevaluation or supplemental environmental analyses are necessary

Track 3

Environmental Readiness – NEPA Resources

• FRA Environmental Webpage

https://railroads.dot.gov/rail-network-development/environment/environment

• FRA NEPA Procedures

https://railroads.dot.gov/rail-network-development/environment/fra-legislationregulations

• FRA Categorical Exclusion (CE) Worksheet

https://railroads.dot.gov/elibrary/categorical-exclusion-worksheet-0

• FRA CE Companion Guide

https://railroads.dot.gov/elibrary/fra-categorical-exclusion-companion-guide



Environmental Readiness – NEPA Resources

- Council on Environmental Quality (CEQ) Website <u>https://ceq.doe.gov</u>
- A Citizen's Guide to the NEPA

https://ceq.doe.gov/docs/get-involved/Citizens Guide Dec07.pdf

 AASHTO Center for Environmental Excellence Practitioner's Handbook <u>https://environment.transportation.org/resources/practitioners-handbooks/</u>



Environmental Readiness – NHPA Section 106 Resources

• Section 106 Regulations (36 CFR Part 800)

https://www.govinfo.gov/content/pkg/CFR-2021-title36-vol3/pdf/CFR-2021-title36-vol3-part800.pdf

• Section 106 Review Process

https://www.achp.gov/sites/default/files/2018-05/Section%20106%20Review%20Process.Handout.2017.jpg

• A Citizen's Guide to Section 106 Review

https://www.achp.gov/sites/default/files/documents/2019-04/CitizenGuide2015v4-spreads%20layout.pdf

• Section 106 and Infrastructure Projects

https://www.achp.gov/section-106-and-Infrastructure-Projects

• Section 106 Program Comment for Rail ROW

https://railroads.dot.gov/rail-network-development/environment/final-section-106-program-comment-railrights-way



FRA NEPA/Section 106 Webinars

- There are several recorded webinars on FRA's website regarding our NEPA/Section 106 review requirements and processes
- Training & Guidance | Webinars | dot.gov

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Training Guid	lance Overview	Webinars				
Meetings			webinars to provide technica sentation files are listed belo			
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Recap & Reminders



Recap & Reminders

- Always read the NOFO carefully
- Determine what a successful project looks like
- Ensure you submit all required documents
- Address all the evaluation and selection criteria on which you will be rated
 - Be clear and direct in responding to criteria Ο
 - Make your application easy to read and Ο evaluate
 - Don't bury key points! Ο



Submit your application on time! Late applications will not be reviewed.



Recap & Reminders

- Verify funding and budget amounts for consistency!
 - Ensure amounts match in different parts of your application package (e.g., cover sheet, SOW, Project Narrative, SF-424)
 - Numbers in columns and rows should add up properly in budget tables
 - Only include project costs that are expected to be incurred after grant selection
- Name key partners, indicate in-place agreements, and include letters of support
- Have an objective "cold reader" i.e., an individual unfamiliar with the grant application — review your final document before submission



Grant Lifecycle and Approximate Time Frames





Upcoming Fed-State Webinars

- FRA will host three FSP Information Sessions in January and February 2023:
 - Session #1: Eligibility, Host Infrastructure
 Agreements and Relationship with Corridor ID
 - Session #2: Major Capital Projects
 - Session #3: Project Narrative and Statements of Work
- Date and registration information will be available soon—look for information on <u>FRA's</u> <u>Grants & Loans webinar landing page</u>



FRA anticipates a January 2023 **Northeast Corridor-focused FSP webinar;** information will be provided following publication of the FSP-NEC NOFO.



QUESTIONS?



Contact Us

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FRA-NOFO-Support@dot.gov

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Application Process: Doug Gascon Douglas.Gascon@dot.gov

Benefit-Cost Analysis: Michael Johnson Michael.Johnson1@dot.gov

Environmental Readiness: Laura Shick Laura.Shick@dot.gov FRAenvironment@dot.gov

FRA Competitive Discretionary Grant Programs Webpage https://www.fra.dot.gov/grants

