



FY 2020 Federal-State Partnership for State of Good Repair Grant Program Webinar

Presented by:

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Agenda

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

A blue-tinted photograph of a railway track stretching into the distance under a cloudy sky. The track is made of steel rails on wooden ties, set on a bed of gravel. The sky is filled with soft, white clouds, and the overall scene is dimly lit, suggesting dusk or dawn. The text is overlaid in the center in a large, white, sans-serif font.

Federal-State Partnership Program Overview

Program Purpose & Funding Overview

Purpose

- To fund **Capital Projects** across the United States to **repair, replace, or rehabilitate Qualified Railroad Assets** to reduce the state of good repair backlog and improve Intercity Passenger Rail performance

Notice of Funding Opportunity Overview

- Published in the Federal Register on June 10, 2020
 - **\$291.4 million available:**
 - **\$198 million** in fiscal year 2020 appropriations
 - **\$93.4 million** in remaining fiscal year 2019 appropriations
 - Applications due by **5 pm ET on July 27, 2020**
- Concurrent applications and resubmissions are allowed
 - Indicate other program(s) where application has been submitted (e.g., CRISI, BUILD)

Key Definitions

Capital Project

- Primarily intended to **replace, rehabilitate, or repair** major infrastructure assets used in Intercity Passenger Rail service
- Primarily intended to **improve Intercity Passenger Rail performance**
- **Major Capital Project** is a project with a proposed total project cost of \$300 million or greater

State of Good Repair

- Condition in which physical assets are performing at a level at least equal to their as-built or as-modified design specification
- The life cycle cost of maintaining the assets is lower than the cost of replacing them
- Assets are sustained through regular maintenance and replacement programs

Northeast Corridor

- Main rail line between Boston, MA, and the District of Columbia, and branch lines to Harrisburg, PA, Springfield, MA, and Spuyten Duyvil, NY

Eligible Applicants

Eligible Applicants

- States (*including 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
- Any combination of the above

Selection preference for applications submitted by multiple eligible applicants

Ineligible entities may be included as a partner on an application submitted by one or more eligible applicants

Submitting a Joint Application

Joint Application Procedures

- **Identify a Lead Applicant**
 - Serves as point-of-contact for application
 - Recipient of grant award if selected
- **Identify all joint applicant(s)**
 - Include signed statement from an authorized representative
 - Affirm entity joins as an applicant – not just letter of support
- **Identify roles and responsibilities between applicants**
 - Joint applicant role at discretion of applicants – there are no specific requirements for how joint applicant participates in project.
 - Joint applicant may:
 - Provide matching funds or in-kind contributions
 - Be a sub-recipient of a grant award
 - Implement or manage parts of project delivery

Non-Federal Match Requirements

Non-Federal Match

- Federal share of total costs **shall not exceed 80 percent**
- Cash and in-kind contributions are permitted, consistent with 2 CFR Part 200
- Preference for cash contributions for first 20 percent of non-Federal match
- If Amtrak is an applicant, its ticket and other non-Federal revenues generated from its business operations may be used as matching funds

10 of 12 FY19 round selections had 50%+ non-Federal match contributions

Selection Preferences for Matching Funds

- *50 percent or greater non-Federal match*
- *Non-Federal shares consisting of funding from multiple sources demonstrating broad participation and cost sharing from affected stakeholders*

Eligible Projects

Eligible Project Criteria

1 Capital Project

- May include final design, but only in conjunction with an award for project construction
- Planning, PE/NEPA are not eligible

2 Meets the Qualified Railroad Asset definition

3 Executes one or more of the following activities

- Replace existing assets in-kind, or with assets that increase capacity or provide a higher level of service
- Ensure that service can be maintained while existing assets are brought to a state of good repair
- Bring existing assets into a state of good repair

Qualified Railroad Asset Definition

Qualified Railroad Asset

Qualified Railroad Assets include **infrastructure, equipment, of facility assets that are used in intercity passenger rail service** and are:

- ① **Owned or controlled by an eligible applicant**
- ② **Included in appropriate planning documents and cost allocation policy arrangements**
 - Requirements for Northeast Corridor and non-Northeast Corridor projects are different
- ③ **Not in a State of Good Repair**
 - As of the date of enactment of the Fixing America's Surface Transportation (FAST) Act (December 2015)

Project Eligibility – Non-NEC Project

Eligibility Requirement	How to Demonstrate Eligibility for a Non-NEC Project
Applicant ownership or control	<ul style="list-style-type: none"> Own the assets improved by the project, <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> Show control over the assets improved by the project (<i>e.g., via agreement(s) with owner</i>)
Contained in planning document	<ul style="list-style-type: none"> Show project is contained in relevant State Rail Plan(s) <p><i>If not in State Rail Plan, then either:</i></p> <ul style="list-style-type: none"> Show project is contained in an equivalent planning document, <i>or</i> Amend the State Rail Plan to include the project
Cost Allocation Policy	<ul style="list-style-type: none"> Show the project is for routes subject to Sec. 209 of the Passenger Rail Investment and Improvement Act of 2008 (PRIIA) <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> Demonstrate the project is subject to a similar agreement
State of Good Repair	<ul style="list-style-type: none"> Describe asset condition and performance as of passage of FAST Act (<i>Dec. 2015</i>) Indicate how assets do not meet SOGR definition

Project Eligibility – NEC Project

Eligibility Requirement	How to Demonstrate Eligibility for a NEC Project
Applicant ownership or control	<ul style="list-style-type: none"> • Own the assets improved by the project <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • Show control over the assets improved by the project (<i>e.g., via agreement(s) with owner</i>)
Contained in planning document	<ul style="list-style-type: none"> • Show project is contained in the NEC Commission 5-Year Capital Investment Plan (CIP) <p><i>If not in the CIP, then either:</i></p> <ul style="list-style-type: none"> • Show project is contained in an equivalent planning document, <i>or</i> • Update the CIP to include the project
Cost Allocation Policy	<ul style="list-style-type: none"> • Show the project is subject to the cost-allocation policy developed under Sec. 212 of PRIIA (<i>i.e., the NEC Commuter and Intercity Rail Cost Allocation Policy</i>)
State of Good Repair	<ul style="list-style-type: none"> • Describe asset condition and performance as of passage of FAST Act (<i>Dec. 2015</i>) • Indicate how assets do not meet SOGR definition

Evaluation & Selection Criteria

Evaluation Criteria

- **Technical Merit:** Project readiness; applicant past performance and capacity; private sector participation; qualifications of key personnel; consistency with planning documents
- **Project Benefits:** Effects on system performance, safety, competitiveness, reliability; improved modal integration; ability to meet demand

Selection Criteria

- **Preferences:** Amtrak is not sole applicant; joint applications; 50 percent or greater non-Federal match
- **Key Departmental Priorities:**
 - Supporting economic vitality
 - Leveraging Federal funding
 - Preparing for future operations and maintenance costs
 - Innovative approaches to safety and project delivery
 - Accountability
 - Non-Federal match comprised of more than one source

Other Requirements & Restrictions

Other Restrictions / Requirements

- FRA will not fund PE, NEPA or related clearances under this NOFO
- Pre-award costs incurred prior to selection, without an FRA NEPA determination, or without prior FRA written approval are unallowable costs
- FRA is prohibited under 49 U.S.C. 24405(f) from providing Partnership Program grants for Commuter Rail Passenger Transportation
 - FRA's primary intent is reasonable investments in Intercity Passenger Rail transportation projects
 - Such projects may be located on shared corridors where Commuter Rail Passenger Transportation also benefits
- For NEC Projects, be compliant with the NEC Cost Allocation Policy (49 U.S.C. 24905(c)(2)) and maintain compliance throughout the project duration



NOFO Overview and How to Apply

What is a NOFO?

Notice of Funding Opportunity (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
 - Federal Award Information
 - **Eligibility Information**
 - **Application and Submission Information**
 - **Application Review Information**
 - Federal Award Administration Information
 - Federal Awarding Agency Contacts

Where do I start?

Check the FRA **Competitive Discretionary Grant Programs** webpage

- <https://railroads.dot.gov/grants-loans/competitive-discretionary-grant-programs/competitive-discretionary-grant-programs>

United States Department of Transportation

U.S. Department of Transportation
Federal Railroad Administration

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Home / Grants & Loans / Competitive Discretionary Grant Programs

Competitive Discretionary Grant Programs

Competitive Discretionary Grant Programs

Accepting Applications >

Not Accepting Applications >

Accepting Applications

Federal-State Partnership for State of Good Repair Grant Program (FY 2020)

This program provides \$291,422,706 for eligible capital projects within the United States to repair, replace, or rehabilitate qualified railroad assets to reduce the state of good repair backlog and improve intercity passenger rail performance. Applications are due no later than 5:00 p.m. ET, July 27, 2020. For more information regarding this program, please see the [FY 2020 Notice of Funding Opportunity](#).

See Also:

- Join FRA on **June 25, 2020, from 2 PM to 3:30 PM**, for a webinar about the [FY 2020 Federal-State Partnership for State of](#)

Related Links

- [FRA Competitive Grant Programs Information](#)
- [Webinar: FY20 Federal-State Partnership for State of](#)

Click the link to access the NOFO

Where is the FY20 Partnership Program NOFO?

FEDERAL REGISTER
The Daily Journal of the United States Government

Notice

Notice of Funding Opportunity for the Federal-State Partnership for State of Good Repair Program

A Notice by the [Federal Railroad Administration](#) on 06/10/2020

Comments on this document are being accepted at [Regulations.gov](#). [SUBMIT A FORMAL COMMENT](#)

PUBLISHED DOCUMENT

AGENCY:
Federal Railroad Administration (FRA), Department of Transportation (DOT).

ACTION:
Notice of Funding Opportunity (NOFO or notice).

SUMMARY:
This notice details the application requirements and procedures to obtain grant funding for eligible projects under the Federal-State Partnership for State of Good Repair Program (Partnership Program). This notice solicits applications for Partnership Program funds made available by the Further Consolidated Appropriations Act, 2020 (2020 Appropriations Act) and the Consolidated Appropriations Act, 2019 (2019 Appropriations Act). The opportunity described in this notice is made available under Catalog of Federal Domestic Assistance (CFDA) number 20.326, "Federal-State Partnership for State of Good Repair."

DOCUMENT DETAILS

Printed version:
[PDF](#)

Publication Date:
06/10/2020

Agencies:
[Federal Railroad Administration](#)

Dates:
Applications for funding under this solicitation are due no later than 5:00 p.m. ET, July 27, 2020. FRA will not consider applications for funding or supplemental material in received after 5:00 p.m. ET, on July 27, 2020 or incomplete

Section D of this notice for additional information on the application process.

Where do I find “How to Apply” information?

Search Grants tab on **Grants.gov**:

GRANTS.GOV
FIND. APPLY. SUCCEED.™

SEARCH: Grant Opportunities ▾ Enter Keyword... **GO**

HOME LEARN GRANTS ▾ **SEARCH GRANTS** APPLICANTS ▾ GRANTORS ▾ SYSTEM-TO-SYSTEM ▾ FORMS ▾ CONNECT ▾ SUPPORT ▾

GRANTS.GOV > Search Grants

SEARCH GRANTS

BASIC SEARCH CRITERIA:

Keyword(s):

Opportunity Number:

CFDA: **SEARCH**

OPPORTUNITY STATUS:

- Forecasted (0)
- Posted (1)
- Closed (0)
- Archived (2)

SEARCH TIPS | EXPORT DETAILED DATA | **Save Search »**

SORT BY: Posted Date (Descending)

DATE RANGE: All Available

1 - 1 OF 1 MATCHING RESULTS:

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
FR-FSP-20-002	FY19&20 Federal-State Partnership for State of Good Repair Program	DOT-FRA	Posted	06/17/2020	07/20/2020

Click the **Opportunity Number** to see the Synopsis

What is the Synopsis?

Summary information about the grant opportunity in Grants.gov:

The screenshot displays the Grants.gov interface for viewing a grant opportunity. The page title is "VIEW GRANT OPPORTUNITY". The grant details include the number "FR-FSP-20-002", the title "FY19&20 Federal-State Partnership for State of Good Repair Program", and the issuing agency "Department of Transportation, DOT - Federal Railroad Administration". There are "Apply" and "Subscribe" buttons. Below the title, there are tabs for "SYNOPSIS", "VERSION HISTORY", "RELATED DOCUMENTS", and "PACKAGE". The "SYNOPSIS" tab is selected and highlighted with a red box. The synopsis content is organized into a "General Information" section with two columns of key-value pairs.

General Information	
Document Type: Grants Notice	Version: Synopsis 2
Funding Opportunity Number: FR-FSP-20-002	Posted Date: Jun 17, 2020
Funding Opportunity Title: FY19&20 Federal-State Partnership for State of Good Repair Program	Last Updated Date: Jun 17, 2020
Opportunity Category: Discretionary	Original Closing Date for Applications: Jul 20, 2020 No Explanation
Opportunity Category Explanation:	Current Closing Date for Applications: Jul 20, 2020 No Explanation
Funding Instrument Type: Grant	Archive Date: Aug 19, 2020
Category of Funding Activity: Opportunity Zone Benefits Transportation	Estimated Total Program Funding:
	Award Ceiling: \$291,422,706

How do I apply?

Key Steps

- Obtain a Dun and Bradstreet number (DUNS)
- **Register early** in the Federal government's System for Award Management (SAM)
 - **NOTE: SAM registration can take up to 2 weeks (longer if you do not have an Employer Identification Number)**
- 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

What do I include in my application?

Required Documents

- **Project Narrative**
- **Statement of Work**
- **Environmental Compliance Documentation**
- **Benefit-Cost Analysis**

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
- SF LLL: Disclosure of Lobbying Activities

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:
The purpose of the Partnership Program is to assist in funding capital projects to repair, replace, or rehabilitate qualified railroad assets to reduce the state of good repair backlog and improve intercity passenger rail performance.

Link to Additional Information: [FY19&20 Federal-State Partnership for State of Good Repair Program](#)

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

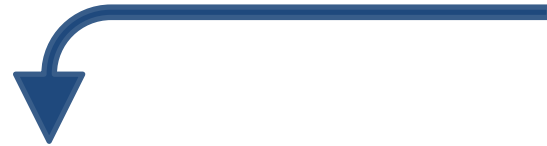
1. Intake and Eligibility

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



2. Evaluation

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



3. Selection

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



4. Announcement

FRA press release announces selections approximately 4 to 5 months following application due date

A blue-tinted photograph of a railway track curving into the distance. The tracks are made of metal rails on a bed of gravel, and the surrounding area is covered in snow. The text "Best Practices" is overlaid in the center in a large, white, sans-serif font.

Best Practices

Best Practices & Helpful Hints

- ☑ Read the Notice of Funding Opportunity (NOFO) completely and carefully to understand the criteria for eligibility and selection, and what information each application must include

- ☑ FRA has identified three primary areas where applications that are not selected for funding typically demonstrate deficiencies:
 - Project Narrative
 - Statement of Work
 - Benefit-Cost Analysis

The screenshot displays the Federal Register page for a Notice of Funding Opportunity (NOFO) titled "Notice of Funding Opportunity for the Federal-State Partnership for State of Good Repair Program". The page is published by the Federal Railroad Administration on 06/10/2020. It includes a "SUBMIT A FORMAL COMMENT" button and a "PUBLISHED DOCUMENT" section with the following details:

AGENCY: Federal Railroad Administration (FRA), Department of Transportation (DOT).

ACTION: Notice of Funding Opportunity (NOFO or notice).

SUMMARY: This notice details the application requirements and procedures to obtain grant funding for eligible projects under the Federal-State Partnership for State of Good Repair Program (Partnership Program). This notice solicits applications for Partnership Program funds made available by the Further Consolidated Appropriations Act, 2020 (2020 Appropriations Act) and the Consolidated Appropriations Act, 2019 (2019 Appropriations Act). The opportunity described in this notice is made available under Catalog of Federal Domestic Assistance (CFDA) number 20.326, "Federal-State Partnership for State of Good Repair."

DATES: Applications for funding under this solicitation are due no later than 5:00 p.m. ET, July 27, 2020. FRA will not consider applications for funding or supplemental material in support of an application received after 5:00 p.m. ET, on July 27, 2020 or incomplete applications for funding. See Section D of this notice for additional information on the application process.

DOCUMENT DETAILS:

- Printed version: PDF
- Publication Date: 06/10/2020
- Agencies: Federal Railroad Administration
- Dates: Applications for funding under this solicitation are due no later than 5:00 p.m. ET, July 27, 2020. FRA will not consider applications for funding or supplemental material in support of an application received after 5:00 p.m. ET, on July 27, 2020 or incomplete applications for funding. See Section D of this notice for additional information on the application process.
- Document Type: Notice
- Document Citation: 85 FR 35497
- Page: 35497-35507 (11 pages)
- Document Number: 2020-12542

A blurred background image of a high-speed train track with overhead power lines. The image is dark and has a blue tint, with motion blur on the tracks and power lines. The text is overlaid in the center.

Best Practices – Project Narrative

Best Practices – Project Narrative

Project Narrative Outline

- I. Cover Page
- II. Project Summary
- III. Project Funding
- IV. Applicant Eligibility
- V. Project Eligibility
- VI. Detailed Project Description
- VII. Project Location
- VIII. Evaluation & Selection Criteria
- IX. Project Implementation & Management
- X. Environmental Readiness

- 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

Best Practices – Project Narrative

Project Narrative Outline

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- Indicate if an application for the project has been submitted previously to another Federal grant program – include the program and year

Best Practices – Project Narrative

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

Best Practices – Project Narrative

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- ☑ Only include eligible costs
- ☑ Specify each source of non-Federal 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

Best Practices – Project Narrative

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- X. 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

Best Practices – Project Narrative

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- X. 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

Best Practices – Project Narrative

Project Narrative Outline

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- X. 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

Best Practices – Project Narrative

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- IX. Project Implementation & Management**
- X. Environmental Readiness

- ☑ Highlight applicant's past 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

Best Practices – Project Narrative

Project Narrative Outline

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- IX. Project Implementation & Management
- X. Environmental Readiness**

- ☑ If NEPA is complete, indicate the date of completion and type of NEPA* document (Categorical Exclusion, Finding of No Significant Impact, Record of Decision) and provide a link or reference to the document

- ☑ If NEPA is underway or not started, provide the current status, expected completion date, and type of document

A blue-tinted photograph of a railway track receding into the distance under a cloudy sky. The track is made of metal rails and wooden sleepers, with gravel ballast between them. The sky is filled with soft, white clouds, and the overall scene is dimly lit, suggesting dusk or dawn. The text "Best Practices – Statement of Work" is overlaid in the center in a large, white, sans-serif font.

Best Practices – Statement of Work

Best Practices – Statement of Work

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

- ☑ Use templates for the
- SOW (Attachment 2)
 - Schedule (Attachment 3)
 - Budget (Attachment 4)

United States Department of Transportation
U.S. Department of Transportation
Federal Railroad Administration

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Statements of Work

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.

These templates are intended to assist grantees in drafting an SOW for each application selected by FRA to receive funding. The development of an SOW should be a highly collaborative process between the grantee and FRA. As such, grantees will work with FRA to create an approved SOW.

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.

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 General Grants - Attach 2 - SOW](#)
- [Example General Grants - Attach 3 - Schedule](#)
- [Example General Grants - Attach 4 - Budget](#)

Best Practices – Statement of Work

- ☑ Organize the scope of work into discrete and logically sequenced tasks
- ☑ 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

ATTACHMENT 2

STATEMENT OF WORK

[insert applicant/grantee name]
[insert project name]
[insert grant program name and fiscal year]

I. AUTHORITY

Authorization	E.g. 49 U.S.C. § 24407 For CRISI Program Insert eligibility citation (e.g. 49 U.S.C. 24407(c)(1))
Funding Authority/Appropriation	E.g. Contract authority in the FAST Act Sec. 1101(a)(5), Pub. L. 114-94 (December 4, 2015) E.g. Consolidated Appropriations Act, 2018, Division L, Title I (Pub. L. 115-141 (March 23, 2018))
Notice of Funding Opportunity	[NOFO Title] for Fiscal Year 20XX, [Federal Register citation], [Month, date, year] [volume #] FR [publication date]

II. BACKGROUND

Instructions: This section also provides high-level overview information regarding the project and applicant/grantee, and defines the term "Project" as that term is used throughout the Agreement. Approximately 3-4 paragraph in length.

This Agreement funds the Grantee to support the deployment of [description] (Project). To the extent there is a conflict between Attachment 1 and this Attachment 2, Attachment 1 governs.

[IF APPLICABLE: All necessary planning, preliminary engineering (PE) and National Environmental Policy Act (NEPA) requirements have been completed. A Categorical Exclusion for this Project was approved by FRA on XXX].

III. OBJECTIVE

Instructions: The "Objective" section of the Statement of Work (SOW) is intended to provide a clear description of the underlying transportation problem that the project will address; the work that will be accomplished under the grant/cooperative agreement; the end-state of the project, and the public benefits that the project is intended to achieve.

Best Practices – Statement of Work

Federal Railroad Administration
 U.S. Department of Transportation
 August 30, 2016 (final)

CAPITAL COST ESTIMATING

GUIDANCE FOR
 PROJECT SPONSORS

- Utilize FRA’s Standard Cost Categories as a way to organize the scope of work and budget
 - <https://railroads.dot.gov/elibrary/mp-33-scc-worksheets>
- Ensure consistency among the project narrative, statement of work, benefit-cost analysis, and other application materials

FRA MAIN WORKSHEET										Issue Date 5/4/16
Grantee Name								Today's Date		8/28/14
Project Name and Location: Rail Project A, Two cities with rural in-between								Yr of Base Year \$		2014
Current Phase : Final Design, Ready to Procure Construction								Yr of Revenue Ops		2017
Standard Cost Category	Unit	Quantity	Base Year Dollars						YOE Dollars Total (X000) (from Inflation Worksheet)	
			Without Contingency (X000)	Allocated Contingency (X000)	TOTAL (X000)	Unit Cost (X000)	Percent of Construction Cost	Percent of Total Project Cost		
10 Guideway & Track Elements	Lineal Miles of Guideway	105	1,520,000	140,000	1,660,000	15,810	69%	52%	1,718,100	
10.010	Guideway: At-grade exclusive right-of-way	Lineal Miles of Guideway	100	550,000	50,000	600,000	6,000			
10.020	Guideway: At-grade semi-exclusive (allows cross-traffic)	Lineal Miles of Guideway		0		0				
10.030	Guideway: At-grade in mixed traffic	Lineal Miles of Guideway		0		0				
10.040	Guideway: Aerial structure	Lineal Miles of Guideway		0		0				
10.041	Bridges	Lineal Miles of Guideway		0		0				
10.042	Viaduct	Lineal Miles of Guideway		0		0				
10.043	Other Structure	Lineal Miles of Guideway		0		0				
10.044	Unspecified	Lineal Miles of Guideway		0		0				
10.050	Guideway: Built-up fill	Lineal Miles of Guideway		0		0				
10.060	Guideway: Underground cut & cover	Lineal Miles of Guideway		0		0				
10.061	Cut & Cover Guideway Soft Soils	Lineal Miles of Guideway		0		0				
10.062	Cut & Cover Guideway Hard Soils	Lineal Miles of Guideway		0		0				
10.063	Cut & Cover Guideway Vent Soft Soils	Lineal Miles of Guideway		0		0				
10.064	Cut & Cover Guideway Vent Hard Soils	Lineal Miles of Guideway		0		0				
10.065	Unspecified	Lineal Miles of Guideway		0		0				



Best Practices – Benefit-Cost Analysis

Why Do Benefit-Cost Analyses?

- BCAs encourage applicants to focus and refine project scopes and outcomes
- BCAs are 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 (TIGER/BUILD and FASTLANE/INFRA) have similar provisions

BCA – Overview of Steps

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

BCA – Scope of Analysis

- The base case reflects the status quo — i.e., the world as it exists today
- The alternate case (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
 - Avoided costs of alternatives not taken are NOT benefits
- The timeline 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 marginal effects)
- 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
 - Residual value 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



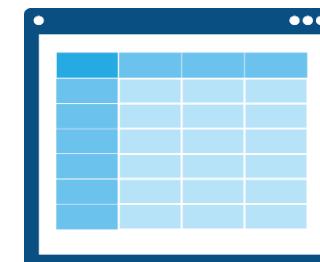
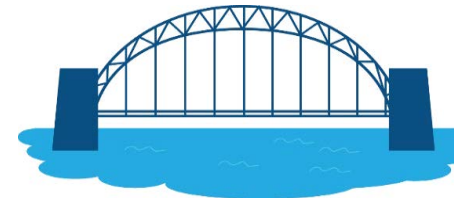
BCA – Modal Diversion

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



An aerial, high-angle photograph of a railway track system. The tracks run parallel to each other, receding into the distance. Overhead power lines and support structures are visible, crisscrossing the tracks. A signal light is positioned on the left side of the tracks. The background shows some buildings and trees, suggesting an urban or suburban setting. The entire image has a blue color cast.

Recap & Reminders

Recap & Reminders

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



Recap & Reminders

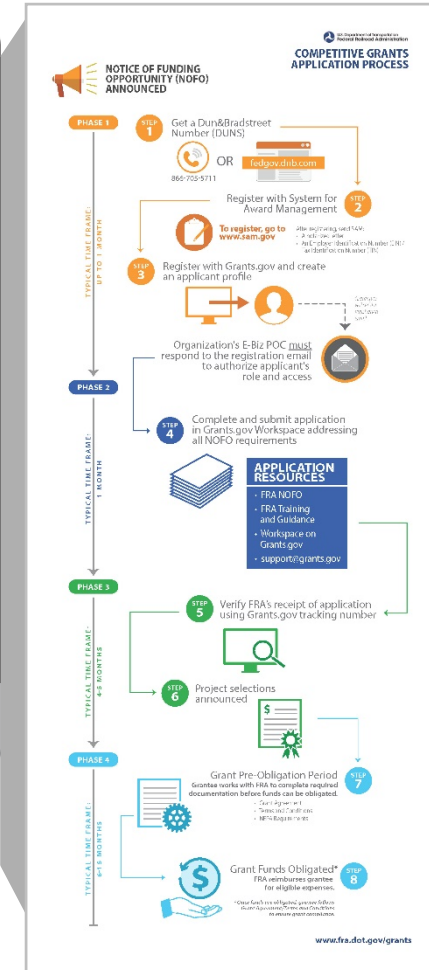
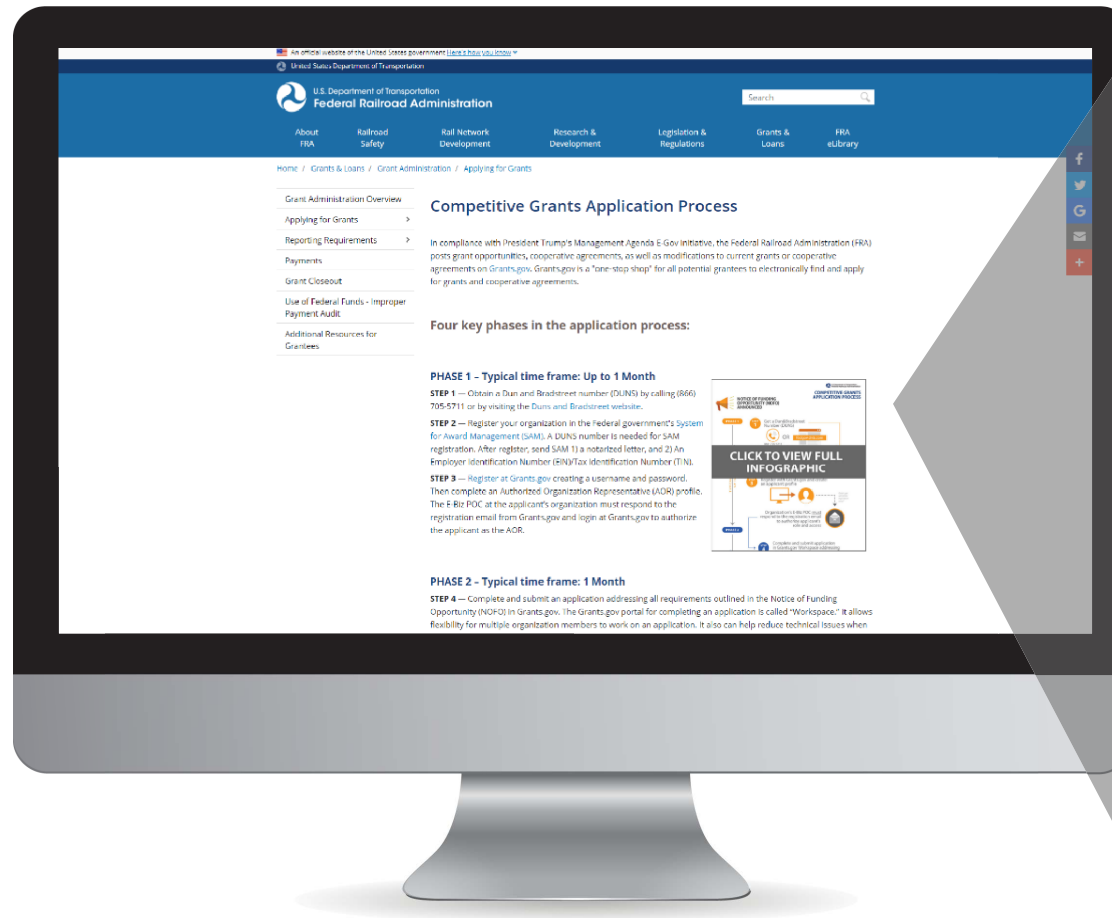
- **Verify funding and budget amounts** for consistency!
 - **Ensure amounts match** in different parts of your application package (e.g., cover sheet, SOW, Project Narrative, SF-424)
 - Numbers in columns and rows should add up properly in budget tables
 - Only include project costs that are expected 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



Grant Application Process

- FRA's [Competitive Grants Application Process](#) webpage





Q & A



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FRA Competitive Discretionary Grant Programs Webpage

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