

# RAIL

*MOVING AMERICA FORWARD*



## FY21 Consolidated Rail Infrastructure and Safety Improvements (CRISI) Grants NOFO Webinar

**Presented by:**

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U.S. Department of Transportation  
Federal Railroad Administration

September 21, 2021



# Welcome: FRA Deputy Administrator Amit Bose

# Agenda

- 1 FY21 CRISI Program Overview
- 2 NOFO Overview and How to Apply
- 3 Best Practices
  - Project Narrative
  - Statement of Work (SOW)
  - Benefit-Cost Analysis (BCA)
  - Environmental Readiness
- 4 Recap & Reminders
- 5 Q & A



# FY21 CRISI Program Overview

# FY21 CRISI – Program Overview

## Grant Purpose

- To fund projects that improve the safety, efficiency, and/or reliability of intercity passenger and freight rail systems

## CRISI – Recent & Upcoming Funding Opportunities

### Authorization & Appropriations (M)

	FY18	FY19	FY20	FY21
Authorization	\$230	\$255	\$330	\$330
Appropriation	\$592.5	\$255	\$325	\$375

### Status of Funding Opportunities

Year	Available Funding (M)	Status	
FY18 (PTC)	\$250	<input checked="" type="checkbox"/>	Awards announced August and December 2018
FY18	\$318	<input checked="" type="checkbox"/>	Awards announced June 2019
FY19	\$244	<input checked="" type="checkbox"/>	Awards announced March 12, 2020
FY20	\$311	<input checked="" type="checkbox"/>	Awards announced September 23, 2020
FY21	\$362	<input type="checkbox"/>	Awards expected spring 2022

# FY21 CRISI – Program Overview

## Eligible Applicants

- A State or group of States
- An Interstate Compact
- Public agencies or publicly chartered authorities
- Local governments
- Amtrak or other intercity passenger rail carrier
- Class II or III railroads
- Any rail carrier or equipment manufacturer in partnership with at least one state entity, public agency, and/or local government
- The Transportation Research Board (TRB) together with any entity with which it contracts in the development of rail-related research, including cooperative research programs
- A university transportation center engaged in rail-related research
- A non-profit labor organization representing a class or craft of employees of rail carriers or rail carrier contractors

# FY21 CRISI – Program Overview

## Eligible Project Criteria

- **Wide Range of Rail Capital Projects**
  - Congestion mitigation
  - Ridership growth facilitation
  - Enhancements to multimodal connections
  - Improvements to short-line or regional railroad infrastructure
- **Railroad Safety Technology**
- **Track, Station, and Equipment Improvements for Intercity Passenger Rail**
- **Grade Crossing Improvements**
- **Rail Line Relocation and Improvement**
- **Regional and Corridor Service Planning and corresponding Environmental Analyses**
- **Safety Programs and Institutes**
- **Research**
- **Workforce Development and Training**

At least 25% of funds is reserved for rural projects

# FY21 CRISI – New Set-Asides and Non-CRISI Funding



**\$75M**

Set-aside for capital projects to support new intercity passenger rail service routes including alignments for existing routes

**\$25M**

Set-aside for capital and engineering solutions targeting trespassing

**\$2.3M**

Non-CRISI funding to reduce trespassing

*Other available funding for trespassing mitigation projects has been folded into the CRISI Grant Program under Track 4*

iv. Track 4—Research, Safety Programs and Institutes (Non-Railroad Infrastructure). Track 4 consists of projects not falling within Tracks 1-3, including workforce development activities, research, safety programs or institutes designed to improve rail safety that clearly demonstrate the expected positive impact on rail safety. Sufficient detail must be provided on what the project will accomplish, as well as the applicant's capability to achieve the proposed outcomes. Examples include initiatives for improving rail safety, training, payment of applicable law enforcement wages to undertake trespass Enforcement Activities, Outreach Campaigns for reducing suicides that involve railroad trespassing, and education.



# FY21 CRISI – Funding for Trespassing Projects

<b>CRISI Funding</b>	<p><b><i>CRISI Set-Aside:</i></b> <b><i>\$25M</i></b></p>	<ul style="list-style-type: none"> <li>• For capital projects and engineering solutions targeting trespassing</li> <li>• Preference for projects located in counties with the most pedestrian casualties as identified in <a href="#">FRA’s National Strategy to Prevent Trespassing on Railroad Property</a></li> </ul>
<b>Non-CRISI Funding</b>	<p><b>Railroad Trespassing Enforcement Grant Program:</b> <b><i>\$2,034,296</i></b></p>	<ul style="list-style-type: none"> <li>• For railroad trespassing enforcement activities at trespassing hot spots <b>on FRA-regulated track</b></li> <li>• Limited to hourly wages for law enforcement officials</li> <li>• Maximum award is \$120,000</li> </ul>
	<p><b>Railroad Trespassing Suicide Prevention Grant Program:</b> <b><i>\$207,000</i></b></p>	<ul style="list-style-type: none"> <li>• For the implementation or expansion of targeted outreach campaigns to reduce the number of railroad-related suicides that involve railroad trespassing <b>on FRA-regulated track</b></li> <li>• Maximum award is \$100,000</li> </ul>
	<p><b><i>For Non-CRISI funding:</i></b></p> <ul style="list-style-type: none"> <li>• <i>Applicants must meet CRISI eligibility requirements</i></li> <li>• <i>Federal share of total project costs can be up to 100 percent</i></li> <li>• <i>Submit under Track 4</i></li> </ul>	

# FY21 CRISI – Program Overview

## Non-Federal Match Requirements

- Federal share of total costs **shall not exceed 80 percent.**
- 20 percent minimum non-Federal match for CRISI-funded projects may consist of public sector (e.g., state or local) and/or private sector funding. FRA will not consider any Federal financial assistance nor any non-Federal funds already expended (or otherwise encumbered) toward the matching requirement, unless compliant with 2 CFR part 200.
- Applicants must identify the source(s) of its matching and other funds, and must clearly and distinctly reflect these funds as part of the total project cost.
- In-kind contributions, including the donation of services, materials, and equipment, may be credited as a project cost, in a uniform manner consistent with 2 CFR 200.306.

**Average matching  
percent of selected  
projects for FY20: 49%**

**Average matching  
percent over lifetime of  
program (FY17-20): 49%**

# FY21 CRISI – Program Overview

## Evaluation Criteria

- **Technical Merit:** SOW aligns with expected outcomes, project readiness, technical qualifications and capacity of applicant to carry out proposed project, innovative overall approach, private sector participation, consistency with planning documents
- **Project Benefits:** Effects on system performance, safety, integration with other modes, ability to meet demand

## Selection Criteria

- **Preference:**
  - Federal share of total project costs is 50 percent or less
  - Maximized net benefits
  - Pre-construction elements (preliminary engineering [PE], final design [FD]) that support development of new intercity passenger rail routes
  - Projects targeting trespassing in areas with documented casualties

# FY21 CRISI – Program Overview

## 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:

### ***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 strength, improving core assets***

Invests in vital infrastructure assets, addresses capital needs to connect farms, factories, and shippers to the rail network, and provides opportunities for families to achieve economic security through rail industry employment.

### ***Resilience, addressing climate change***

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

### ***Racial equity, economic inclusion***

Improves or expands transportation options, mitigates the safety risks and detrimental quality of life effects that rail lines can have on communities, and expands workforce development and training opportunities to foster a more diverse rail industry.

### ***Transformation of our nation's transportation infrastructure***

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

# NOFO Overview & How to Apply



# What is a NOFO?

## Notice of Funding Opportunity (NOFO)

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### 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 **Discretionary Competitive Grant Program** webpage

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

An official website of the United States government [Here's how you know](#)

The latest general information on the Coronavirus Disease 2019 (COVID-19) is available on the [CDC website](#).

United States Department of Transportation

U.S. Department of Transportation  
**Federal Railroad Administration**

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Competitive Discretionary Grant Programs

Accepting Applications

Not Accepting Applications >

**Competitive Discretionary Grant Programs**

**Accepting Applications**

**[Consolidated Rail Infrastructure and Safety Improvements Program \(FY 2021\)](#)**

This program provides \$361,978,796 to fund capital projects that will improve intercity passenger and freight rail transportation systems in terms of safety, efficiency, or reliability. Applications are due no later than 5 p.m. EDT, November 29, 2021. For more information about this program, please see the [FY 2021 Notice of Funding Opportunity \(NOFO\)](#).

**See Also:**

Join FRA on September 21, 2021, at 1:00 p.m. EDT, for the [FY 2021 Consolidated Rail Infrastructure and Safety Improvements \(CRISI\) Program NOFO Webinar](#) to learn about the grant program and its application process.

**Related Links**

- [FRA Competitive Grant Programs Information](#)

Click the link to access the NOFO

# Where is the FY21 CRISI Program NOFO?

Sections Browse Search Reader Aids My FR Search Documents Sign in Sign up

**FEDERAL REGISTER**  
The Daily Journal of the United States Government

Notice

## Notice of Funding Opportunity for Consolidated Rail Infrastructure and Safety Improvements

A Notice by the Federal Railroad Administration on 08/31/2021

**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 Consolidated Rail Infrastructure and Safety Improvements (CRISI) Program, and related Trespass Prevention projects. The opportunities described in this notice are made available under Assistance Listings Number 20.325, Consolidated Rail Infrastructure and Safety Improvements.

**DATES:**  
Applications for funding under this solicitation are due no later than 5:00 p.m. ET, November 29, 2021. Applications that are incomplete or received after 5:00 p.m. ET on November 29, 2021 will not be considered for funding. See Section D of

**DOCUMENT DETAILS**

Printed version:  
PDF

Publication Date:  
08/31/2021

Agencies:  
Federal Railroad Administration

Dates:  
Applications for funding under this solicitation are due no later than 5:00 p.m. ET, November 29, 2021. Applications that are incomplete or received after 5:00 p.m. ET on November 29, 2021 will not be considered for funding. See Section D of this notice for additional information on the application process.

Document Type:  
Notice

Document Citation:  
86 FR 48798

Page:  
48798-48812 (15 pages)

Document Number:

**NOTE:** Application deadline is **5 pm**, ET, Monday, November 29, 2021

# Where do I find “How to Apply” information?

Search grants 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 (11)

**FUNDING INSTRUMENT TYPE:**

- All Funding Instruments

**SORT BY:** Posted Date (Descending) ▾ **Update Sort**

**DATE RANGE:** All Available ▾ **Update Date Range**

Search Tips | Export Detailed Data | **Save Search »**

**1 - 1 OF 1 MATCHING RESULTS:**

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
<b>FR-CRS-21-002</b>	FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements	DOT-FRA	Posted	08/31/2021	11/29/2021

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 are as follows:

- Grant Number:** FR-CRS-21-002
- Title:** FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements
- Agency:** Department of Transportation, DOT - Federal Railroad Administration

The "SYNOPSIS" tab is highlighted in red. Below the tabs, the "General Information" section provides the following details:

<b>Document Type:</b> Grants Notice	<b>Version:</b> Synopsis 1
<b>Funding Opportunity Number:</b> FR-CRS-21-002	<b>Posted Date:</b> Aug 31, 2021
<b>Funding Opportunity Title:</b> FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements	<b>Last Updated Date:</b> Aug 31, 2021
<b>Opportunity Category:</b> Discretionary	<b>Original Closing Date for Applications:</b> Nov 29, 2021 No Explanation
<b>Opportunity Category Explanation:</b>	<b>Current Closing Date for Applications:</b> Nov 29, 2021 No Explanation
<b>Funding Instrument Type:</b> Grant	<b>Archive Date:</b> Dec 29, 2021
<b>Category of Funding Activity:</b> Transportation	<b>Estimated Total Program Funding:</b> \$361,978,796
<b>Category Explanation:</b>	<b>Award Ceiling:</b> \$361,978,796
<b>Expected Number of Awards:</b> 50	<b>Award Floor:</b> \$0

# 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**
- For Grants.gov, complete an **Authorized Organization Representative (AOR) profile** and create a username and password
- Submit an application addressing all requirements outlined in the NOFO

# How do I Apply?

The image shows a computer monitor displaying the Federal Railroad Administration website. The website header includes the U.S. Department of Transportation logo and the text "U.S. Department of Transportation Federal Railroad Administration". The main content area is titled "Competitive Grants Application Process" and includes a sidebar with navigation links like "Grant Administration Overview", "Applying for Grants", "Reporting Requirements", "Payments", "Grant Closeout", "Use of Federal Funds - Improper Payment Audit", and "Additional Resources for Grantees".

Overlaid on the right side of the monitor is a vertical infographic titled "COMPETITIVE GRANTS APPLICATION PROCESS" and "NOTICE OF FUNDING OPPORTUNITY (NOFO) ANNOUNCED". The infographic is divided into four phases with their respective typical time frames:

- PHASE 1 - Typical time frame: UP TO 1 MONTH**
  - STEP 1** Get a Dun&Bradstreet Number (DUNS) via 866-705-5711 or fedgov.duns.com
  - STEP 2** Register with System for Award Management (SAM) via www.sam.gov
  - STEP 3** Register with Grants.gov and create an applicant profile
- PHASE 2 - Typical time frame: 1 MONTH**
  - STEP 4** Complete and submit application in Grants.gov Workspace addressing all NOFO requirements
- PHASE 3 - Typical time frame: 4-6 MONTHS**
  - STEP 5** Verify FRA's receipt of application using Grants.gov tracking number
  - STEP 6** Project selections announced
- PHASE 4 - Typical time frame: 6+12 MONTHS**
  - STEP 7** Grant Pre-Obligation Period: Grantee works with FRA to complete required documentation before funds can be obligated.
  - STEP 8** Grant Funds Obligated: FRA reimburses grantee for eligible expenses.

The infographic also includes a box for "APPLICATION RESOURCES" with links to FRA NOFO, FRA Training and Guidance, Workspace on Grants.gov, and support@grants.gov. A "CLICK TO VIEW FULL INFOGRAPHIC" button is also present.

<https://railroads.dot.gov/grant-administration/applying-grants/competitive-grants-application-process>

# What do I include in my application?

## Required Documents

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

**Note:** Under this NOFO, FRA requires that 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
- SF LLL: Disclosure of Lobbying Activities, if applicable
  - FRA's Assurances and Certifications covers entities that do not perform 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:** This program funds projects that improve the safety, efficiency, and reliability of intercity passenger and freight rail.

**Link to Additional Information:** [FY21-CRS-Consolidated Rail Infrastructure and Safety Improvements](#)

**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](mailto: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



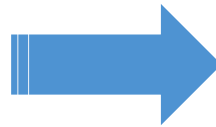
## 4. Announcement

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

# 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 not selected for funding typically demonstrate deficiencies:
  - Project Narrative
  - Statement of Work (SOW)
  - Benefit-Cost Analysis (BCA)



The screenshot displays the Federal Register website interface. At the top, there is a navigation bar with options like 'Sections', 'Browse', 'Search', 'Reader Aids', and 'My FR'. The main header features the 'FEDERAL REGISTER' logo and the text 'The Daily Journal of the United States Government'. Below this, a blue bar contains a 'Notice' icon. The main content area is titled 'Notice of Funding Opportunity for Consolidated Rail Infrastructure and Safety Improvements' and includes a sub-header 'A Notice by the Federal Railroad Administration on 08/31/2021'. The document content is organized into two columns: 'PUBLISHED DOCUMENT' and 'DOCUMENT DETAILS'. The 'PUBLISHED DOCUMENT' column includes sections for '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 Consolidated Rail Infrastructure and Safety Improvements (CRISI) Program, and related Trespass Prevention projects. The opportunities described in this notice are made available under Assistance Listings Number 20.325, "Consolidated Rail Infrastructure and Safety Improvements."), and 'DATES:' (Applications for funding under this solicitation are due no later than 5:00 p.m. ET, November 29, 2021. Applications that are incomplete or received after 5:00 p.m. ET on November 29, 2021 will not be considered for funding. See Section D of). The 'DOCUMENT DETAILS' column includes 'Printed version: PDF', 'Publication Date: 08/31/2021', 'Agencies: Federal Railroad Administration', 'Dates: Applications for funding under this solicitation are due no later than 5:00 p.m. ET, November 29, 2021. Applications that are incomplete or received after 5:00 p.m. ET on November 29, 2021 will not be considered for funding. See Section D of this notice for additional information on the application process.', 'Document Type: Notice', and 'Document Citation: 86 FR 48798'. The page number is listed as 'Page: 48798-48812 (15 pages)'.

# 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

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Include the table as outlined in the NOFO:

- Indicate Project Track
- Indicate if an application for the project has been submitted previously to another Federal grant program – include the program and year
- Rural or non-Rural
- Indicate any specific set-aside for which your project is applying, if applicable

Project Title	
Applicant	
Project Track	1,2,3, and/or 4
Was a Federal grant application previously submitted for this project?	Yes/No
If yes, state the name of the Federal grant program and title of the project in the previous application.	Federal Grant Program: Project Title:
Is this a Rural Project? What percentage of the project cost is based in a Rural Area?	Yes/No Percentage of total project cost:
Is this a project eligible under 49 U.S.C. 22907(c)(2) that supports the development of new intercity passenger rail service routes including alignments for existing routes?	Yes/No
Is this for a Capital Project or engineering solution targeting trespassing?	Yes/No
Is this for a safety program to reduce trespassing through targeted law Enforcement Activities?	Yes/No
Is this for a safety program to implement or expand an Outreach Campaign for reducing railroad trespassing suicide?	Yes/No
City(ies), State(s) where the project is located	
Urbanized Area where the project is located	
Population of Urbanized Area	
Is the project currently programmed in the: State rail plan, State Freight Plan, TIP, STIP, MPO Long Range Transportation Plan, State Long Range Transportation Plan?	Yes/No (If yes, please specify in which plans the project is currently programmed)

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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 section of the application as your elevator pitch for the project to the DOT Secretary and FRA Administrator**

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- ☑ 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

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

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- ☑ 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



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- ☑ 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

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- ☑ Document environmental work, either initiated or completed
- ☑ Planning Readiness for Tracks 2 and 3 (PE/NEPA and FD/Construction Projects: Provide information about the planning process that analyzed the investment needs and service objectives of the project
- ☑ Environmental Readiness for Track 3 FD/Construction Projects: If the NEPA process is complete, an applicant should indicate the date of completion and supporting documentation. If the NEPA process is not yet underway, or underway and not yet complete, indicate where project is in the process and the anticipated date of completion of all NEPA and related milestones.

# Best Practices – Statement of Work

# Best Practices – Statement of Work (SOW)

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/rail-network-development/training-guidance/capital-cost-estimating-guidance>
- 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		
<b>10</b> <b>Guideway &amp; Track Elements</b>	<b>Lineal Miles of Guideway</b>	<b>105</b>	<b>1,520,000</b>	<b>140,000</b>	<b>1,660,000</b>	<b>15,810</b>	<b>69%</b>	<b>52%</b>	<b>1,718,100</b>	
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 – Statement of Work (SOW)

- ☑ 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

## STATEMENT OF WORK

[insert applicant/grantee name]

[insert project name]

[insert NOFA name]

### I. BACKGROUND

*Instructions:* The "Background" section of the SOW is intended to provide a consistent frame of reference to the applicable solicitation and funding source of all grants/cooperative agreements awarded funding by the FRA. This section also provides high-level overview information regarding the project and applicant/grantee. Approximately 3-4 paragraph in length.

### II. OBJECTIVE

*Instructions:* The "Objective" section of the 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.

### III. PROJECT LOCATION

*Instructions:* The "Project Location" section of the SOW is intended to provide information related to the geographic scope of the project, as well as to identify important related intercity corridors or service. The project location should be specific and detailed. Planning projects should note where the project is likely to be deployed.

### IV. DESCRIPTION OF WORK

*Instructions:* The "Description of Work" section breaks the scope of work for the project into discrete and delineable tasks. If the FRA funded-project is part of a larger effort, describe that larger effort, but link tasks specifically to the FRA-funded portion of the project. Be clear regarding the work to be done in each task and be sure tasks can be linked to deliverables and timelines. Use the guidance below to develop this section.

#### **Task 1: Detailed Project Work Plan, Budget, and Schedule**

*Task 1 generally includes the following activities/deliverables: the Grantee will prepare a Detailed Project Work Plan, Budget, and Schedule for the follow-on tasks, which may result in a revised statement of work. The project work plan will describe, in detail, the activities and steps necessary to complete the tasks outlined in the statement of work. The work plan will also include information about the project management approach (including team organization, team decision-making, roles and responsibilities and interaction with FRA), as well as address quality assurance and quality control procedures. In addition, the work plan will include the project schedule (with grantee and agency review durations), a detailed project budget, and an environmental class of action recommendation memorandum (if applicable). If the Grantee*

# Best Practices – Statement of Work (SOW)

- Templates available on FRA’s website:
   
<https://railroads.dot.gov/grants-loans/grant-administration/statements-work>

ATTACHMENT 3

**DELIVERABLES AND APPROVED PROJECT SCHEDULE**

[insert applicant/grantee name]  
[insert project name]

**I. DELIVERABLES AND APPROVED PROJECT SCHEDULE**

*Instructions: The "Project Schedule and Deliverables" section outlines the Project Performance Period for the Agreement and provides a concise table listing all of the deliverables required for the applicable tasks covered under the Agreement and their submission due date to FRA. The Grantee must list every deliverable required for each applicable task, as well as any other deliverables FRA may require. Use the guidance below to develop this section.*

The deliverables associated with this Agreement are listed below. The Grantee must complete these deliverables to FRA's satisfaction to be authorized for funding reimbursement and for the Project to be considered complete.

Unless otherwise approved, requests for extensions of the Project Performance Period must be submitted not later than 90 days before the end of the Project Performance Period, consistent with Section 4(b) of Attachment 1.

**Deliverables**

Task #	Deliverable Name	Due Date
1		Month Day, Year
2		
3		
4		
5		
6		
7		

ATTACHMENT 4

**[APPROVED PROJECT BUDGET]**

[insert applicant/grantee name]  
[insert project name]

**APPROVED PROJECT BUDGET**

*The "Approved Project Budget" section outlines the initial cost estimate for the asset and by funding source. Both methods are required and necessary to assess the "funding source" budget should list all funding sources contributing to the FRA grant subject to this SOW, other FRA or Federal grants, the grantee's and contributions from all other project partners. Use the text and table below to develop this section.*

The estimated cost of the Project is \$[amount], for which the FRA grant will contribute up to [insert %] % of the total Project cost, not to exceed \$[amount]. The Grantee's Non-Federal contribution is comprised of (cash contributions only/cash in the amount of \$XX and in-kind contribution) valued at \$XX. Any additional expense required to complete the Project will be borne by the Grantee.

**Approved Project Budget by Task**

Task Name	Federal (FRA) Contribution	Non-Federal Contribution	Total Cost
	\$	\$	\$
<b>Total</b>	\$	\$	\$

**Approved Project Budget by Source**

Funding Source	Project Contribution Amount	Percentage of Total Project Cost
Federal Contribution (Amount of FRA Grant)	\$	%
Non-Federal Contribution	\$	%

ATTACHMENT 5

**PERFORMANCE MEASUREMENTS**

[insert applicant/grantee name]  
[insert project name]

**PERFORMANCE MEASUREMENTS**

This section contains the performance measures that this Project is expected to achieve. These measures will enable FRA to assess Grantee's progress in achieving strategic goals. The Grantee will report on these performance measures per the frequency and format specified in the table below.

Upon Project Completion, Grantee will submit reports comparing the Actual Project Performance (or improved asset(s)) against the Pre-Project (Baseline) Performance and Expected Performance as described in Table 1 below. Grantee need not include any analysis in the reported data; however, Grantee is welcome to provide information explaining the performance measures report to the Regional Manager in the format specified in Table 1 below.

**Performance Measurement Table**

Description of Measure	Measurement	Reporting
Describe Performance Measure(s)	Pre-Project (Baseline) Performance as of [insert Date]; [insert the performance of the asset prior to the start of the project]	Actual Project Performance After Project Completion: Comparison of actual performance of asset(s) versus the baseline and expected post-project performance. Frequency: Annual
	Expected Post-Project Performance: [insert the expected performance of the asset upon project completion]	Duration: For three years after the Project Performance Period end date.



# Best Practices – Benefit-Cost Analysis

# BCA – Overview of Steps

## Tracks 2 & 3

- Specify your project's base case, alternate case, and timeline
- Show how your project's alternate case will result in specific effects (i.e., project benefits)
- Break down those effects into the smallest sub-elements possible
- Assign values to the effects using USDOT's *BCA Guidance*
- Calculate results and Discount to Base Year

**NOTE:** Tracks 1 & 4 (regional planning, research, safety programs, non-CRISI trespassing projects) must document project benefits. Any subjective estimates of benefits and costs should be quantified whenever possible, and applicants should provide appropriate evidence to support their subjective estimates. At a minimum, qualitatively describe the project benefits. (See Section D of NOFO.)

## 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 application for final design or construction should present a *single* project
  - 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 longer than 30 years
  - Projects with useful life beyond 30 years will have residual value (stations in particular) → Calculate with straight line depreciation

# BCA – Scope of Analysis

- Examine *ONLY* the differences between the base case and alternate case
- 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/weight restrictions before shutting down completely
- Rolling stock will have residual value at the end of its useful life



## BCA – Benefits & Costs

- The *marginal* effects of the alternate case are the project benefits
  - Marginal effects are sometimes undesirable consequences, which should be shown as negative dollar amounts
- The total cost of constructing the project *as well as operating and maintaining (O&M) it for the full timeline* are the project costs
  - O&M costs on new equipment and infrastructure are costs
  - Reductions to existing O&M costs are regarded as project benefits
  - Residual value for remaining useful life is a benefit, NOT subtracted from costs

# BCA – Development

- Break down effects into the smallest possible sub-elements
- Provide documentation for inputs and growth rates

## Example: Replacing a bridge might result in...

- Removal of slow orders, improving travel 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 operations and maintenance costs





## BCA – Modal Diversion

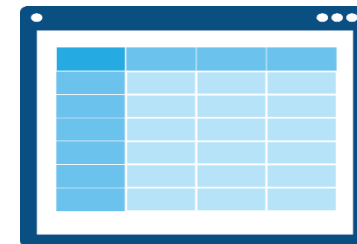
- Modal diversion is a marginal choice; *ONLY* count marginal benefits
- New/induced users value the service less than existing users (follow USDOT'S *BCA Guidance*)
- Avoided rail-to-highway diversion benefits could involve:
  - Increased pavement and bridge damage
  - Increased harmful emissions
  - Increased congestion on highways
  - Decreased safety
- Avoiding passenger revenue losses are transfers, NOT benefits



# BCA – Guidelines Recap

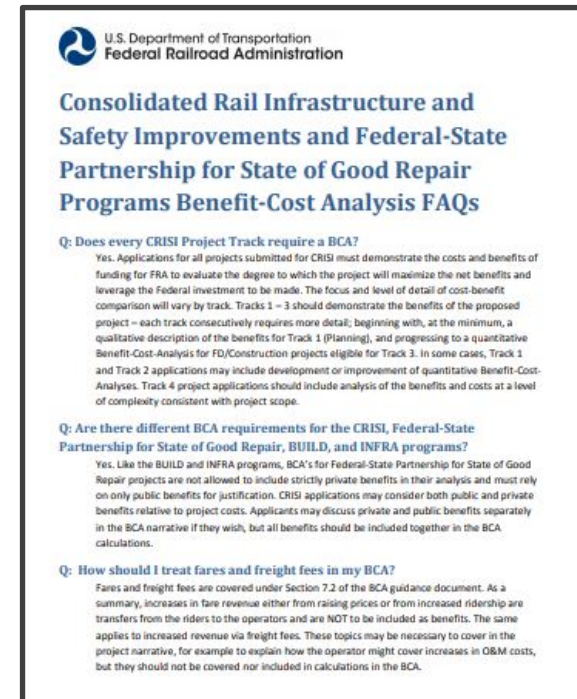
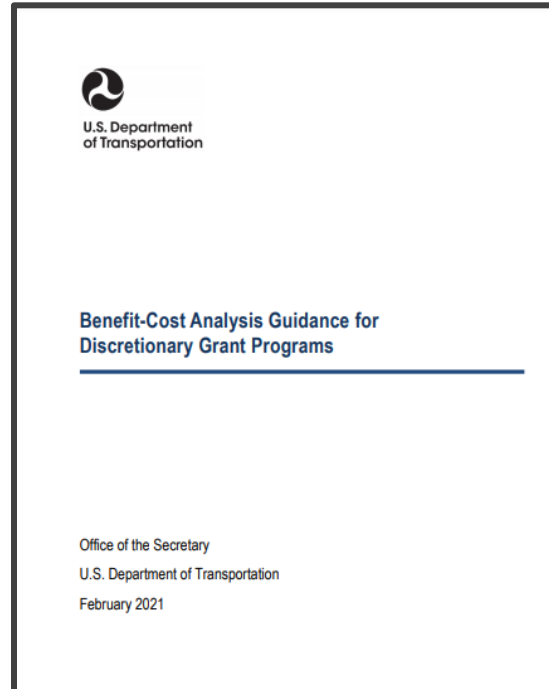
## For FY21 CRISI grant applications:

- ☑ Document your assumptions in as much detail as possible
- ☑ If the project has separable elements, report benefits and costs of each sub-project separately
- ☑ If your BCA includes modal diversion, include YOUR passenger counts and Annual Average Daily Traffic (AADT)
- ☑ ***Must include an unlocked Excel spreadsheet that clearly shows your calculations and discounting***



# BCA – Guidance/Online Resources

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



# Best Practices – Environmental Readiness

# Environmental Readiness – NEPA

The environmental process, most commonly referred to as **NEPA**,\* is required of all FRA-grant funded projects to document and substantiate our agency's decision to implement the project

- Submit with your CRISI grant application an approved NEPA document, if available and applicable from FRA, FTA, or FHWA
- If there is no previous NEPA documentation associated with the project, you are encouraged to consider the following in the grant application to the best of your knowledge:
  - Known project location and/or possible impacts to the human (e.g., historic, protected populations, noise and vibration) or natural (e.g., wetlands, air, species/habitat, floodplains) environment
  - Anticipated permitting needs (e.g., construction, Clean Water Act Section 404) or coordination/consultation (e.g., State Historic Preservation Officer)

# Environmental Readiness – NEPA

- Rely on FRA’s experience and expertise to determine the type of NEPA and level of documentation and coordination appropriate for your project — **contact our experts!**

Email: [FRAenvironment@dot.gov](mailto:FRAenvironment@dot.gov)

## Helpful Information Available on FRA’s Website

- FRA & NEPA Documentation: <https://railroads.dot.gov/rail-network-development/environment/fra-nepa-documentation>
- FRA Recommended Trainings & Environmental Resources: <https://railroads.dot.gov/rail-network-development/environment/fra-recommended-trainings-environmental-resources>

*This web page provides links to recorded webinars, trainings, and other resources that will be of assistance in preparing NEPA documents for rail projects*



# Recap & Reminders



# Recap & Reminders

- Always read the NOFO carefully
- Determine what a "successful" project will look like
- Use the checklist with the application requirements in the NOFO as you complete your application
- Address all of the evaluation and selection criteria on which you will be rated
  - By clearly and directly responding to the criteria, your application will be easier to read and evaluate
  - Don't bury key points!



# Recap & Reminders

- Verify that all budget figures match corresponding figures cited in different parts of your application package – such as the cover sheet, SOW, Project Narrative, and various forms
  - 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

1	5/4/2020	\$5,000.00	\$425.75	\$100.00	\$525.75	\$509.08	\$16.67	\$4,490.92
2	6/4/2020	\$4,490.92	\$425.75	\$100.00	\$525.75	\$510.78	\$14.97	\$3,980.14
3	7/4/2020	\$3,980.14	\$425.75	\$100.00	\$525.75	\$512.48	\$13.27	\$3,467.65
4	8/4/2020	\$3,467.65	\$425.75	\$100.00	\$525.75	\$514.19	\$11.56	\$2,953.46
5	9/4/2020	\$2,953.46	\$425.75	\$100.00	\$525.75	\$515.90	\$9.84	\$2,437.56
6	10/4/2020	\$2,437.56	\$425.75	\$100.00	\$525.75	\$517.62	\$8.13	\$1,919.94
7	11/4/2020	\$1,919.94	\$425.75	\$100.00	\$525.75	\$519.35	\$6.40	\$1,400.59
8	12/4/2020	\$1,400.59	\$425.75	\$100.00	\$525.75	\$521.08	\$4.67	\$879.50
9	1/4/2021	\$879.50	\$425.75	\$100.00	\$525.75	\$522.82	\$2.93	\$356.65

# Grant Lifecycle and Approximate Time Frames



# Contact Us

Federal Railroad Administration  
1200 New Jersey Avenue, SE  
Washington, DC 20590



Connect with us USDOTFRA



U.S. Department of Transportation  
Federal Railroad Administration

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*To learn more about FRA Competitive Discretionary  
Grant Programs, visit:*

*<https://www.fra.dot.gov/grants>*