



# RAIL

*MOVING AMERICA FORWARD*

## FY 2022-2023 Federal-State Partnership for Intercity Passenger Rail Grant Program for Projects located on the Northeast Corridor (FSP-NEC) NOFO Webinar

**Presented by:**

Bryan Rodda • Sergio Coronado • Laura Shick



U.S. Department of Transportation  
Federal Railroad Administration

January 12, 2023

# FRA Presenters



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Lead Community  
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# Agenda

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



# Fed-State Partnership Program Overview— NEC

# Program Purpose & Funding Overview

## Purpose

- The Federal-State Partnership for Intercity Passenger Rail Grant Program (FSP) funds capital projects consistent with the Northeast Corridor Project Inventory (NEC Project Inventory). This Notice solicits applications for the Major Backlog, Capital Renewal, Improvement, and Stations projects and Planning Studies from that inventory.

## Notice of Funding Opportunity (NOFO)

- Published in the Federal Register on December 27, 2022
  - **\$8.979 billion available** in FY 2022 and FY 2023 supplemental advance and annual appropriations
  - Applications due by **5 pm ET on March 27, 2023**
- Concurrent applications and resubmissions are allowed
  - Indicate other program(s) you may have applied to (e.g., CRISI, RAISE)

# Program Changes Under the Bipartisan Infrastructure Law (BIL)

Federal-State Partnership Program Changes	
Modified Selection Criteria for Projects on the NEC	<ul style="list-style-type: none"><li>• The IIJA provided distinct FSP program selection criteria for projects located on the Northeast Corridor (NEC) and for projects not located on the NEC.</li><li>• For projects located on the NEC, the law requires projects to be selected for FSP program funds <b>consistent with the Northeast Corridor Project Inventory (NEC Project Inventory)</b>.</li><li>• FRA published the NEC Project Inventory on November 15, 2022; the NEC Project Inventory can be found on FRA's website - <a href="#">NEC Inventory</a>.</li></ul>
Phased Funding Agreements	<ul style="list-style-type: none"><li>• New tool available allowing the Secretary to enter into a <b>multi-year funding agreement</b> for a project under certain circumstances</li></ul>
National / NEC Funding Splits	<ul style="list-style-type: none"><li>• <b>Supplemental Advance Appropriations:</b> Up to \$24 billion for projects located on the NEC (<i>across fiscal years 2022-2026</i>)</li><li>• <b>Annual Appropriations:</b> 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</li></ul>

# NEC Project Inventory Features

-  U.S. Department of Transportation  
Federal Railroad Administration
- ## 2022 Northeast Corridor Project Inventory
- I. **Northeast Corridor Project Inventory**
- [Table 1. Northeast Corridor Project Inventory Summary](#)
- [Table 2. Northeast Corridor Project Inventory](#)
- [Table 3. Northeast Corridor Planning Studies](#)

ory; please also  
provides an overview  
of Railroad  
its FRA's method  
  
and shows rows  
ing information:



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

# 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

***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, 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**
- A **group of related projects** described above
- The **planning, environmental studies, and final design** for a project or group of projects described above **New in BIL**

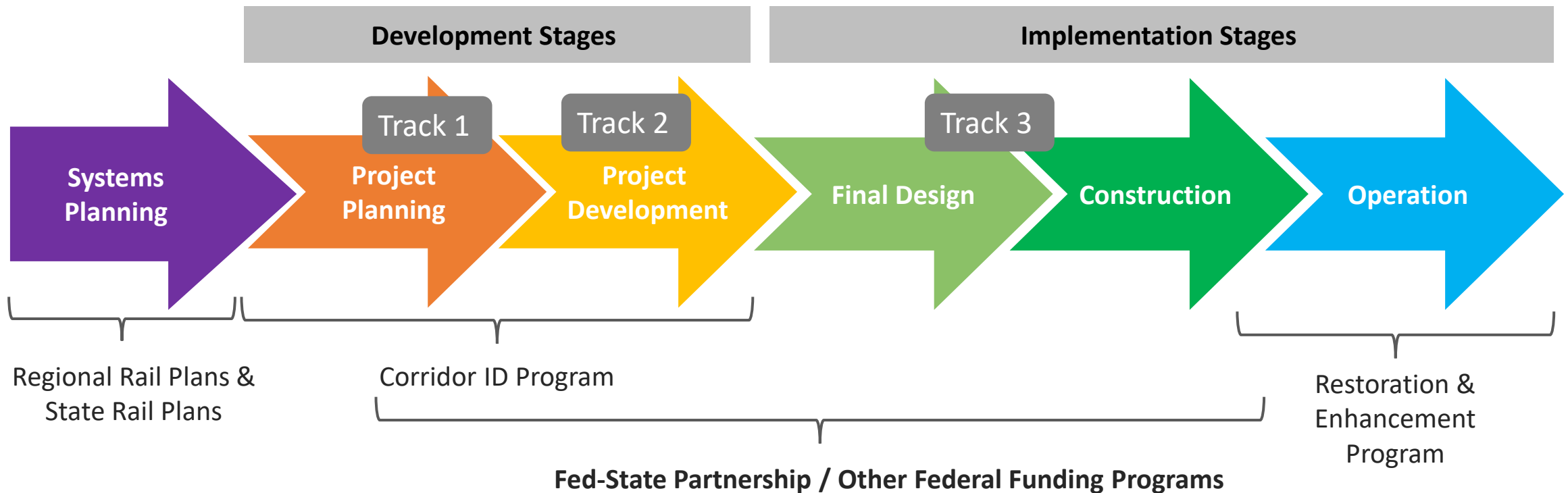
**Capital Project:** *Acquiring, constructing, improving, or inspecting rail equipment, track and track structures, or a rail facility...including acquiring rights-of-way.*

**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 Planning, Project Development, Final Design, Construction, and Operation



# Key Program Definitions

## Commuter Rail Passenger Transportation (Commuter Rail)

- **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

# Program Eligibility

## 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

*FRA will generally fund **Planning and Major Backlog projects** applying under this notice **up to 80 percent Federal share**.*

*FRA will generally fund **Capital Renewal, Stations and Improvement projects** applying under this notice **between 50 and 80 percent Federal share**.*



# Program Evaluation & Selection Criteria

## Evaluation Criteria

### Technical Merit:

- Quality of statement of work and application materials;
- Demonstrates an efficient project delivery approach and commitment of necessary resources and workforce to deliver the project on time and on budget, and methods for handling track outages;
- Completion of all prerequisites necessary to begin the Lifecycle Stage(s) proposed for funding;
- Status of environmental and permitting approvals;
- Applicant legal, financing and technical capacity and financial resources.

New in BIL

## Selection Criteria

- ***Make selections consistent with the NEC Project Inventory***
- *For shared benefit projects:*
  - *Project location is in compliance with the NEC Commuter and Intercity Rail Cost Allocation Policy*
  - *Funding shares are identified for IPR, commuter rail, and the local share (for the Lifecycle Stage(s) that are seeking funding)*
- ***FRA will consider geographic diversity, the award of other competitive Federal funds for the project, and the Key Departmental Objectives***

New in BIL

# Program Evaluation & Selection Criteria

## 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***

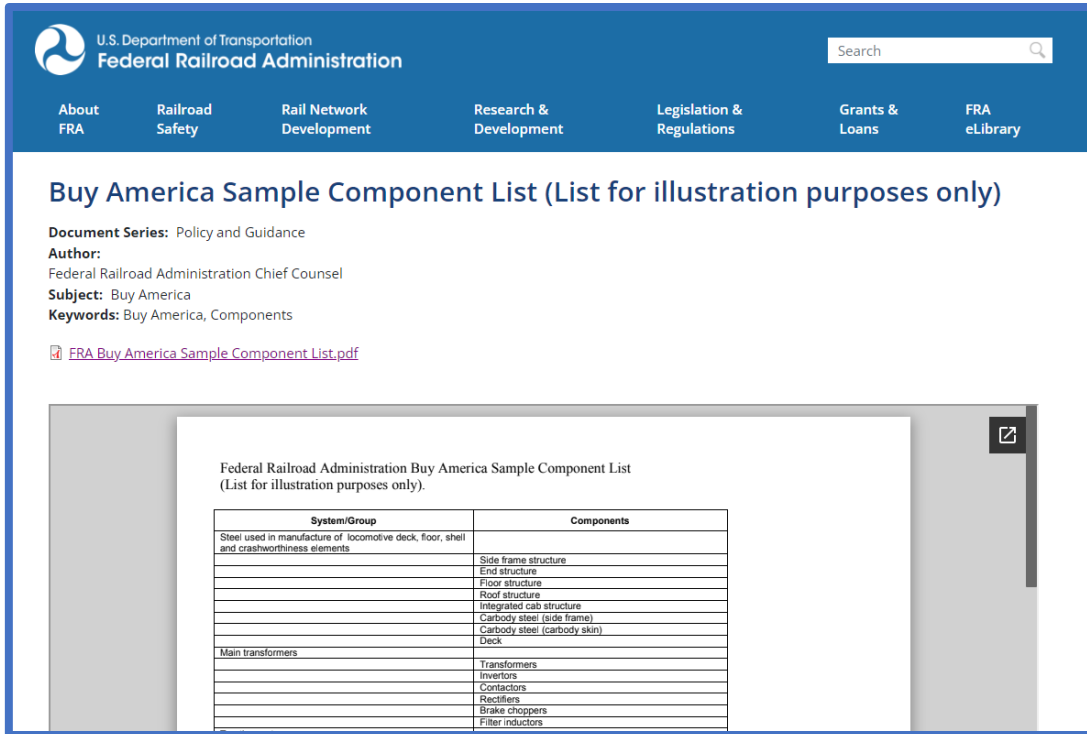
Includes a plan to incorporate small businesses as part of project completion and take account of a community engagement efforts designed to reach impacted communities and how community feedback is considered in decision making.

### ***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**



The screenshot shows the FRA website's 'Buy America Sample Component List' page. The page header includes the U.S. Department of Transportation Federal Railroad Administration logo and navigation links: About FRA, Railroad Safety, Rail Network Development, Research & Development, Legislation & Regulations, Grants & Loans, and FRA eLibrary. A search bar is also present. The main content area is titled 'Buy America Sample Component List (List for illustration purposes only)'. It includes metadata: Document Series: Policy and Guidance, Author: Federal Railroad Administration Chief Counsel, Subject: Buy America, and Keywords: Buy America, Components. A link to the PDF is provided. The PDF preview shows a table with two columns: 'System/Group' and 'Components'.

System/Group	Components
Steel used in manufacture of locomotive deck, floor, shell and crashworthiness elements	Side frame structure
	End structure
	Floor structure
	Roof structure
	Integrated cab structure
	Carbody steel (side frame)
	Carbody steel (carbody skin)
	Deck
Main transformers	Transformers
	Inverters
	Converters
	Rectifiers
	Brake choppers
	Filter inductors

<https://railroads.dot.gov/legislation-regulations/buy-america/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

# FRA Buy America – Domestic Sourcing Plan

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** 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 (IPR) 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 railroad or transit agencies when those agencies have demonstrated their projects have reasonable IPR 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
  - Federal Award Information
  - **Eligibility Information**
  - **Application and Submission Information**
  - **Application Review Information**
  - Federal Award Administration Information
  - Federal Awarding Agency Contacts
  - Other Information



# 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>

Competitive Discretionary Grant Programs

Accepting Applications

Legacy and Inactive Grant Programs

Related Links

- [Bipartisan Infrastructure Law Information from FRA](#)
- [Grants & Loans Training/Guidance](#)
- [Equivalent Labor Protections](#)
- [NEC Project Inventory](#)
- [NEC Project Inventory Interactive Tool](#)

### Federal-State Partnership for Intercity Passenger Rail Grant Program

**Overview:** This program provides funding for capital projects that reduce the state of good repair backlog, improve performance, or expand or establish new intercity passenger rail service, including privately operated intercity passenger rail service, if an eligible applicant is involved.

**For projects not located on the Northeast Corridor (FSP-National):**

- **Funding Available for Award:** \$2,283,150,000
- [FY 2022 Federal-State Partnership for Intercity Passenger Rail \(FSP-National\) Notice of Funding Opportunity \(NOFO\)](#)
- Applications are due no later than 5:00 p.m. ET, March 7, 2023
- To view presentation materials from the December 15, 2022, FY2022 Federal-State Partnership for Intercity Passenger Rail Grant Program (FSP-National) Notice of Funding Opportunity (NOFO) Webinar, visit [FRA's Webinars webpage](#).

**For projects located on the Northeast Corridor (FSP-NEC):**

- **Funding Available for Award:** \$8,979,150,000
- [FY 2022-2023 Federal-State Partnership for Intercity Passenger Rail \(FSP-NEC\) Notice of Funding Opportunity](#)
- Applications are due no later than 5:00 p.m. ET, March 27, 2023
- Register for the January 12, 2023, [FY2022-2023 FSP-NEC NOFO Webinar](#)

**\*COMING SOON\*** Other Federal-State Partnership Program resources:

Click the link to access the NOFO

# Where is the FY22 Partnership Program NOFO?

## NOFO in the Federal Register

- <https://www.federalregister.gov/documents/2022/12/27/2022-28034/notice-of-funding-opportunity-for-projects-located-on-the-northeast-corridor-for-the-federal-state>

## Notice of Funding Opportunity for Projects Located on the Northeast Corridor for the Federal-State Partnership for Intercity Passenger Rail Program

A Notice by the Federal Railroad Administration on 12/27/2022

**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 projects located on the Northeast Corridor (NEC) under the Federal-State Partnership for Intercity Passenger Rail Program (FSP Program) for Fiscal Year 2022 and 2023. This notice solicits applications for FSP Program funds made available by the Consolidated Appropriations Act, 2022, and Division J of the Infrastructure Investment and Jobs Act (IIJA). The opportunity described in this notice is made available under Assistance Listings Number 20.326, "Federal-State Partnership for Intercity Passenger Rail."

**DATES:**  
Applications for funding under this solicitation are due no later than 5 p.m. ET, March 27, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 27, 2023 will not be considered for funding. See Section D of this notice for additional information on the application process.

**ADDRESSES:**

**DOCUMENT DETAILS**  
Printed version:  
PDF  
Publication Date:  
12/27/2022  
Agencies:  
Federal Railroad Administration  
Dates:  
Applications for funding under this solicitation are due no later than 5 p.m. ET, March 27, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 27, 2023 will not be considered for funding. See Section D of this notice for additional information on the application process.  
Document Type:  
Notice  
Document Citation:  
87 FR 79421  
Page:  
79421-79438 (18 pages)  
Document Number:  
2022-28034

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

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

GRANTS.GOV<sup>SM</sup>  
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 (2)

[Search Tips](#) | [Export Detailed Data](#) | **Save Search »**

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

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

**1 - 2 OF 2 MATCHING RESULTS:**

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
<b>FR-FSP-23-002</b>	FY22-23 Federal-State Partnership for Intercity Passenger Rail Grant Program for projects located on the Northeast Corridor	DOT-FRA	Posted	01/03/2023	03/27/2023

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

# What is the Synopsis?

Summary information about the grant opportunity in 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

## VIEW GRANT OPPORTUNITY

« Back | Link

**FR-FSP-23-002**  
FY22-23 Federal-State Partnership for Intercity Passenger Rail Grant Program for projects located on the Northeast Corridor  
Department of Transportation  
DOT - Federal Railroad Administration

**Apply** **Subscribe**

**SYNOPSIS** VERSION HISTORY RELATED DOCUMENTS PACKAGE

[Print Synopsis Details](#) ?

### General Information

Document Type:	Grants Notice	Version:	Synopsis 1
Funding Opportunity Number:	FR-FSP-23-002	Posted Date:	Jan 03, 2023
Funding Opportunity Title:	FY22-23 Federal-State Partnership for Intercity Passenger Rail Grant Program for projects located on the Northeast Corridor	Last Updated Date:	Jan 03, 2023
Opportunity Category:	Discretionary	Original Closing Date for Applications:	Mar 27, 2023 Applications for funding under this solicitation are due no later than 5 p.m. ET, March 27, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 27, 2023 will not be considered for funding.
Opportunity Category Explanation:		Current Closing Date for Applications:	Mar 27, 2023 Applications for funding under this solicitation are due no later than 5 p.m. ET, March 27, 2023. Applications that are incomplete or received after 5 p.m. ET, on March 27, 2023 will not be considered for funding.
Funding Instrument Type:	Grant	Archive Date:	Apr 26, 2023
Category of Funding Activity:	Transportation	Estimated Total Program Funding:	\$8,979,150,000
Category Explanation:		Award Ceiling:	\$8,979,150,000
Expected Number of Awards:	20	Award Floor:	\$0
CFDA Number(s):	20.326 -- Federal-State Partnership for Intercity Passenger Rail		
Cost Sharing or Matching Requirement:	Yes		



# 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*
- 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*
- Financial Plan or Funding Plan
- Funding Commitment Supporting Documentation

# 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 on the Northeast Corridor that reduce the state of good repair backlog, improve performance, or expand or establish new intercity passenger rail service.

**Link to Additional Information:** [FY22-23 Federal-State Partnership for Intercity Passenger Rail Grant Program for projects 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](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 7 to 9 months following application due date

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)
  - Environmental Readiness

[illegible]

# Best Practices— Project Narrative

# Best Practices – Project Narrative

## 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, if applicable
- IX. Statutory Criteria
- X. Evaluation and Selection Criteria

- ✓ 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

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X. Evaluation and Selection Criteria

- ☑ Lead Applicant Name/Project Sponsor
- ☑ Amount Requested
- ☑ Proposed Match
- ☑ Total Project Cost
- ☑ LOI/PFA Requested
- ☑ And more as outlined in the NOFO

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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
- ☑ 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
- ☑ The Capital Cost Estimate must be based on the best available information as indicated in cited references that include engineering studies, economic feasibility studies, environmental analyses, and information on the expected use of equipment or facilities



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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
- ☑ Demonstrate how the proposed project is consistent with the NEC Planning Documents

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- ✓ 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

# Best Practices – Project Narrative

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

# Best Practices – Project Narrative

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- ✓ Include a statement that demonstrates how the project is consistent with the most recently published NEC Project Inventory
- ✓ For projects with CR and IPR benefits:
  - ✓ Include a statement that Amtrak and commuter rail passenger authorities at the eligible project location are in compliance with the NEC Cost Allocation Policy (section 24905(c)(2))
  - ✓ Identify funding for the intercity passenger rail share, the commuter rail share and the local share of the project before commencement of the project.

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- VIII. Grade Crossing Information, if applicable
- IX. Statutory Criteria
- X. Evaluation and Selection Criteria**

- ✓ Project Implementation
  - ✓ Assessment of Project Risks and Mitigation Strategies
  - ✓ Project Management Plan
- ✓ Project Readiness
  - ✓ Lifecycle Stage
  - ✓ Status of Environmental Review
  - ✓ Financial Readiness
  - ✓ Legal, Financial and Technical Capacity
- ✓ DOT Strategic Goals
  - ✓ Safety, Economic Strength and Global Competitiveness, Equity, Climate Change and Sustainability, Transformation

# 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)
- Performance Measures (Attachment 5)

U.S. Department of Transportation  
Federal Railroad Administration

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Additional Resources for Grantees

## 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 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
- ✓ 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.

## 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
--------	------------------	----------

## ATTACHMENT 4

### APPROVED PROJECT BUDGET

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

#### I. APPROVED PROJECT BUDGET

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

The total estimated cost of the Project is \$[amount], for which the FRA grant will contribute up to [percent amount] % 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 [insert description of in-kind contribution] valued at \$XX]. Any additional expense required beyond that provided in this Agreement to complete the Project will be borne by the Grantee.

#### Project Budget by Task

Task #	Task Name	Federal (FRA) Contribution	Non-Federal Contribution	Total Cost
1		\$	\$	\$

## ATTACHMENT 5

### PERFORMANCE MEASUREMENTS

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

#### I. PERFORMANCE MEASUREMENTS

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

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

Table 1: Performance Measurement Table

Performance Measure	Description of Measure	Measurement	Reporting
		Pre-Project (Baseline) Performance as of [Insert Date]: [Insert the performance of	Actual Project Performance After Project Completion: Comparison of actual

# 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:
  - <https://railroads.dot.gov/rail-network-development/training-guidance/capital-cost-estimating-guidance>
- 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				

# Best Practices— Environmental Readiness

# Environmental Readiness

*Environmental review is required for all FRA grant-funded projects*

Requirements include:

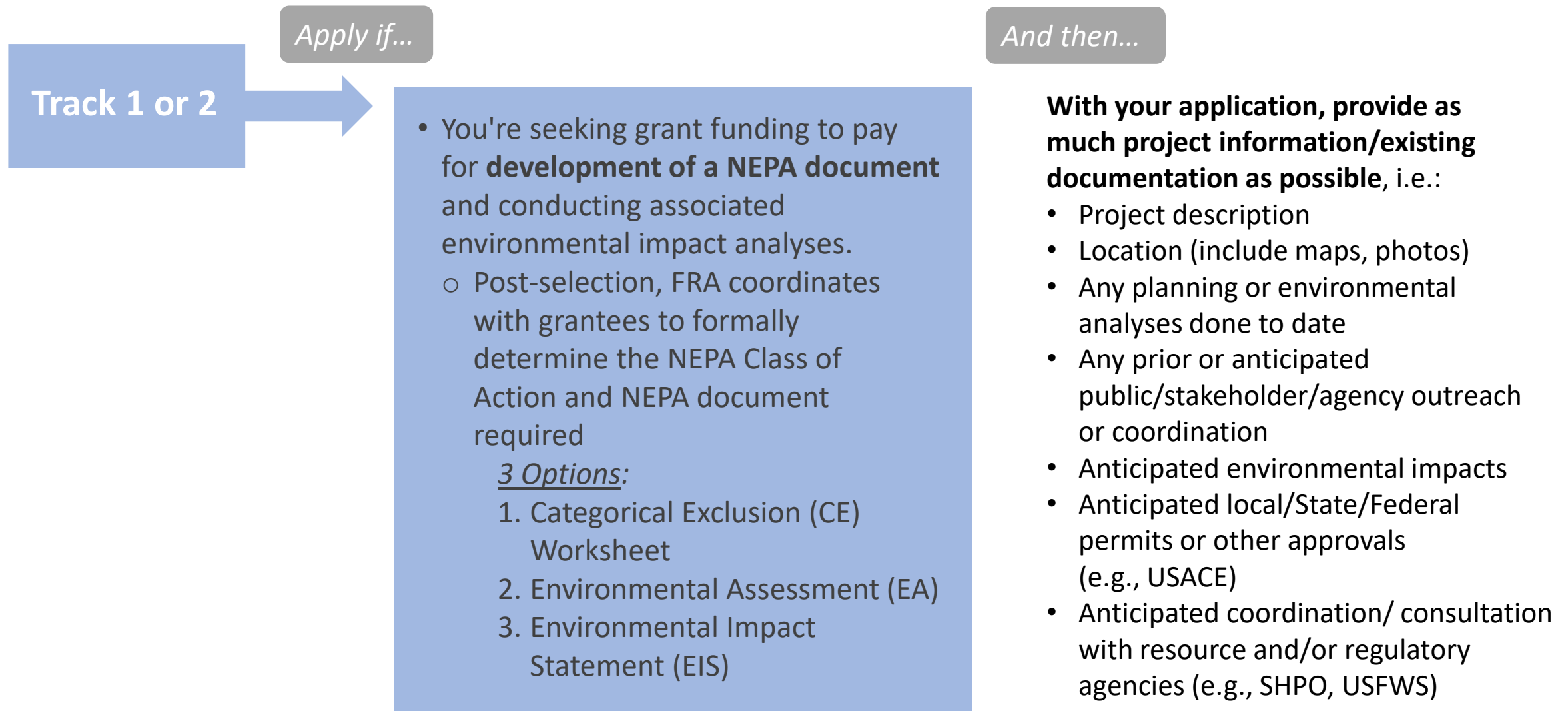
- National Environmental Policy Act (NEPA)
- National Historic Preservation Act (NHPA) Section 106
- Section 4(f) of the USDOT Act
- Endangered Species Act (ESA) Section 7
- Environmental Justice
- Wetlands and navigable waterways
- Others, as applicable

# Environmental Readiness – Fundamentals

## 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-NEC 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



# Environmental Readiness – Track 1 or 2

Track 1 or 2



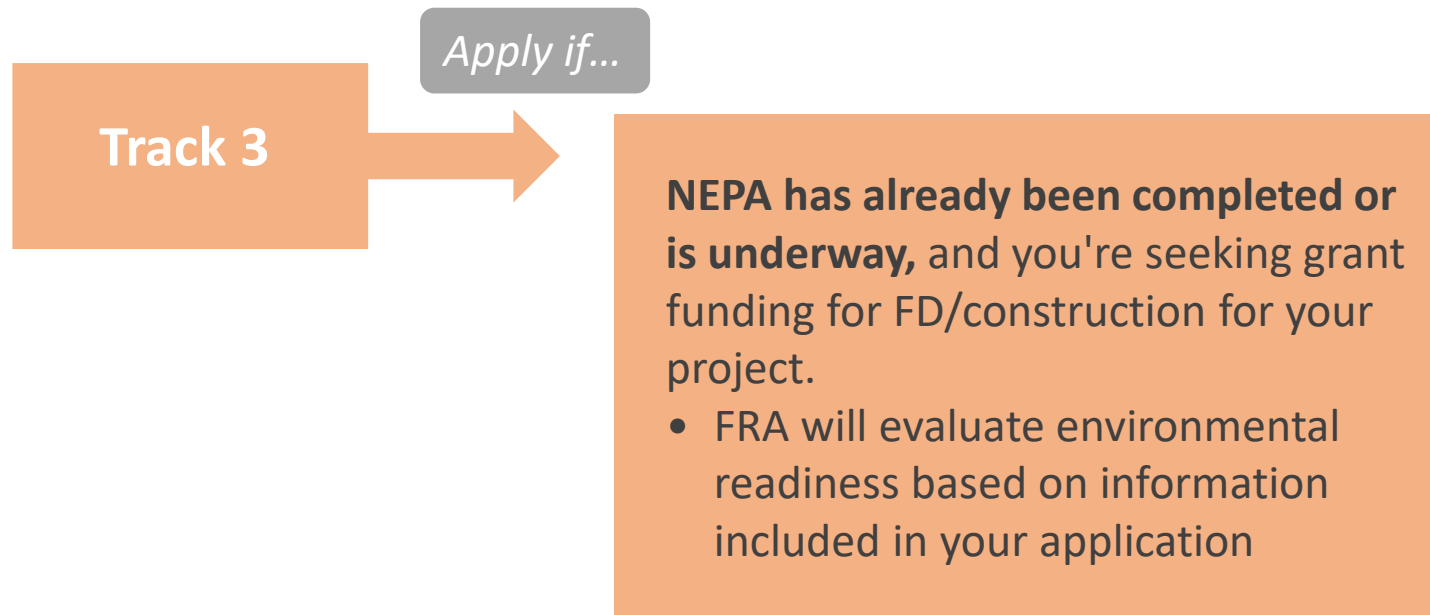
## Also consider providing:

- A draft [Categorical Exclusion \(CE\) worksheet](#) with your grant application, *OR*
- Identify the anticipated CE category(-ies) that the project may fall under (*see FRA's CEs: [23 CFR 771.116](#)*)
- 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 [FRAenvironment@dot.gov](mailto:FRAenvironment@dot.gov)*



# Environmental Readiness – Track 3



*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)
  - 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 re-evaluation or supplemental environmental analyses are necessary

## 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-legislation-regulations>

- 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  
<https://ceq.doe.gov>
- A Citizen's Guide to the NEPA  
[https://ceq.doe.gov/docs/get-involved/Citizens\\_Guide\\_Dec07.pdf](https://ceq.doe.gov/docs/get-involved/Citizens_Guide_Dec07.pdf)
- AASHTO Center for Environmental Excellence Practitioner's Handbook  
<https://environment.transportation.org/resources/practitioners-handbooks/>

# 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

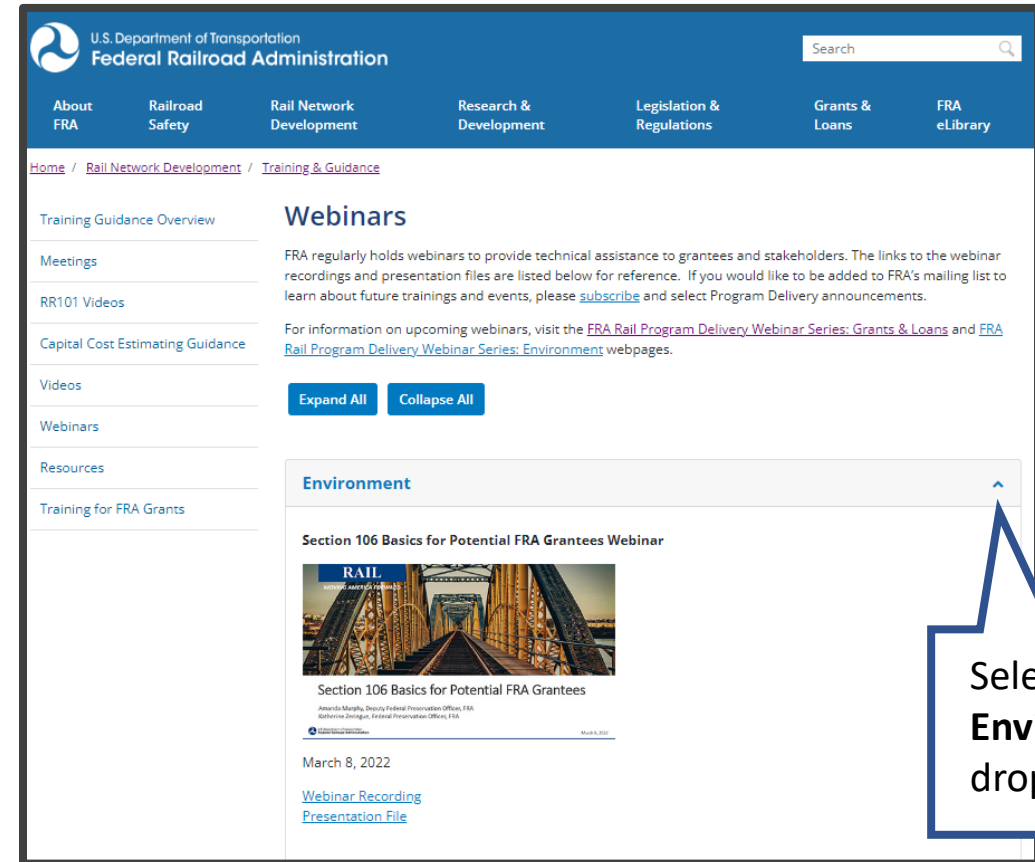
<https://www.achp.gov/section-106-and-Infrastructure-Projects>

- Section 106 Program Comment for Rail ROW

<https://railroads.dot.gov/rail-network-development/environment/final-section-106-program-comment-rail-rights-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](https://www.fra.dot.gov/Training%20&%20Guidance%20|%20Webinars%20|%20dot.gov)



The screenshot shows the U.S. Department of Transportation Federal Railroad Administration website. The navigation bar includes links for About FRA, Railroad Safety, Rail Network Development, Research & Development, Legislation & Regulations, Grants & Loans, and FRA eLibrary. The breadcrumb trail indicates the current location: Home / Rail Network Development / Training & Guidance. The left sidebar lists various training resources: Training Guidance Overview, Meetings, RR101 Videos, Capital Cost Estimating Guidance, Videos, Webinars, Resources, and Training for FRA Grants. The main content area is titled 'Webinars' and contains introductory text about FRA's webinar program, a link to subscribe, and information on upcoming webinars. A button labeled 'Expand All' is visible. Below this, a drop-down menu is open, showing the 'Environment' category selected. Under 'Environment', the 'Section 106 Basics for Potential FRA Grantees Webinar' is listed, featuring a thumbnail image of a bridge, the title, presenter information (Amanda Murphy, Deputy Federal Preservation Officer, FRA), the date (March 8, 2022), and links for 'Webinar Recording' and 'Presentation File'.

Select the Environment drop-down

# 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
  - Make your application easy to read and evaluate
  - Don't bury key points!



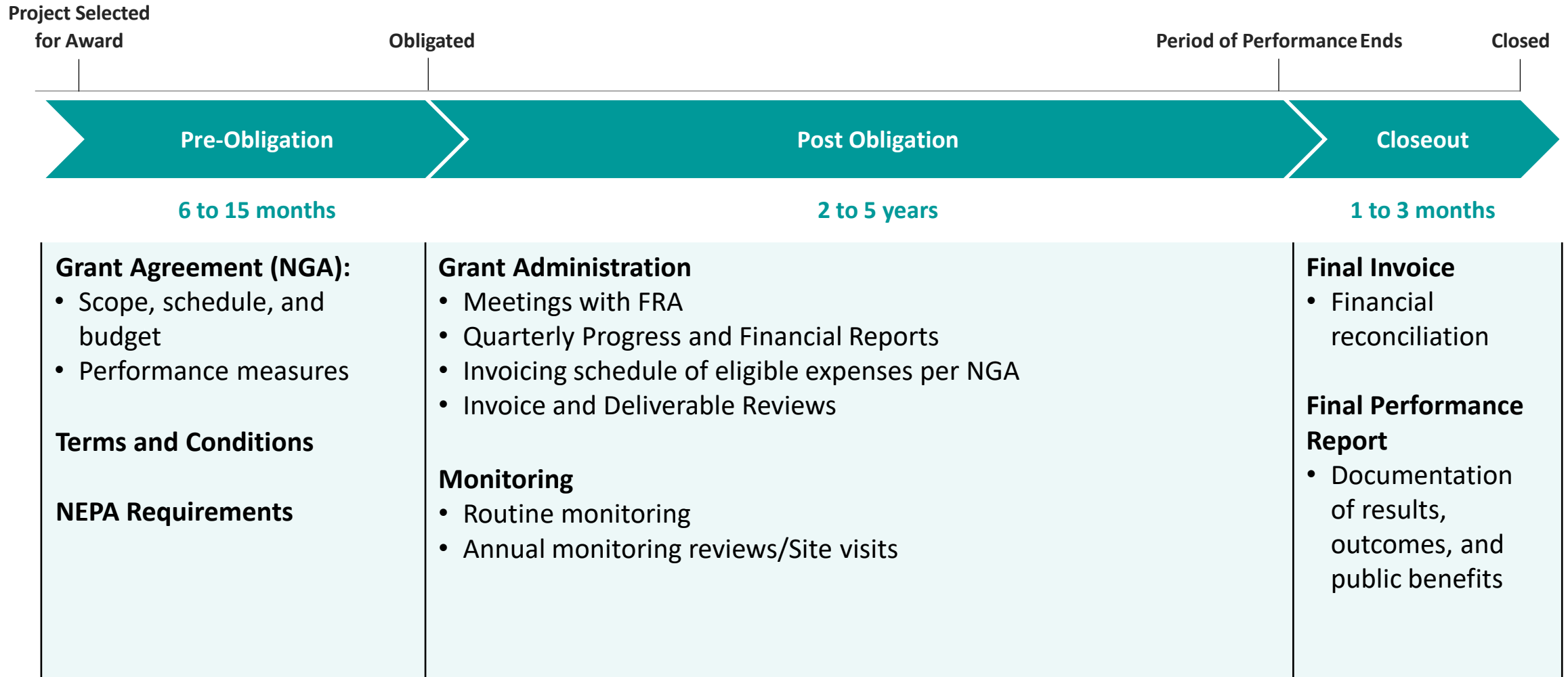
*Submit your application **on time!** Late applications **will not be reviewed.***



## Recap & Reminders

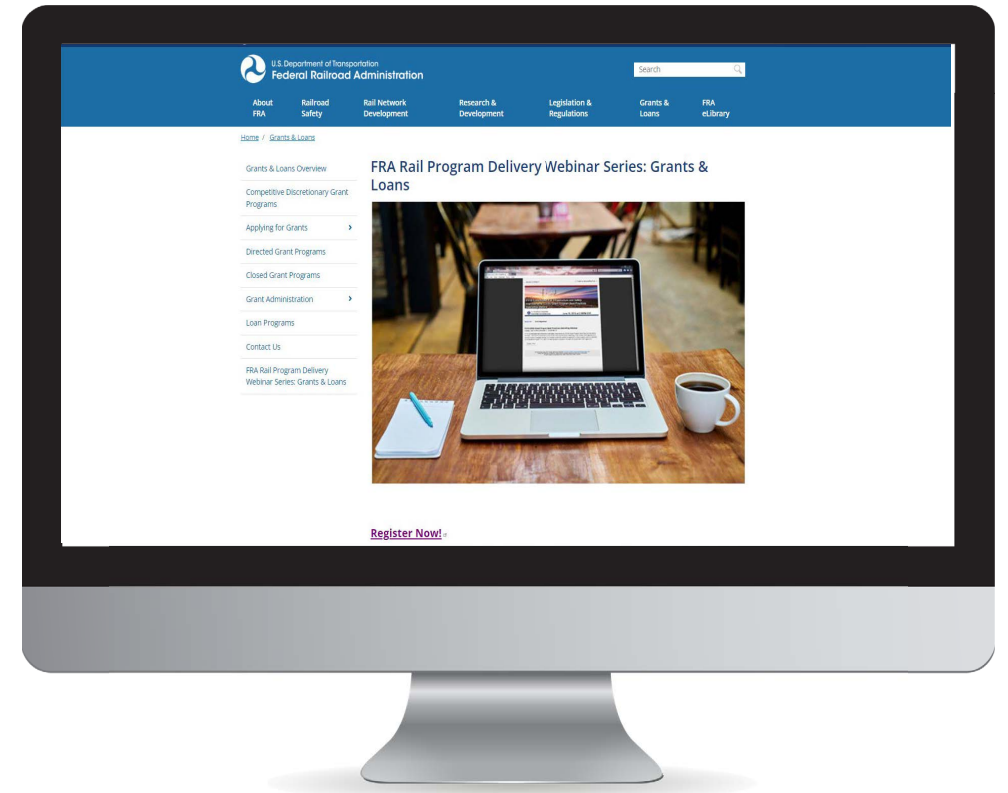
- **Verify funding and budget amounts** for consistency!
  - **Ensure amounts match** in different parts of your application package (e.g., cover sheet, SOW, Project Narrative, SF-424)
  - Numbers in columns and rows should add up properly in budget tables
  - Only include project costs that are expected 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/January 19:** Eligibility, Host Infrastructure Agreements and Relationship with Corridor ID
  - **Session #2/January 26:** Major Capital Projects
  - **Session #3/February 7:** Project Narrative and Statements of Work
- Registration information will be available soon on [FRA's Grants & Loans webinar landing page](#)



A dark blue background featuring silhouettes of approximately ten people sitting around a long table in a meeting room. The room has large windows in the background, and the overall atmosphere is professional and collaborative.

# QUESTIONS?

# 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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**FRA Competitive Discretionary Grant Programs**  
**Webpage** <https://www.fra.dot.gov/grants>