



How to Compete for a TIGER Grant

Lessons for Rural and Tribal Communities

August 24, 2011

Coos Bay, OR



Milton, KY & Madison, IN



Navajo Nation, NM

Cates Landing, TN

TIGER₃

- \$527 million national, multimodal, merit-based grant program
- ***\$140 million for rural areas***
- Up to \$150 million for TIFIA payments
- Last round the average award was \$13.25 million
- Geographic diversity requirement



2011 Application Process

September 9th - Pre-Application Registration

October 3rd - Pre-Applications Due

October 4th - Final Applications Open

October 31st - Final Applications Due



Changes from TIGER 2

- No Planning Funds this round
- 3 Application Limit (per sponsor)
- TIFIA Letter of Interest



Eligibility

- Surface transportation capital projects only
- Open to state, tribal, and local entities, and other subdivisions
- Private entities, including non-profits, must partner with a public lead
- **Eligible ≠ Competitive**



Rural Applicants

- Defined as any area not in an Urbanized Area (pop. 50,000), as defined by the Census Bureau
- \$1 million minimum grant
- No match requirement, though competitive applications often feature a match





Address Criteria and Outcomes

- Application outline in the NOFA
- Detail how federal funds will be used to address the selection criteria

Primary Criteria

- State of Good Repair
- Economic Competitiveness
- Livability
- Environmental Sustainability
- Safety
- Job Creation/Near-Term Economic

Secondary Criteria

- Innovation
- Partnership



Competitive Applications

- Clarity: Clear and concise project descriptions
 - Use pictures and maps
- Leveraging: non-federal match, including private
 - All TIGER 3:1 (Rural Applicants 1:1)
- Independent Utility
 - operable segment w/ transportation benefits
- Project Readiness: ready to begin construction quickly. NEPA process begun.



Competitive Applications

- Benefit-Cost Analysis:
 - Demonstrate demand for project
 - Well-documented calculations and references
 - Show project **Net Societal Benefits**, not just local.
- Innovative:
 - Multi-modal, multi-jurisdictional
 - Difficult to fund through formula funds





Application Pitfalls

- Ineligibility: Applicants or Projects
- Priorities/outcomes not aligned with selection criteria
- Project readiness
- Insufficient matching funds
- Non-construction requests
 - Operating & Maintenance assistance
 - Right of Way acquisition
 - Demonstration projects
- Grouping unrelated projects



Case Study: Milton-Madison Bridge

Project Description

- Multi-State, Multi-Jurisdictional Bridge Project
- \$20 M TIGER, Last piece of \$120 M project

- Livability (Existing Communities, Links, Choices)
- Economic Competitiveness
- Significant leverage
- Helps COMPLETE a project



Case Study:

US 491 Safety Improvements

Project Description

- Separate traffic, incorporate turning lanes
- Commercial corridor in economically distressed area

- Exceptional Safety Benefits
- Segmented/Phased project
- Economic benefits





Case Study:

Coos Bay Rail Rehabilitation

Project Description

- Rehabilitate 133 mile rail link (closed 2007)
- Reconnect Coos Bay (OR) with shippers

- Supports Regional and National Economies
- Improve speed/efficiency of freight in region
- Re-establishes transportation links & choice

Technical Assistance

- USDOT offers technical assistance to help applicants through the TIGER process
- Preparation of benefit cost analysis
- Previous TIGER application debriefs
- Special Topics Webinars



Additional Application Help

TIGER Website: www.dot.gov/tiger/

Archived Special Topics Webinars

- July 27th - [“Talking Freight”](#)
- August 17th - [Benefit Cost Analysis](#)
- August 22nd - [Project Readiness/NEPA](#)
- August 24th - [Public Private Partnerships & TIFIA](#)

Upcoming Special Topics Webinars

- August 30th - [MARAD Port Outreach](#)



For This Year's Round...

- Focus on best project(s) – those that align well with the program's selection criteria
- Develop an application that your neighbor could read and understand
- Questions sent to TIGERGrants@dot.gov

TIGER



U.S. Department
of Transportation



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FTA 2011 Discretionary Grant Program Opportunities and Application Process

August 24, 2011



Federal Transit Administration



Webinar Agenda

□ Purpose

- Provide overview information on FY 2011 discretionary program opportunities
- Provide information on applying for FTA discretionary funds
- Q & A



Discretionary Schedule

| Initiative | Funding Availability | NOFA Publication Target | Application Deadline |
|--|----------------------|-------------------------|----------------------|
| SGR Initiative (Bus) | \$750,000,000 | 6/24/2011 | 7/29/2011 |
| Livability Expansion Initiative | \$175,000,000 | 6/24/2011 | 7/29/2011 |
| Alternatives Analysis | \$25,000,000 | | |
| Bus & Bus Facilities | \$150,000,000 | | |
| Sustainability Initiative | \$101,400,000 | 6/24/2011 | 8/23/2011 |
| Clean Fuels Bus Program | \$51,500,000 | | |
| TIGGER III | \$49,900,000 | | |
| Other Programs | \$50,640,500 | | |
| Paul S. Sarbanes Transit in Parks | \$26,765,500 | 3/10/2011 | 5/9/2011 |
| Tribal Transit | \$15,075,000 | 7/25/2011 | 9/26/2011 |
| Over-the-Road-Bus | \$8,800,000 | 7/11/2011 | 9/12/2011 |



FTA State of Good Repair Program

□ Program Purpose:

- SGR Bus initiative is intended to contribute to the improvement of the condition of transit capital assets by providing financial assistance for recapitalization of buses and bus facilities. In addition, funding under this SGR Bus initiative may be used for the development and implementation of new, or improvement of existing, transit asset management systems.

□ Eligible Projects:

- Purchase, replacement or rehabilitation of buses and vans(not expansion)
- Bus related equipment (including ITS, fare equipment, communication devices)
- Replacement or the modernization of bus maintenance, revenue service, and intermodal facilities
- Development and implementation of transit asset management systems



FTA State of Good Repair Program

- Funding source: Approximately \$750 million in unallocated Section 5309 Bus and Bus Facilities program funds
- Federal share: 80%
- No minimum or maximum grant amount



FTA Livability Program

□ Program Purpose

To invest in projects that fulfill the six livability principles that serve as the foundation for the DOT-HUD-EPA Partnership for Sustainable Communities.

1. To provide more transportation choices
2. Promote equitable and affordable housing
3. Enhance economic competitiveness
4. Support existing communities
5. Coordinate policies and leverage investments
6. Value communities and neighborhoods

□ **Eligible Projects:** Purchase and rehabilitation of buses and vans, bus-related equipment (including ITS, fare equipment, communication devices), construction and rehabilitation of bus-related facilities (including administrative, maintenance, transfer, and intermodal facilities, including facilities consistent with FTA's Joint Development and Bike/ Pedestrian policies which are available at <http://www.fta.dot.gov/livability>). Funding of alternative analysis study or technical tasks for an alternative analysis of a major transit improvement.



FTA Livability Program

- Funding source: Approximately \$150 million in unallocated Section 5309 Bus and Bus Facilities program funds and \$25 million in Alternative Analysis Program funds.
- Federal share: 80%
- No minimum or maximum grant amount



FTA Sustainability Program

❑ **TIGGER Program Purpose:**

There are two eligible purposes for TIGGER grants:

- (1) For capital investments that will assist in reducing the energy consumption of a transit system; or
- (2) for capital investments that will reduce greenhouse gas emissions of a public transportation system.

❑ **Eligible Projects:**

Eligible project expenses must meet the following criteria:

- (1) The expense must be an eligible capital expense.
- (2) the project will assist in the reduction of the energy consumption of a public transportation system and/or the reduction of greenhouse gas emissions of a public transportation system.



FTA Sustainability Program

❑ **Clean Fuel Program Purpose:**

- The Clean Fuels Grant Program was developed to assist nonattainment and maintenance areas in achieving or maintaining the National Ambient Air Quality Standards for ozone and CO. In addition, the program supports emerging clean fuel and advanced propulsion technologies for transit buses and markets for those technologies.

❑ **Eligible Projects:**

- Purchase or lease of clean fuel buses (including buses that employ a lightweight composite primary structure and vans for use in revenue service)
- Construction or lease of clean fuels bus facilities (including electrical recharging facilities and related equipment)
- Projects relating to clean fuels, biodiesel, hybrid electric, or zero emissions technology buses



FTA Sustainability Program

- ❑ Funding Source: Approximately \$51.5 million in Clean Fuel program funds and \$49.9 million in TIGGER III program funds.

- ❑ Federal Share:
 - TIGGER III – up to 100%
 - Clean Fuels – 83% (vehicles) and 90% (facility improvement or retrofit)



Veterans Transportation Initiative

□ Program Purpose:

To help communities build or expand local One-Call/ One-Click Centers to bring together transportation services available to the general public with those available to customers of human services programs, and especially services for veterans and military families.

□ Eligible Projects:

Capital costs of implementing, expanding, or increasing access to local One-Call/One-Click Transportation Resource Centers.



Veterans Transportation Initiative

- Funding: \$30 million in Bus and Bus Facilities Program Funds
- Federal Share: up to 80%
- Application Deadline: September 16, 2011



FTA Tribal Transit Program

□ Program Purpose:

TTP funds are to be allocated for grants to federally recognized Indian tribes for any purpose eligible under the Section 5311 program.

□ Eligible Projects:

Federally recognize tribes may use the funding for capital, operating, planning, and administrative expenses for public transit projects that meet the growing needs of rural tribal communities.



FTA Tribal Transit Program

- ❑ Funding: \$15 million in Section 5311 program funds.
- ❑ Federal Share: up to 100%
- ❑ Application Deadline: September 26, 2011



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What's New

Funding Announced for 'Sustainability Initiative'³
Transit providers around the U.S. can compete for share of \$101.4 Million
[Read More](#)

1 2 3 4 5

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American Recovery & Reinvestment Act

FTA has awarded 1,072 grants for over \$8.78 billion, including FHWA flex funding, and all transit formula and discretionary funds provided by ARRA have now been "obligated" or committed to specific transit projects.

[Click anywhere in this box for more information.](#)

NEW **The President's Fiscal Year 2012 Budget Request**

FTA Initiatives **Top Requests** **I Want To...**

MAJOR [Transit Rail Advisory Committee for Safety \(TRACS\)](#)
While rail transit is safe, the Administration believes we must

<http://www.fta.dot.gov>



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Grants & Financing

A major way FTA helps communities support public transportation is by issuing grants to eligible recipients for planning, vehicle purchases, facility construction, operations, and other purposes. FTA administers this financial assistance according to authority under [SAFETEA-LU](#), which was signed into law in August 2005.

SAFETEA-LU **authorizes** specific dollar amounts for each program. Each year Congress provides an annual **appropriation** to fund the programs specified in SAFETEA-LU. Upon receiving this appropriation, FTA **apportions** and **allocates** these funds according to formulas and earmarks. These FTA apportionments are published annually in the *Federal Register*.

FTA programs are typically identified by a name and/or a section number (of Title 49 of the United States Code) – for example "Elderly Persons and Persons with Disabilities" or "Section 5310" grant program. Each year Congress appropriates funds for a program and FTA awards grants to eligible recipients to meet the goals of that program.

Generally, FTA funds are available to designated recipients that must be public bodies (i.e. states, cities, towns, regional governments, transit authorities, etc.) with the legal authority to receive and dispense federal funds. The recipients of these funds are responsible for managing their projects in accordance with federal requirements. FTA conducts oversight reviews to ensure these requirements are met.

In addition to FTA's grant programs, there are other methods for funding public transportation; these are detailed in the Transit Finance section.

On August 13, 2008, the Department of Labor (DOL) published its Final Rule in the Federal Register Notice (Vol 73, Number 154)

http://www.fta.dot.gov/grants_financing.html



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Applying for and Managing Grants

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Applying for Grants

Most recipients of FTA Grants apply for grants on-line using FTA's [Transportation Electronic Award Management \(TEAM\)](#) system. In order to access this system, you need a user name and password. To obtain these, contact your [regional office](#).

There is an on-line user's guide on the TEAM system webpage, as well as announcements about TEAM training opportunities. If you are unable to apply on-line, contact your regional office about submitting a paper application.

Managing Grants

In addition to applying for grants, grant recipients and FTA use the TEAM system to manage the grants after award. TEAM allows users to monitor project budgets and milestones, make budget and scope revisions, and other project management activities. The on-line TEAM user's guide explains how to do this. For more information on how to manage grants in TEAM, contact your regional office.

Competitive Grant Opportunities on [Grants.gov](#)

FTA posts all competitive grant and cooperative agreement opportunities on [Grants.gov](#), the comprehensive government wide website for announcing competitive grant opportunities. [Grants.gov](#) is one of 24 Federal E-government initiatives to improve access to services via the Internet. It is the single, secure Federal website unifying 1000 grant programs from 26 Federal grant-making agencies. Please follow

Applying for and Managing Grants

- FFATA Subaward Reporting Information- December 2010
- State Transit Program Manager's Guide: Administration & Oversight of FTA Grant Programs
- Notices of Funding Availability**
- Basic Grant Requirements
- FTA Circulars
- TIGER 2 Grant Exhibits Information
- Scope & Activity Line Codes
- Standard Cost Categories (SCC) for Capital Projects
- Sample Agreements
- Certifications and Assurances
- ECHO Web User Manual for FTA and FAA Grantees
- TEAM Access Portal
- TEAM User Guide
- Vehicle Assist and Automation (VAA) RFP
- CEM for LRV

http://www.fta.dot.gov/funding/grants_financing_7205.html



Railroad Rehabilitation & Improvement Financing Program



FEDERAL RAILROAD ADMINISTRATION

U.S. DEPARTMENT OF TRANSPORTATION



RRIF Overview

- The Railroad Rehabilitation & Improvement Financing (RRIF) Program provides direct federal loans and loan guarantees to finance development of railroad infrastructure.
- Direct loans can fund up to 100% of a railroad project with repayment periods of up to 35 years and interest rates equal to the cost of borrowing to the government.
- Borrowers can request to defer repayment for up to 6 years.



Borrower Eligibility

ELIGIBLE BORROWERS

Railroads

State and local governments

Government-sponsored authorities and corporations

Joint ventures that include at least one railroad

Limited option freight shippers who intend to construct a new rail connection



Project Eligibility

RRIF funding may be used to:

Acquire, improve, or rehabilitate intermodal or rail equipment or facilities, including track, components of track, bridges, yards, buildings and shops;

Refinance outstanding debt incurred for the purposes listed above; and

Develop or establish new intermodal or railroad facilities



Application Process

Preapplication Meeting

Submit Application

Environmental & Engineering Review

Independent Financial Advisor Hired

Application Deemed Complete & 90-Day Clock Started

IFA completes work & FRA presents to DOT Credit Council

FRA Administrator Approves Loan & Package sent to Office of Management & Budget

Term Sheet & Closing Documents Signed



National Environmental Policy Act (NEPA)

The FRA must fulfill its obligations under the National Environmental Policy Act (NEPA) and related laws, regulations and orders.

In many cases, the FRA will need simply to approve a short environmental form (Categorical Exclusion worksheet) submitted with the application.

However, in some cases, compliance with NEPA may require preparation of detailed environmental assessments, consultation with Federal and State authorities, publication of documents, and public review and comment on these documents.



Borrower's Costs

Interest Rate

- The interest rate on RRIF loans will be set on the day the term sheet is signed and will equal the U.S. Treasury Rate for comparable-term securities.

Credit Risk Premium (CRP)

- Can range from 0-100% of loan amount
- CRP is reduced by offering collateral (though collateral is NOT required)

Investigation Fee

- FINANCIAL ADVISOR FEE - Paid regardless of whether loan is approved
- OUTSIDE COUNSEL (if necessary) - Needed in complex transactions
- **The total of these investigation fees may not exceed one half of 1% of the requested loan amount, but it is often substantially less.**



Preapplication Meeting

FRA encourages any interested entity to participate in a preapplication meeting, which has two functions:

1. RRIF analysts provide potential applicants with a detailed description of the RRIF application process and answer any initial questions.
2. As potential applicants describe their proposed project, RRIF analysts can quickly assess whether there are specific aspects of the application process that the applicant should focus on, such as the environmental evaluation.

Please visit the FRA RRIF website for details on the RRIF application process:

<http://www.fra.dot.gov/rpd/freight/1770.shtml>



Contact Information

If you have questions about the program, or if you wish to discuss the possibility of funding your project with a loan or a loan guarantee under the RRIF Program, please contact :

Barbara Amani
Chief, Credit Programs Division
Federal Railroad Administration
U.S. Department of Transportation

(202) 493-6051

barbara.amani@dot.gov



Questions?