



FEDERAL TRANSIT ADMINISTRATION

Capital Investment Grant
Program
May 14, 2015

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2015 Southeastern Regional Transit Conference
**BUILDING LADDERS
OF OPPORTUNITY**
Through Transportation Networks

Georgia
Tech School of Civil and
Environmental Engineering
College of Engineering



Agenda

- CIIG Program Overview
- Steps in the Process
- Project Evaluation and Rating Process
- Core Capacity

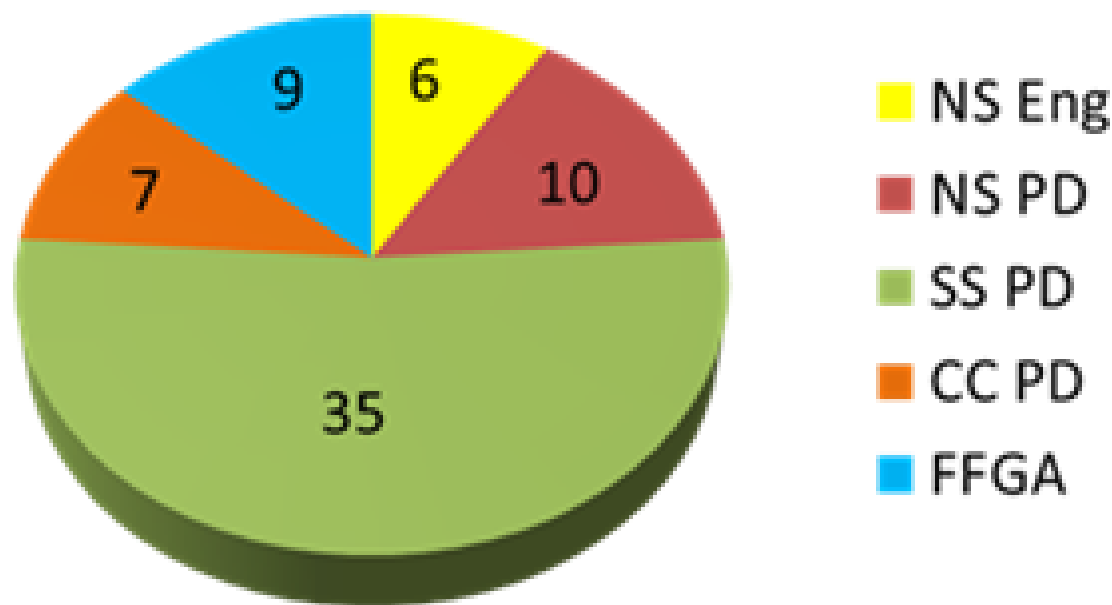
PROGRAM OVERVIEW

Capital Investment Grant Program

- Discretionary & Competitive Federal Grant Program
 - Roughly \$2 billion appropriated each year
 - Historical average federal share for projects in the program = 50%
 - Demand for funds exceeds supply – 67 projects in current pipeline
- Legislatively directed multi-year, multi-step process, with FTA project evaluation and rating required at specific points
- Successful 37-year program of investing in transit infrastructure around the country
- Generates projects that are transformational, create economic opportunity, and improve quality of life

Current CIIG Pipeline of Projects

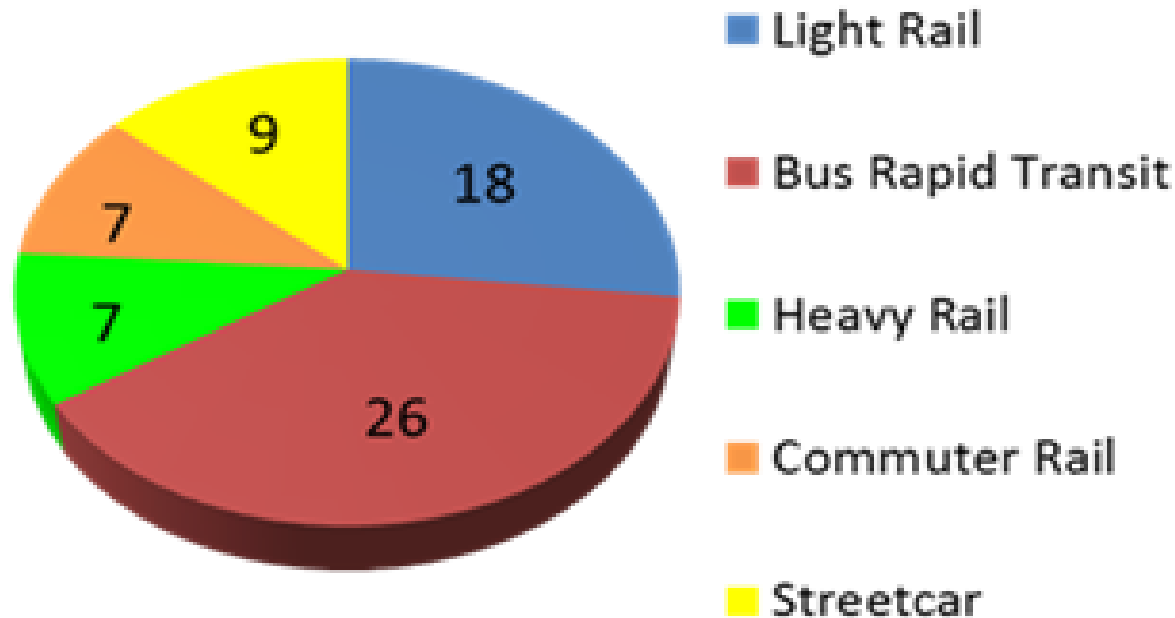
(Includes Recent Applicants)



67 Projects Competing for Funding

Current CIIG Pipeline by Mode

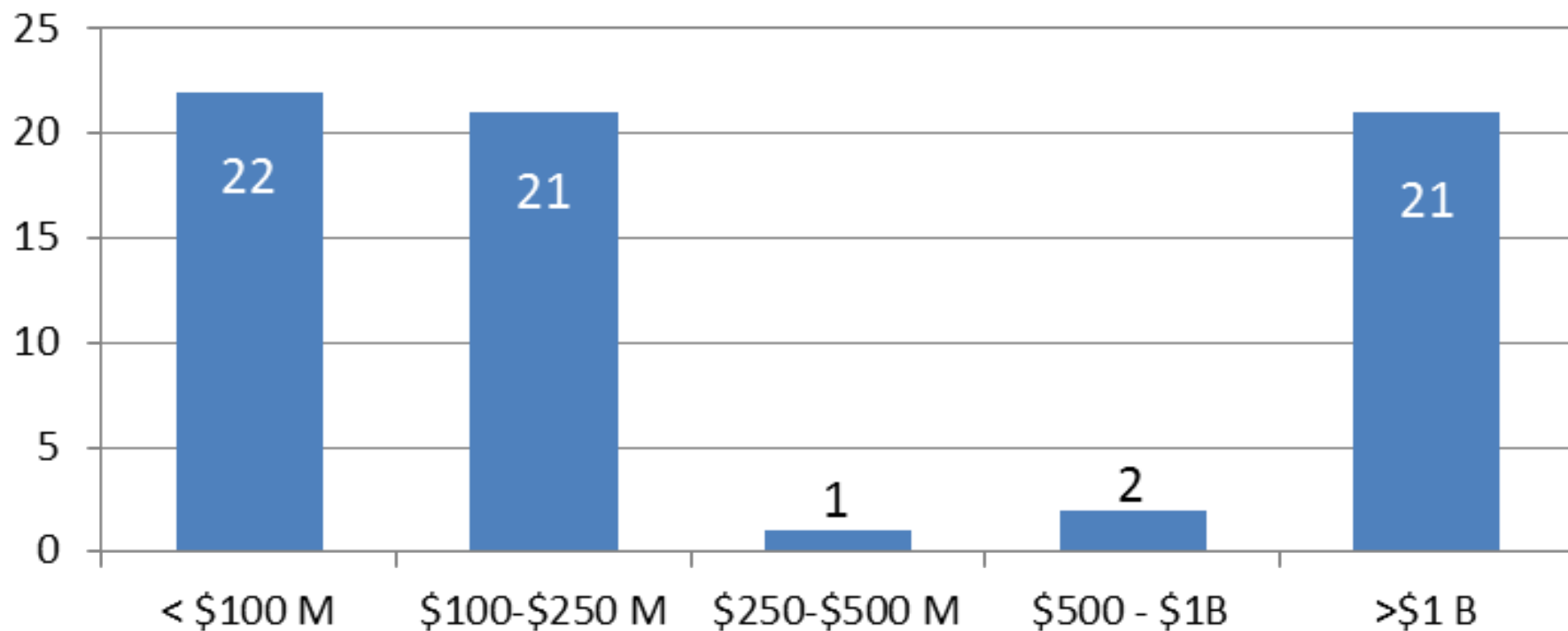
(Includes Recent Applicants)



67 Projects Competing for Funding, Majority BRT

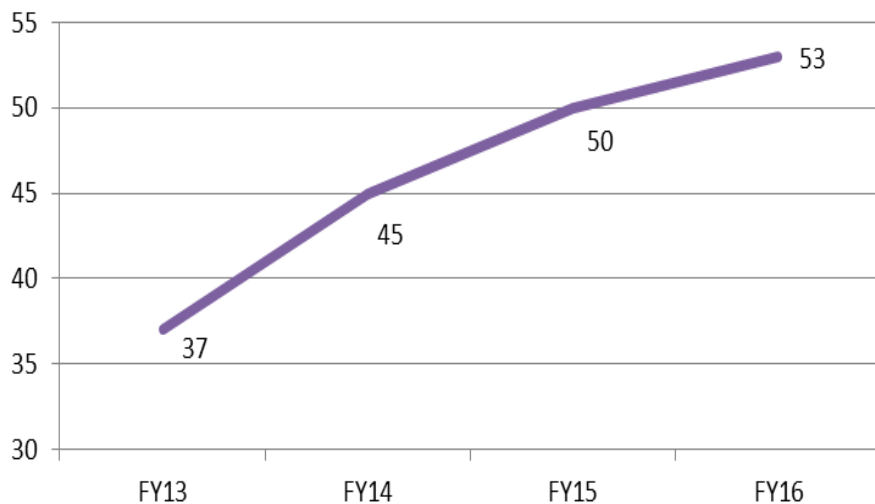
CIG Projects by Project Cost

Including FFGAs, Projects in Eng and PD, and Recent Applicants

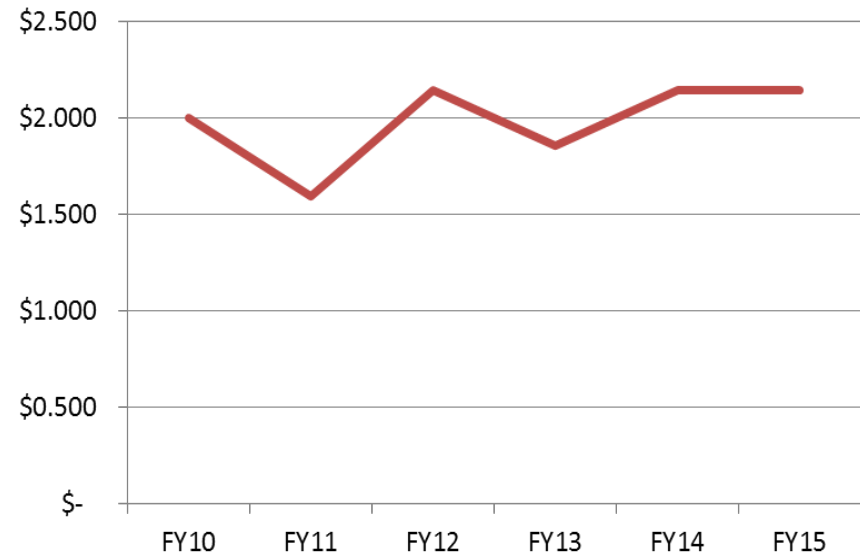


Demand Growing, Funding Has not Kept Pace

**Number of CIG Projects in Pipeline
Annual Reports to Congress FY13 - FY16**



CIG Appropriations



MAP-21 Eligible New Starts Projects

- Total Cost \geq \$250M and/or New Starts funding sought is $>$ \$75M
- New fixed guideway or extension to existing fixed guideway
- Fixed guideway BRT:
 - Majority operates in separate right-of-way
 - Represents substantial investment in a single route in a defined corridor
 - Includes defined stations, traffic signal priority for transit, and short headway bidirectional services for substantial part of weekdays and weekend days



MAP-21 Eligible Small Starts Projects

- Total cost <\$250 million and Small Starts share <\$75 million
- New fixed guideway systems and extensions
- Fixed guideway BRT
- Corridor-based BRT that represents a substantial investment in a defined corridor, with features including:
 - Defined stations
 - Traffic signal priority for transit
 - Short headway bi-directional services for a substantial part of weekdays and weekend days



Fixed Guideway BRT Definition

(MAP-21 – 49 USC 5302 (2)) The term ‘bus rapid transit system’ means a bus transit system –

- (A) In which the majority of each line operates in a separated right-of-way dedicated for public transportation during peak periods. [over 50 percent of the route must operate in a separate right-of-way dedicated for transit use during peak periods. Other traffic may make turning movements through the separated right-of way]
- (B) That includes features that emulate the services provided by rail fixed guideway public transportation systems, including:
 - Defined stations; [that are accessible, offer shelter, provide information]
 - Traffic signal priority for public transportation vehicles; [active signal priority in separated guideway; queue-jump lanes or active signal priority in non-separated guideway]
 - Short headway bidirectional services for a substantial part of weekdays and weekend days; [14-hour span on weekdays – headways 15 minutes or less through day or 10 minutes or less during peak periods and 20 minute maximum other times. 10-hour span on weekends – headways 30 minutes or less]
 - Any other features the Secretary may determine are necessary to produce high-quality public transportation services that emulate the services provided by rail fixed guideway public transportation services. [separate and consistent brand identity for stations and vehicles]

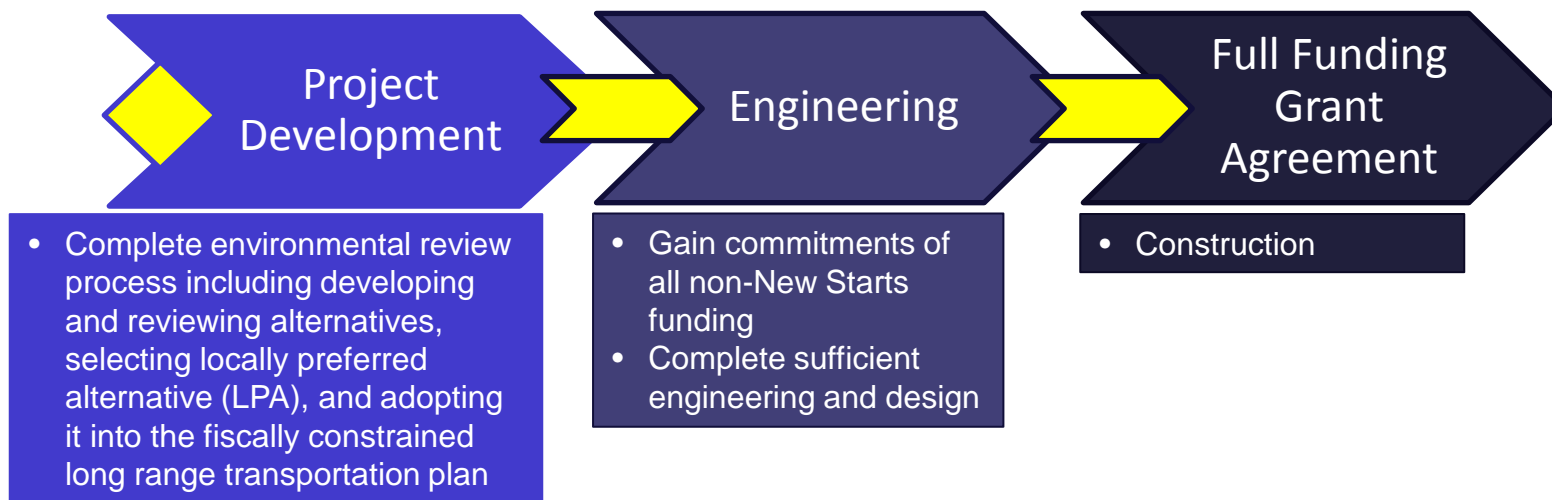
MAP-21 Eligible Core Capacity Projects

- Corridor-based investment in existing fixed guideway system
- Located in corridor at or over capacity today or will be in 5 years
- Must increase capacity by 10 percent
- Cannot include elements to maintain a state of good repair
- Cannot include elements to improve general station facilities or parking or acquisition of rolling stock alone

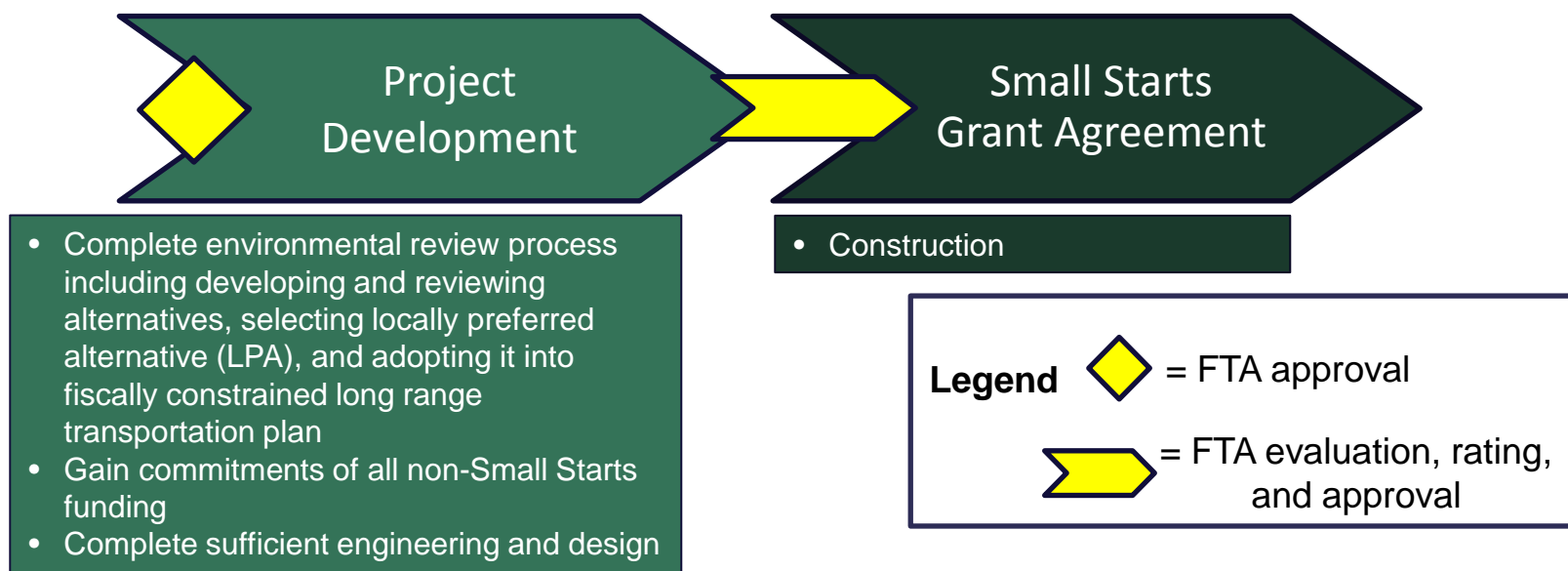


STEPS IN THE PROCESS

New Starts and Core Capacity Process



Small Starts Process



What is Needed to Enter PD?

- Submit a letter to FTA Office of Planning and Environment
- See FAQ on website for information to include in the letter
 - Name of sponsor, partners, and the roles and responsibilities of each
 - Identification of a project manager and other key staff
 - Description and map of the corridor
 - Transportation problem in the corridor
 - Current levels of transit service in the corridor
 - Description of project and total project cost estimate, if known
 - Anticipated cost of Project Development work
 - **Documentation of funding committed to do the Project Development work**
 - Anticipated schedule for completion of steps in the process
- Within 45 days of receiving a complete submittal, FTA will notify the sponsor

When to apply to enter PD?

- May apply for entry into the program at any time throughout the year
- It is best not to apply during *Annual Report* season
- Work done prior to entry is not covered by pre-award authority

During Project Development

- MAP-21 states the applicant shall complete
 - Environmental review process
 - Selection of locally preferred alternative (LPA)
 - Adoption of LPA into fiscally constrained Metropolitan Transportation Plan
 - Activities required to obtain a project rating

When to apply for entry into Engineering?

- Per MAP-21, only once the following are completed:
 - Environmental review process
 - Selection of LPA
 - Adoption of LPA into fiscally constrained Metropolitan Transportation Plan
 - Activities required to obtain a project rating
- FTA proposing to also require sponsors to have the following:
 - At least 30% of non-CIG funding committed
 - Minimum level of design completed, but more can be done at sponsor's option to feel comfortable locking in the CIG amount at entry into Engineering

To Receive Construction Grant

- Proceed through steps in process established in law
- Obtain a medium or better project rating
- Get recommended for funding by FTA in President's budget
- Become “ready” for construction grant agreement
 - Scope, cost, schedule, considered firm and final;
 - All non-Section 5309 funding committed;
 - All significant third party agreements completed;
 - Project sponsor meets technical capacity and readiness requirements
- Have funding appropriated by Congress
- Receive construction grant agreement and first installment payment from FTA

PROJECT EVALUATION AND RATING PROCESS

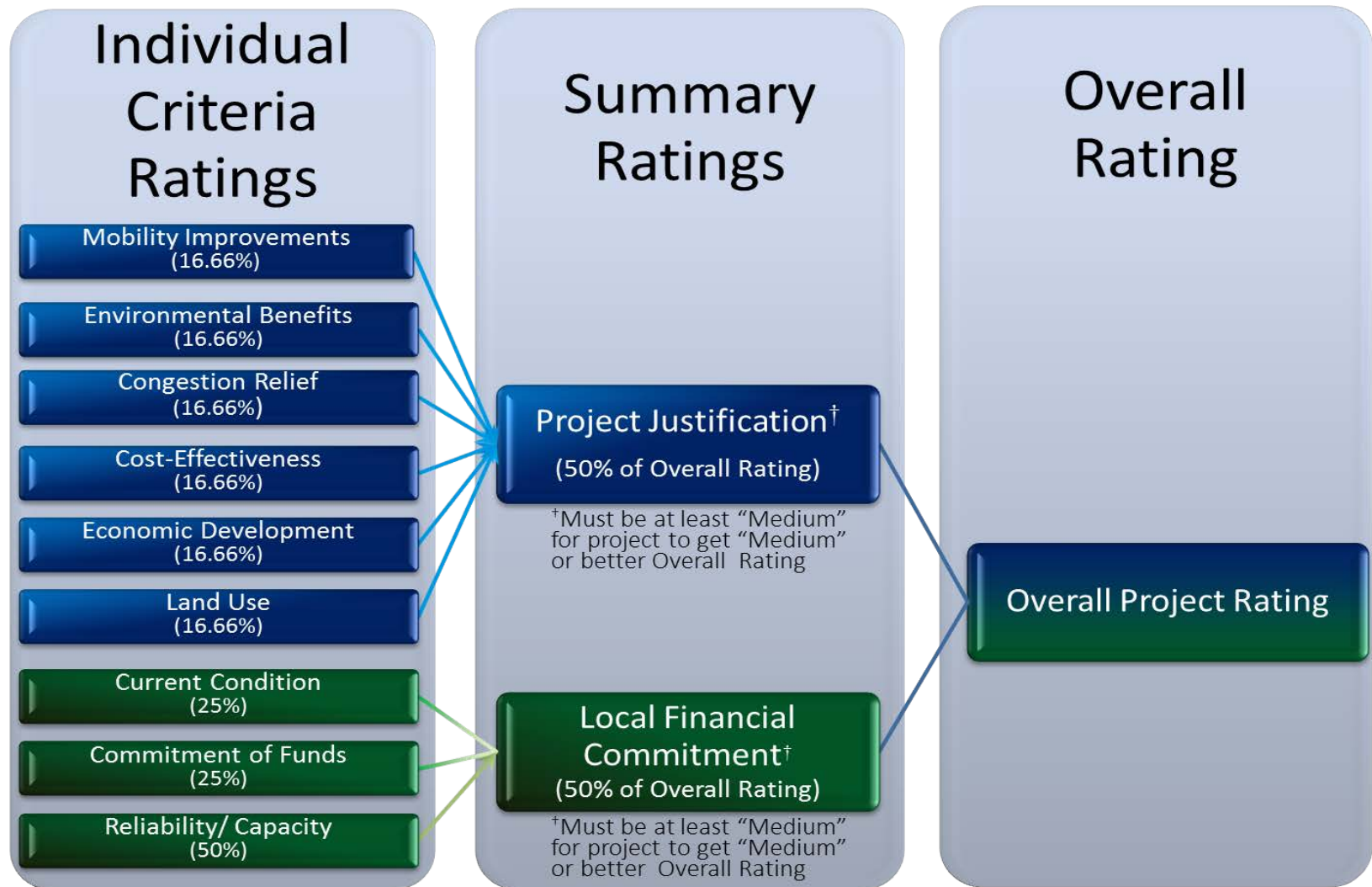
Ratings

- 5 point rating scale – Low to High
- Must receive at least a Medium rating to advance
- Ratings used to:
 - Approve or deny advancement into Engineering
 - Approve or deny projects for construction grants
 - Support annual funding recommendations to Congress

Updates to Ratings

- Re-rating for each Annual Report not required as long as no material changes to project scope or cost
- Material changes that may trigger a re-rating are:
 - design and construction scope of work changes
 - schedule changes of six months or more
 - change in a funding source or financing method

New and Small Starts Project Evaluation and Rating under MAP-21



New Starts Project Justification Criteria and Subfactors

Mobility Improvements

16.66%

- Total linked trips on the proposed project, with a weight of two given to trips made by transit dependent persons

Environmental Benefits

16.66%

- Dollar value of the anticipated direct and indirect benefits to human health, safety, energy, and the air quality environment scaled by the annualized capital and operating cost of the project (computed based on the change in vehicle miles travelled resulting from implementation of the proposed project)

Congestion Relief

16.66%

- New transit trips resulting from implementation of the project

Cost-Effectiveness

16.66%

- Annual capital and operating and maintenance cost per trip on the project

Economic Development

16.66%

- Transit supportive plans and policies
- Demonstrated performance of plans and policies
- Policies and tools in place to preserve or increase the amount of affordable housing

Land Use

16.66%

- Existing corridor and station area development and character
- Existing station area pedestrian facilities, including access for persons with disabilities
- Existing corridor and station area parking supply
- Proportion of existing “legally binding affordability restricted” housing within ½ mile of station areas to the proportion of “legally binding affordability restricted” housing in the counties through which the project travels

Small Starts Project Justification Criteria and Subfactors

Mobility Improvements

16.66%

- Total linked trips on the proposed project, with a weight of two given to trips made by transit dependent persons

Environmental Benefits

16.66%

- Dollar value of the anticipated direct and indirect benefits to human health, safety, energy, and the air quality environment scaled by the annualized federal share of the project (computed based on the change in vehicle miles travelled resulting from implementation of the proposed project)

Congestion Relief

16.66%

- New transit trips resulting from implementation of the project

Cost-Effectiveness

16.66%

- Annualized capital federal share of the project per trip on the project

Economic Development

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- Transit supportive plans and policies
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Proposed Core Capacity Project Justification Criteria and Subfactors

Mobility Improvements
16.66%

- Total linked trips on the proposed project, with a weight of two given to trips made by transit dependent persons

Environmental Benefits
16.66%

- Automatic rating, Core Capacity projects considered warranted

Congestion Relief
16.66%

- New transit trips resulting from implementation of the project

Cost-Effectiveness
16.66%

- Annualized Core Capacity share of the project cost per trip on the project

Economic Development
16.66%

- Automatic rating, Core Capacity projects considered warranted

Capacity Needs
16.66%

- Existing peak hour space per passenger on the line

Local Financial Commitment Criteria and Subfactors

Current Condition

25%

- Average Fleet Age
- Bond ratings (within last 2 years)
- Current ratio (current assets/current liabilities)
- Recent service history

Commitment of Funds

25%

- Amount of committed, budgeted, or planned funds
- Whether there are significant private contributions to the project

Financial Capacity and Reasonableness of Assumptions

50%

- Assumptions about revenue and expense growth comparable to historical experience
- Reasonableness of project capital cost estimate
- Adequacy of meeting state of good repair needs
- Financial capacity to withstand funding shortfalls or cost overruns (above and beyond contingency included in the cost estimate)

Local Financial Commitment

- Small Starts projects can qualify for simplified financial evaluation if
 - Reasonable plan to secure funding for the local share
 - O&M cost of the project is < 5% of existing operating budget
 - Sponsor is in reasonably good financial condition

| IF Sponsor | THEN |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| Meets requirements above and requests >50% Small Starts funding | Automatic Medium Rating |
| Meets requirements above and requests \leq 50% Small Starts funding | Automatic High Rating |
| Cannot meet requirements above | Cash flow must be submitted and project is evaluated and rated in fashion similar to New Starts |

Don't Forget the Survey!

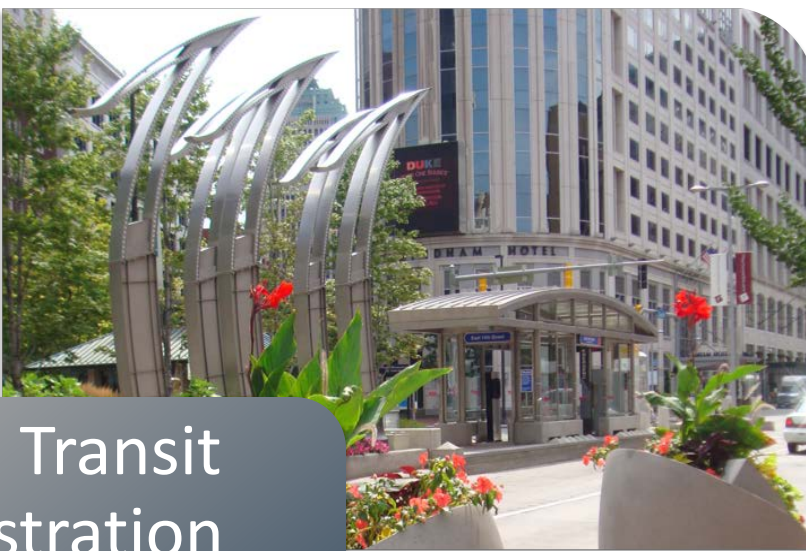
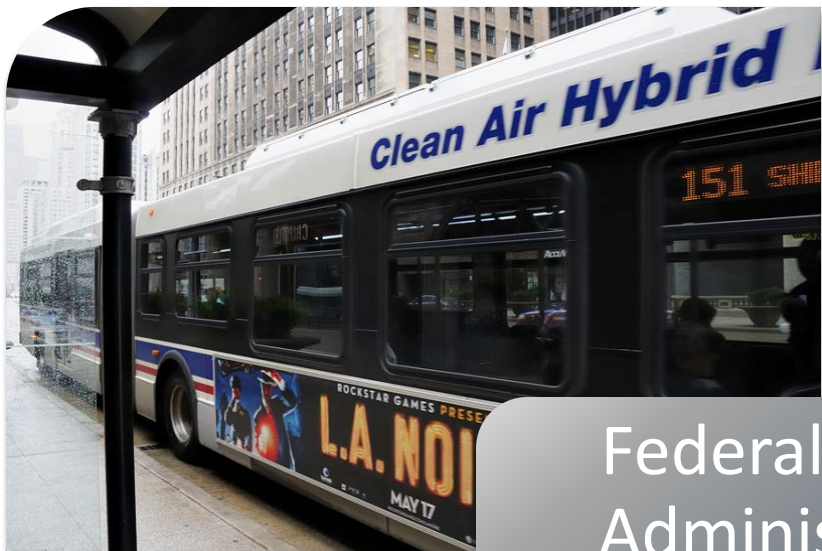
Please remember to complete the survey for this session by visiting the Guidebook App or

<http://goo.gl/forms/hhOzdnpmKK>

- Choose “Thurs., 3:30 p.m. - Capital Investment Grant Program” from the dropdown list

Special Thanks to Our Vendors & Sponsors!

The logo for HNTB, featuring the letters "HNTB" in a bold, dark blue sans-serif font. The letter "H" has a small orange square on its left vertical bar.The logo for wendel, featuring a stylized graphic of three overlapping squares (blue, green, and dark blue) to the left of the word "wendel" in a dark blue, lowercase sans-serif font.The logo for HDR, featuring the letters "HDR" in a large, dark gray, stylized sans-serif font.The logo for National RTAP, featuring the words "National RTAP" in a green sans-serif font, with "RTAP" being larger and bolder. To the right is a circular logo with a blue upper half and a green lower half. Below the text is the phrase "Rural Transit Assistance Program" in a smaller green font.The logo for RouteMatch Software, featuring a stylized graphic of three interlocking cubes in blue and yellow to the left of the text "RouteMatch" in a blue sans-serif font, with "Software" in a smaller, italicized blue font below it.



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