

Maritime Administration FY 2022 Port Infrastructure Development Program Grant Opportunity “How to Apply” Webcast 03/09/2022



Maritime Administration
Port Infrastructure
Development Grant Opportunity

- **Disclaimer for the FY 2022 Port Infrastructure Development Program Grant Opportunity “How to Apply” Webcast :**
 - Please note that if there is a conflict between something that is said today, and the content of the Notice of Funding Opportunity (NOFO), the content of the NOFO will prevail.

■ Port Infrastructure Development Program (PIDP) Grant Opportunity

- PIDP Grants provide Federal assistance to fund eligible projects for the purpose of improving the safety, efficiency or reliability of the movement of goods through ports and intermodal connections to ports.
- \$450 million appropriated for FY 2022, so far.
 - \$112.5 million is reserved for “small projects at small ports.” A small port is defined as a coastal seaport, Great Lakes, or inland river port to and from which the average annual tonnage of cargo during the 3 calendar years immediately preceding the time of application is less than 8,000,000 short tons.
 - Discretionary grants awarded on a competitive basis
- Application submittal deadline is 11:59 p.m. EDT, May 16, 2022.
- Applications must be submitted through www.grants.gov.

Questions during the presentation? Email: PIDPGRANTS@DOT.GOV

■ Federal Award Information

- Guidance on Federal Award Information is located in Section B of the Notice of Funding Opportunity (NOFO)
- Award size.
 - No minimum award size. No maximum award size (but see “Restrictions on Funding” below).
- Restrictions on Funding.
 - These come from the authorization and appropriations acts for this year’s funding opportunity.
 - A maximum of \$112.5 million can be awarded for projects in any one state.
 - Small Projects at Small Ports.
 - \$112.5 million is reserved for small projects at small ports
 - No single grant award may be more than 10% (\$11.25 million) of this amount.
 - No more than \$11.25 million may be used for development phase activities.
 - Not more than \$33.75 million of the funds not reserved for small projects at small ports may be awarded for development phase activities for large projects that do not result in construction.

Federal Award Information (cont'd)

- Availability of funds.
 - Goal is to obligate funds not later than September 30, 2025. Obligation occurs upon execution of a written grant agreement.
 - Various administrative requirements, including transportation planning and environmental reviews, must be completed before a grant agreement can be completed.
 - Goal is to expend funds within five years of obligation.
 - A project's likelihood to be ready for obligation of funds by September 30, 2025 and the ability to liquidate these obligations within five years of obligation will be considered during the review process.
- Previous PIDP awards.
 - Previous PIDP grant recipients may apply for funding to support additional phases of a project previously awarded funding. However, to be competitive, the applicant should show how the previously-funded project met scope, schedule, and budget milestones and how the new phase will impact project benefits.

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■ Eligible Applicants

- A port authority, a commission or its subdivision or agent under existing authority;
- A State or political subdivision of a State or local government;
- An Indian Tribe;
- A public agency or publicly chartered authority established by one or more States;
- A special purpose district with a transportation function;
- A multistate or multijurisdictional group of entities; or
- A lead entity described above jointly with a private entity or group of private entities (including the owners or operators of a facility, or collection of facilities, at a port).

■ Joint Applications

- If submitting a joint application, applicants must identify in the application the eligible lead entity as the primary point of contact and identify the primary recipient of the award.
- The applicant that will be responsible for financial administration of the project must be an eligible lead entity described above (i.e., not a private entity).
- Joint applications must include a memorandum of understanding as an attachment signed by all the entities that includes a description of the roles and responsibilities of each entity.

■ Cost Sharing and Matching

- Guidance on Cost Sharing and Matching is located in Section C.2. of the NOFO.
- In general, Federal share may not exceed 80 percent of the cost of the project.
 - Secretary may waive that requirement for grants awarded to a project located in a rural area or for a small project at a small port.
- Application must demonstrate sources of non-Federal funds being committed to the project. This year we are requiring that all applicants provide documentation that the matching funds will be available (and committed) prior to the date of obligation. (See Section D.2.h. of the NOFO)
- Matching funds may:
 - Be from State funds, local funds or private funds.
 - Come from TIFIA or RRIF loans as long as the loan is repayable from non-Federal funds.
- Matching funds may not:
 - Be counted as the non-Federal share for both this program and another Federal grant program.
 - Consist of previously-incurred costs or previously-expended funds unless first approved by DOT in writing after award announcement. (Slightly different rules for small projects at small ports.)

■ Eligible Projects

- Must be located within the boundary of a port, or outside the boundary of a port and directly related to operations of or to an intermodal connection to a coastal seaport, an inland river port or a Great Lakes port.
- Eligible projects must improve the safety, efficiency, or reliability of:
 - (I) the loading and unloading of goods at the port;
 - (II) the movement of goods into, out of, around, or within a port;
 - (III) operational improvements, including projects to improve port resilience; or
 - (IV) environmental and emissions mitigation measures, including projects for—
 - (a) port electrification or electrification master planning;
 - (b) harbor craft or equipment replacements or retrofits;
 - (c) development of port or terminal microgrids;
 - (d) provision of idling reduction infrastructure;
 - (e) purchase of cargo handling equipment and related infrastructure;
 - (f) worker training to support electrification technology;
 - (g) installation of port bunkering facilities from ocean-going vessels for fuels;
 - (h) electric vehicle charging or hydrogen refueling infrastructure; or,
 - (i) other related port activities.

■ Eligible projects (cont'd)

- For FY 2022, emissions mitigation measures that provide for the use of shore power for vessels to which sections 3507 and 3508 of title 46 apply are eligible, if such grants meet all other requirements set out in the NOFO.
- Development phase activities (including planning, feasibility analysis, revenue forecasting, environmental review, permitting, and preliminary engineering and design work) and port planning activities are eligible if the activities support one of the eligible project types listed.
 - Funding will be prioritized for projects that will move into the construction phase within the grant's performance period.
 - Applications for only development phase activities will be less competitive than capital grants.
 - Applications for development phase activities are subject to an economic vitality analysis (either a small projects at small ports analysis or BCA for large projects).

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■ Ineligible Projects

- Vessel construction;
 - Exceptions (requires a Secretarial determination):
 - » Must advance environmental or mitigation measures;
 - » Cannot also be receiving assistance under 46 U.S.C. chapter 537
- Projects within a small shipyard;
- Improvements to Federally owned facilities; or
- Fully automated cargo handling equipment or the installation of terminal infrastructure that is designed for fully automated cargo handling equipment.
 - If the Secretary determines such equipment would result in a net loss of good jobs or reduction in the quality of jobs within the port or port terminal.
 - In general, fully automated cargo handling systems transfer materials without the need, or with a significantly reduced need, for human assistance are ineligible.
 - Applicants who propose projects that include the acquisition of cargo handling equipment must provide the information outlined in Section C.3.a. of the NOFO.

- **Project Components (See Section C.3 of the NOFO)**

- Application may describe multiple components.
- Department may award funds for a component if it would otherwise independently qualify for funding (meets minimum award amount, aligns with merit criteria, and has independent utility).
- Project components in a single application must have a relationship between them.

- **Definitions (See Section A.4 of the NOFO)**

- Coastal seaport, Great Lakes port, Inland River port
- Development phase activities
- Large projects
- Rural area
- Small port
- Small project at a small port
- Port resilience

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- **Submission date**

- Due by 11:59 pm EDT on Monday, May 16, 2022.
- Grant applications must be submitted through Grants.gov.

- **Content and form of submission**

- Standard Form 424 (Application for Federal Assistance)
- Lobbying Form
- Project narrative (with Cover Page)
- Recommended to include:
 - Budget Information for Construction Programs (SF-424C)
 - Attachments Form (if attachments)
 - Available in the Grants.gov opportunity listing)
 - Suggested order of attachments (see footnote 12 of the NOFO)

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■ How to Organize the Project Narrative

- Project Description (discussed in D.2.b. of the NOFO)
- Project Location (D.2.c.)
- Grant Funds, Sources and Uses of Project Funds (D.2.d.)
- Merit Criteria (D.2.e.)
- Project Readiness (D.2.f.)
- Domestic Preference (D.2.g.)
- Determinations (D.2.h.)

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■ Project Description

- Include a concise description of the project, the challenges it is intended to address and how it will address those challenges.
- Use this section to put the project in a broader context: How does it relate to other capital development initiatives the applicant is pursuing? Does it support or enhance other projects in the area (in particular, other Federal investments)?

■ Project Location

- Describe the project location precisely
 - Consider including maps and other geospatial data so that the reviewer can understand how it connects to existing infrastructure.
- Identify the project location:
 - Is it in a Historically Disadvantaged Community or in a community development zone (such as a qualified Opportunity Zone, Empowerment Zone, Promise Zone, or Choice Neighborhood)?
 - Is it in a rural or urban area?
 - Is it at a coastal seaport, Great Lakes port, or inland river port?
 - Is it a small project at a small port?

- **Grant Funds, Sources and Uses of Project Funds**

- At a minimum, this section should include:
 - Project costs;
 - Sources and amount of funds;
 - Documentation of non-Federal funding commitments;
 - Information on the required non-Federal match for Federal funds;
 - A budget that shows how each source of funds will be spent; and
 - Any expenses proposed during period between grant award announcement and obligation that sponsor intends to request DOT approval for pursuant to 46 USC 54301(a)(10)(B).

- **Merit Criteria**

- Address each of the following merit criteria:
 - Achieving Safety, Efficiency, or Reliability Improvements;
 - Supporting Economic Vitality;
 - Leveraging Federal Funding;
 - Addressing Climate Change and Environmental Justice Impacts; and,
 - Advancing Equity and Opportunity for All.

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- **Merit Criteria (cont'd)**

- **Achieving Safety, Efficiency, or Reliability Improvements**

Demonstrated through one or more of the following:

1. The loading and unloading of goods at a port
 - Identify how the project improves capacity for freight movements at a port facility.
2. The movement of goods into, out of, around, or within a port
 - How a project enhances the movement of goods.
3. Operational improvements, including projects to improve port resilience;
 - Infrastructure that support freight operations (silos, warehouses, etc.)
 - Port resilience projects
4. Environmental or emissions mitigation measures
 - Projects that reduce or eliminate GHGs or port-related criteria pollutant.

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- **Merit Criteria (Cont'd)**

- **Economic Vitality – Benefit-Cost Analysis (BCA) for Large Projects**

- In the narrative, summarize the results of the applicant's analysis of the BCA of the project.
 - BCA itself should be submitted as an appendix to the project narrative. The appendix:
 - should identify present value estimates of project's benefits and costs (relative to a no-build baseline);
 - may include other categories of benefits that are more difficult to quantify;
 - should tie all benefits to the expected outcomes of the project; and
 - should include the full costs of developing, constructing, operating and maintaining the project.

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– **Economic Vitality – Small Projects at Small Ports**

- By statute, a BCA for small projects at small ports is not required.
- Instead, the economic vitality of a small project at a small port is evaluated against three criteria:
 - How the project improves the economic advantage of the port;
 - How the project contributes to freight transportation at, around, and through the port; and,
 - How the project helps overcome the competitive disadvantage of the port.
- Section D.2.e.(2)(b) of the NOFO identifies what an applicant should consider including in its narrative.
- MARAD will consider all relevant information provided, such as business plans, construction plans, engineering studies, feasibility studies, investor prospectuses, mobility studies and third-party reports.
 - However, if an applicant includes any of these items, it is important to identify in the narrative how they support one (or more) of the statutory criteria identified above.

- **Merit Criteria (Cont'd)**

- **Addressing Climate Change and Environmental Justice Impacts**

- Discuss: (1) climate change and environmental justice planning efforts, and (2) whether a project incorporates components that will mitigate or reduce impacts of climate change.

- **Advancing Equity and Opportunity for All**

- Demonstrate how the project has considered equity in project planning and how the applicant will promote equity in project delivery. Possible initiatives include: equity-focused policies or community outreach, racial equity impact analysis in planning, equity and inclusion plan/program in implementation, etc.
 - Describe how the project will promote workforce opportunities, both in planning and project delivery. For example, does the applicant have policies with strong labor standards? Will the project use labor agreements or registered apprenticeships? Are there workforce programs that serve underrepresented groups?

- **Leveraging of Federal Funding**

- Include information that identifies how the applicant has worked to improve non-Federal leverage, such as the role project partners will play in funding the project and any unique funding arrangements the applicant has pursued to increase the amount of non-Federal funding for the project.

■ Project Readiness

- Focus is on helping the evaluators assess the likelihood of a successful project.
- Two elements of project readiness: technical capacity and environmental risk.
 - Technical capacity:
 - Prior experience working with funding agencies on grant projects (including, if applicable, experience with other DOT-funded grant programs);
 - Applicant's previous experience delivering projects (ideally of similar complexity)
 - Details on the applicant's project management team
 - Feasibility of the project and how it will comply with applicable Federal requirements.
 - Technical project risks and mitigation strategies
 - Environmental risk:
 - Project schedule
 - » Identifies all major project milestones
 - » NEPA status (any ongoing environmental reviews?)
 - » Other required approvals (permits from other agencies?)
 - Environmental risks and any related mitigation strategies
 - As appropriate, prior consultation with MARAD's Office of Environmental Compliance

■ Domestic Preference

- Include a description of whether all iron, steel, construction materials, and manufactured products that will be used in the project are produced in the U.S.
 - Include an assessment of whether items to be used in the project might require a waiver or exception of the program's domestic content provisions (See Section F.2. of the NOFO)
- Applications should also include a discussion of steps applicants have taken or will take to ensure that the project complies with the PIDP domestic content requirements.
- Failure to address domestic content compliance can affect whether an application is considered competitive for an award.

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■ Determinations

- To be eligible for an award, each project must satisfy several statutory requirements. The purpose of this section of the narrative is to include enough information so that reviewers can assess whether a project meets the determinations listed below.
- Specific suggestions about what to include in the narrative are included in Section D.2.h. of the NOFO.
- The six determinations are . . .
 - The project improves the safety, efficiency or reliability of the movement of goods through a port or intermodal connection to a port.
 - The project is cost effective. (This does not apply to a small project at a small port.)
 - The eligible applicant has the authority to carry out the project.
 - The eligible applicant has sufficient funding available to meet the matching requirements.
 - The project will be completed without unreasonable delay.
 - The project cannot be easily and efficiently completed without Federal funding or financial assistance available to the project sponsor.
- We'll discuss these determinations in more detail in the next section of the presentation.

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Intake phase

Initial Technical review (Reviews the following criteria: Achieving Safety, Efficiency, Or Reliability Improvements; Climate Change and Environmental Justice Impacts; Advancing Equity And Opportunity For All, and Port Resilience.)

Senior Review Team (Initial Review of Projects)

Secondary Technical Review (Reviews: Supporting Economic Vitality, Leveraging Federal Funding, Project Readiness, Statutory Determinations, and Domestic Preference compliance.)

Senior Review Team (to Advance Projects to Secretary)

Selection by Secretary

Application review – criteria

Merit Criteria: Achieving Safety, Efficiency, or Reliability Improvements

Merit Criteria: Supporting Economic Vitality

Merit Criteria: Leveraging Federal Funding

Merit Criteria: Addressing Climate Change and Environmental Justice Impacts

Merit Criteria: Advancing Equity and Opportunity for All

Project Readiness

Domestic Preference

Additional Considerations

- **Merit Criteria: Achieving Safety, Efficiency, or Reliability Improvements**

Demonstrated by one or more of the following:

- 1. The loading and unloading of goods at a port**
 - Whether and how a project enhances loading and unloading of goods.
- 2. The movement of goods into, out of, around, or within a port**
 - The project's demonstrated ability to enhance the efficiency, capacity and reliability of systems used to transport freight.
- 3. Operational improvements, including projects to improve port resilience;**
 - Whether and how the project enhances freight operations
 - Impact of the improvements on port resilience
- 4. Environmental or emissions mitigation measures**
 - How the project reduces or eliminates port-related pollutants. Reviewers will assess whether there are quantifiable impacts on emissions or environmental conditions.

- **Merit Criteria: Economic Vitality – Large Projects**

- Evaluators will independently assess material submitted by applicants, relying on quantitative, data-supported analyses
- Projects will be grouped into ranges by benefit-cost ratio (BCR) (as calculated by the DOT review team)
- Potential applicants are strongly encouraged to participate in the upcoming webinar on preparing a benefit-cost package.
 - Information on future webinars appears at the end of the presentation.

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■ Merit Criteria: Economic Vitality - Small Projects at Small Ports

Evaluators will consider three criteria:

- Impacts on economic advantage
 - How the project enhances the economic advantage of the port, such as by capitalizing on or creating economies of scale, overcoming barriers to entry or creating more efficient access for labor, resources and customers.
- Contribution to freight transportation at the port
 - How the project improves the process of transporting commodities and improves positive externalities and/or overcomes negative externalities.
- The competitive disadvantage of the port
 - How the project will improve the port's competitive position.

■ Addressing Climate Change and Environmental Justice Impacts

- Planning and policy component: evidence of climate change and/or environmental justice considerations in project planning (such as evidence that the project supports a climate action plan, includes an equitable development plan, incorporated an energy baseline study, employs environmental justice tools, etc.)
- Project component: evidence that the project includes a component (or components) that has a direct impact on climate change and/or environmental justice (such as a shift in freight movements that reduces net emissions, incorporation of electrification or zero-emission vehicle infrastructure, energy demand management, positive impacts on environmental justice communities, etc.)

■ Advancing Equity and Opportunity for All

- Planning and policy component: whether the project implements planning considerations or policies related to advancing equity and promoting workforce opportunities.
 - Examples: equity-focused policies; racial equity impact analysis; equity and inclusion plan/program; policies related to procurement, material sourcing, construction, inspection or activities that ensure equity for all.
- Project components: investments that either proactively address equity and workplace opportunities or redress prior inequities.
 - Examples: project incorporates recommendations from equity impact analysis; project creates good-paying jobs that offer the free and fair choice to join a union; project delivery involves workforce training initiatives and/or promotes inclusion for all groups of workers.

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- **Merit Criteria: Leverage of Federal funding**

- Projects are rated based on Federal vs. non-Federal share of costs.
- Projects ranked on non-Federal leverage percentage from highest to lowest percentage of non-Federal participation and assigned a rating based on the quintile they fall in.

- **Project Readiness**

- Evaluators will consider significant risks to successful completion of the project.
- Risks might include: environmental approvals, permitting, technical feasibility of the project, funding constraints, applicant's capacity to manage the project.
- Applications should include a discussion of risks and achievable risk mitigation strategies.

- **Domestic Preference**

- Whether iron, steel, construction materials, and manufactured products to be used in the project are produced in the U.S. or manufactured domestically
- Narrative should also include a discussion of the applicant's plan to maximize domestic content.

- **Additional considerations**

- Historically Disadvantaged Community and Community Development Zones
 - Focus is on project location
 - Community Development Zones (Opportunity Zones, Empowerment Zones, Promise Zones, Choice Neighborhood)
 - See Section D.2.c. of the NOFO
- Port Resilience
 - An assessment of the project's impact on port resilience

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- 1. The project improves the safety, efficiency or reliability of the movement of goods through a port or intermodal connection to a port.**
- 2. The project is cost effective.**
 - To be considered cost effective, large projects must demonstrate a BCR greater than 1.0
 - This determination does not apply to small projects at small ports
- 3. The eligible applicant has the authority to carry out the project.**
 - Include a citation of authority
- 4. The eligible applicant has sufficient funding available to meet the matching requirements.**
 - Application shows sufficient funding, dedicated to the proposed purposes, and available in a timely manner to meet matching requirements
- 5. The project will be completed without unreasonable delay.**
 - Whether the project is reasonably expected to begin construction within 18 months of funds obligation (that is, date of the grant agreement)
 - Whether the project will be fully completed within 5 years of obligation
- 6. The project cannot be easily and efficiently completed without Federal funding or financial assistance.**
 - An assessment of impacts on the project if Federal funding or financial assistance is not available

- **Planning grant applications for development phase activities**
 - Evaluated against the same criteria as applications for capital construction projects.
 - Note that this means that planning projects are subject to an economic vitality analysis
 - DOT will prioritize projects proposing to move into construction within the period of obligation
- **Risk assessment prior to grant award**
 - Applies to each applicant selected for an award
 - Performed by DOT staff
 - Assesses prospective awardee's integrity, business ethics and record of performance under Federal awards
 - Relies upon information in Federal Awardee Performance and Integrity Information System (FAPIIS)
 - DOT will consider comments by the applicant in any risk assessment

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- **Award notifications**

- Posted on program website: www.maritime.dot.gov/PIDPgrants
- MARAD representative will then reach out to POC listed on the SF-424

- **Grants are reimbursement grants**

- Notice of award is NOT authorization to begin performance
- DOT written pre-approval is required if a grantee wishes to begin expending non-Federal funds before grant agreement execution.
- Reimbursement after: (1) grant agreement complete; (2) allowable expenses incurred; and (3) valid request for reimbursement

- **Administrative and National Policy Requirements**

- Grants are administered in accordance with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR Part 200) governs
- Other requirements to keep in mind: Build America, Buy America Act; OSHA; Brooks Act; Federal prevailing wage rate requirements, and Title VI.
- For an insight into requirements, see terms and conditions documents here . . . www.maritime.dot.gov/grants/federal-grant-assistance/federal-grant-assistance
 - There will be changes to the documents for the 2022 program

■ Program Requirements

- Projects selected for funding must demonstrate an effort to address each of the areas listed below. To the extent the project has not, MARAD staff will work with the applicant to satisfy this requirement before grant execution.
 - Climate Change and Environmental Justice Impact considerations
 - Advancing Equity and Opportunity for All considerations
 - Workforce and Labor Standards considerations

■ Reporting Requirements

- Progress Reporting on Grant Activities
- Project Outcome Performance Reporting
- Port Performance Reporting
 - Mandatory report has been eliminated. However, MARAD may reach out to grantees with specific data requests.
- Reporting of Matters related to Recipient Integrity and Performance
 - Required for applicants with over \$10 million in active Federal grants, cooperative agreements, and procurement contracts during the PIDP project's period of performance.

- **Present a project timeline that is realistic and considers:**

- A reasonable amount of time (assume, for planning purposes, at least six months to a year) between award announcement and grant agreement execution
 - Certain steps (NEPA review, Section 106 analysis, project risk register) must be completed place prior to grant agreement execution
- A realistic timeframe post-grant agreement for final design (if applicable) and construction
 - Be able to complete project work and related expenditures within five years of the signed grant agreement

- **Pay careful attention to the Economic Vitality analysis**

- Remember that it is more than just a business case
- Summarize key points in your project narrative
- Attach supporting documentation (including, for BCAs, an unprotected file showing calculations)
- Listen to the upcoming webinars, even if you have previously submitted an application for discretionary grant funds

- **Technical readiness-related suggestions**

- Include details about the cost analysis that your project is based on
 - Estimate? Market survey? IGCE? When developed?
- Indicate the status of project design and engineering
 - MARAD understands that, in some cases, this may not have started.

- **Remember the overall statutory goal of the program**

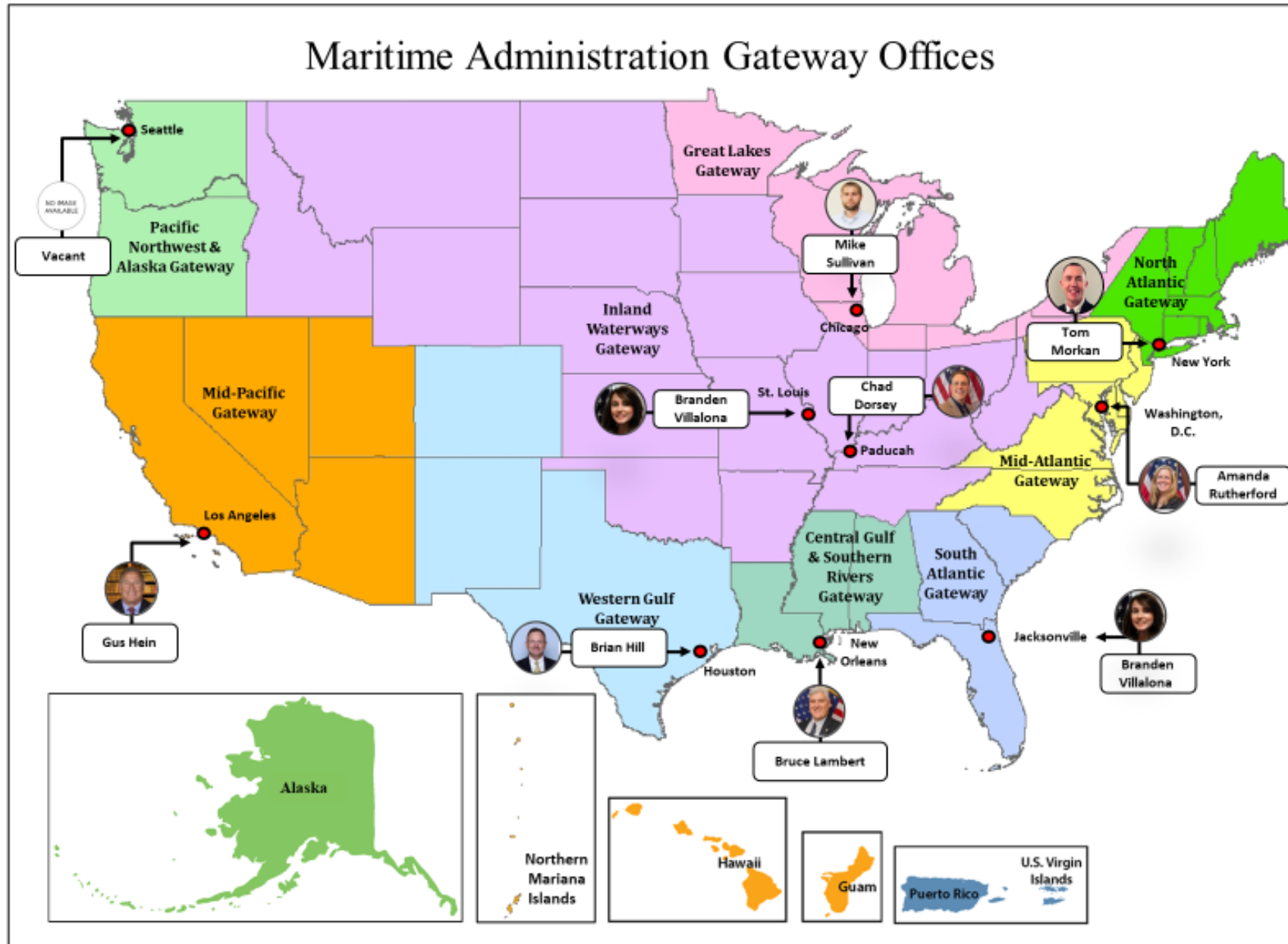
- “make grants, on a competitive basis, to eligible applicants to assist in funding eligible projects for the purpose of improving the safety, efficiency, or reliability of the movement of goods through ports and intermodal connections to ports” 46 USC 54301(a)(1)

- **Proof-read your application package before final submission. Common discrepancies we struggle with:**

- Numbers that don't agree (difference in funding amounts between narrative and/or BCA and SF-424)
 - We use SF-424 data to resolve any differences related to the amount of funding requested.
- Missing attachments or attachments that are included but not referenced in the narrative
- Incomplete or confusing statements about project scope.

- **Other thoughts . . .**

- Apply early!
- Submit a test application if you need to. We consider the last submission from an applicant as its final submission.
- List more than one individual on the SF 424.



Port Infrastructure Development Program Grants Webpage:

<https://www.maritime.dot.gov/PIDPgrants>

Department of Transportation Benefit-Cost Analysis Guidance:

<https://www.transportation.gov/office-policy/transportation-policy/benefit-cost-analysis-guidance>

Urban-Rural Census Link

<https://tigerweb.geo.census.gov/tigerweb2020/>

Historically Disadvantaged Communities

<https://usdot.maps.arcgis.com/apps/dashboards/d6f90dfcc8b44525b04c7ce748a3674a>

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A webinar on preparing a package on economic vitality for Small Projects At Small Ports will be offered on Wednesday, March 23, 2022 from 12:00-2:00 pm EDT

A webinar on preparing a benefit-cost analysis (Large Projects) will be held at a future date. Please periodically check the PIDP website for details.

More Info: <https://www.maritime.dot.gov/PIDPgrants>