

**NEW STARTS PROJECT PLANNING AND DEVELOPMENT  
CHECKLIST OF PROJECT SPONSOR SUBMITTALS TO FTA TO ENTER PRELIMINARY ENGINEERING (PE)**

<i>PRODUCTS</i>	<i>FTA CONCURRENCE DATE</i>	<i>REFERENCE (Regulations, Guidance, and Other Resources)</i>
<b>ALTERNATIVES ANALYSIS (AA)</b>	-	
<b>Study Initiation</b>	-	
RFP/Scope of Work <sup>1</sup>	OK	<ul style="list-style-type: none"> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.1)</a></li> </ul>
Problem Statement/Purpose and Need <sup>1</sup>	OK	
<b>Alternatives</b>	-	
Conceptual Alternatives (Alternatives Analysis Initiation Package/Scoping Report) <sup>1</sup>	OK	<ul style="list-style-type: none"> <li>• <a href="#">Advancing Major Transit Investments</a></li> <li>• <a href="#">Additional Guidance on Local Initiation of Alternatives Analysis Planning Studies</a></li> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.2)</a></li> <li>• <a href="#">FTA Course on Alternatives Analysis</a></li> </ul>
Detailed Alternatives (and Operating Plans) <sup>1</sup>	Pending submit results	
Final Alternatives (and Operating Plans) <sup>1</sup>	Pending submit results	
Baseline Alternative	Pending submit results	
<b>Travel Forecasts</b>	-	
Documentation of Methodologies and Assumptions		<ul style="list-style-type: none"> <li>• <a href="#">Travel Forecasting for New Starts Proposals (From FTA Workshop)</a></li> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.5-6)</a></li> <li>• <a href="#">Reporting Instructions</a></li> </ul>
Summit Reports and Maps	Needed	
Travel Forecasts Template	Pending submit results	
Annualization Factor Justification	Needed	
<b>Cost, Scope and Schedule</b>	-	
Summary of O&M Cost Assumptions/Productivities	Comments sent 8/20/08	<ul style="list-style-type: none"> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.4)</a></li> </ul>
Capital Cost Estimate and Project Schedule in Original Format and Standard Cost Category (SCC) Format	Under review	<ul style="list-style-type: none"> <li>• <a href="#">Standard Cost Categories for Capital Projects</a></li> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.3)</a></li> <li>• <a href="#">FTA P&amp;CM Guidelines (Chapters 3 &amp; 4)</a></li> </ul>
Planning Diagrams, Design Criteria, Concept Design Drawings and Specifications for guideway, stations, support facilities, sitework, systems, real estate, vehicles	Under review	
Documentation of passenger level boarding design for all stations and/or satisfactory determination of infeasibility for one or more stations and satisfactory alternative plan for accessibility. <sup>1</sup>	<b>OK</b>	<ul style="list-style-type: none"> <li>• <a href="#">49 CFR Parts 27, 37 &amp; 38</a></li> <li>• <a href="#">36 CFR 1191 &amp; 1192</a></li> <li>• <a href="#">DOT Disability Law Guidance, "Full-Length, Level-Boarding Platforms in New Commuter and Intercity Rail Stations" (09/01/05)</a></li> <li>• <a href="#">Association of American Railroads (AAR) Clearance Plates A-F,</a></li> </ul>

<sup>1</sup> Not required at this time, but strongly encouraged.

<b>PRODUCTS</b>	<b>FTA CONCURRENCE DATE</b>	<b>REFERENCE (Regulations, Guidance, and Other Resources)</b>
		<ul style="list-style-type: none"> <li><a href="#">H &amp; L</a></li> <li><a href="#">DoD Strategic Rail Corridor Network (STRACNET) clearance profile</a></li> </ul>
<b>Completion of AA Study</b>	-	<ul style="list-style-type: none"> <li><a href="#">Alternatives Analysis Technical Guidance (Part I.3)</a></li> </ul>
Alternatives Analysis Final Report		
LPA Adoption by MPO in Constrained (and conforming) Long Range Plan	OK	<ul style="list-style-type: none"> <li><a href="#">Transportation Planning Final Rule</a></li> <li><a href="#">Advancing Major Transit Investments</a></li> </ul>
Before and After Study Documentation of Methods and “Predicted” Results and Identification of Responsible Contractors	Pending submit results and cost review	<ul style="list-style-type: none"> <li>Draft Before and After Guidance Available on Request</li> <li><a href="#">Guidance on New Starts Policies and Procedures – May 16, 2006</a></li> </ul>
TIP and STIP Programming of PE		<ul style="list-style-type: none"> <li><a href="#">Capital Program Circular 9300.1A</a></li> <li><a href="#">Transportation Planning Final Rule</a></li> </ul>
NEPA Scoping	OK	<ul style="list-style-type: none"> <li><a href="#">Guidance on New Starts Policies and Procedures – May 16, 2006</a></li> <li><a href="#">Council on Environmental Quality Scoping Memorandum</a></li> <li><a href="#">23 CFR 771</a></li> </ul>
<b>PROJECT MANAGEMENT PLAN (PMP)<sup>2</sup></b>	-	
<b>Basic Requirements</b>	-	
Project Sponsor Staff Organization	OK	
Project Budget & Schedule	OK	
<b>Procedures</b>	-	<ul style="list-style-type: none"> <li><a href="#">49 CFR 633 (Subpart C)</a></li> <li><a href="#">FTA P&amp;CM Guidelines (Chapter 2-4)</a></li> <li><a href="#">Grant Management Circular 5010.1C (Chapter 1)</a></li> <li><a href="#">Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)</a></li> <li><a href="#">QA/QC Guidelines</a></li> </ul>
Document Control Procedures	OK	
Change Order Procedures	OK	
Material Testing Procedures	OK	
Internal Reporting Procedures	OK	
Operational Testing Procedures	OK	
Quality Assurance/Quality Control (QA/QC)	OK	
<b>Plans</b>	-	
Contracting Plan for Preliminary Engineering Phase	OK	<ul style="list-style-type: none"> <li><a href="#">Third Party Contracting Circular 4220.1E</a></li> <li><a href="#">FTA P&amp;CM Guidelines (Chapter 2-4)</a></li> </ul>
Contingency Management Plan (identifying significant areas of uncertainty in scope, cost and schedule)	OK	
Real Estate Acquisition Management Plan (RAMP)	OK	<ul style="list-style-type: none"> <li><a href="#">49 CFR 24</a></li> <li><a href="#">Uniform Act</a></li> <li><a href="#">Real Estate Page of FTA Website</a> and <a href="#">FTA Real Estate Course</a></li> </ul>
Rail Fleet Management Plan (RFMP)	OK	<ul style="list-style-type: none"> <li><a href="#">Grant Management Circular 5010.1C (Chapter 1)</a></li> </ul>

<sup>2</sup> The PMP subcategories listed here are based on the PMP requirements per 49 CFR 633 and FTA’s P&CM Guidelines. The RAMP, RFMP, BFMP, SSMP, and Third Party Agreements and Permits are typically submitted to FTA as stand-alone documents which supplement the PMP.

<b>PRODUCTS</b>	<b>FTA CONCURRENCE DATE</b>	<b>REFERENCE (Regulations, Guidance, and Other Resources)</b>
Bus Fleet Management Plan (BFMP)	OK	<ul style="list-style-type: none"> <li>• <a href="#">FFGA Guidance 5200.1A (Chapter 2)</a></li> </ul>
Safety & Security Management Plan (SSMP)	OK	<ul style="list-style-type: none"> <li>• <a href="#">SSMP Circular 5800.1</a></li> <li>• <a href="#">FFGA Guidance 5200.1A (Chapter 2)</a></li> <li>• <a href="#">49 CFR 659</a></li> <li>• <a href="#">FTA P&amp;CM Guidelines (Chapter 2)</a></li> </ul>
Third Party Agreements and Permits (Identified and Scheduled) <sup>3</sup>		<ul style="list-style-type: none"> <li>• <a href="#">FTA P&amp;CM Guidelines (Chapter 4)</a></li> </ul>
<b>NEW STARTS TEMPLATES, CERTIFICATIONS, AND OTHER REPORTS</b>	-	<ul style="list-style-type: none"> <li>• <a href="#">Reporting Instructions</a></li> </ul>
New Starts Criteria Templates and Certifications	Pending	
SCC Annualized Cost Worksheets	Pending	<ul style="list-style-type: none"> <li>• <a href="#">Standard Cost Categories for Capital Projects</a></li> </ul>
Land Use Supporting Information	OK	<ul style="list-style-type: none"> <li>• <a href="#">Reporting Instructions</a></li> <li>• <a href="#">Guidelines and Standards for Assessing Transit-Supportive Land Use</a></li> </ul>
Project Finance Plan and Supporting Information	Plan update not yet received	<ul style="list-style-type: none"> <li>• <a href="#">49 CFR 611.11</a></li> <li>• <a href="#">Financial Capacity Policy Circular 7008.1A</a></li> <li>• <a href="#">Guidance for Transit Financial Plans June 2000</a></li> <li>• <a href="#">Reporting Instructions</a></li> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part II.8)</a></li> <li>• <a href="#">Guidelines and Standards for Assessing Local Financial Commitment</a></li> </ul>
Making the Case Document	FTA has offered assistance	<ul style="list-style-type: none"> <li>• <a href="#">Reporting Instructions</a></li> <li>• <a href="#">Examples on FTA Website</a></li> </ul>
<b>ADMINISTRATIVE REQUIREMENTS</b>	-	
Legal Capacity (Authority to undertake implementation of proposed transit mode)	?	<ul style="list-style-type: none"> <li>• <a href="#">Capital Program Circular 9300.1A (Chapter 6)</a></li> </ul>
Grantee Letter of Request for PE Initiation	Pending	

<sup>3</sup> Not required at this time, but strongly encouraged.