

**NEW STARTS PROJECT PLANNING AND DEVELOPMENT
CHECKLIST OF PROJECT SPONSOR SUBMITTALS TO FTA TO ENTER FINAL DESIGN (FD)**

<i>PRODUCTS</i>	<i>FTA CONCURRENCE DATE</i>	<i>REFERENCE (Regulations, Guidance, and Other Resources)</i>
COMPLETION OF PRELIMINARY ENGINEERING	-	
Project Definition/Scope	-	
Project Plans, Drawings, Design Criteria, Standards and Specifications with refined project definition for overall project, tracks or routes, stations, stops and other structures		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4) • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)
Master Permitting Plan and Schedule		
Geotechnical Baseline Report		
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.		<ul style="list-style-type: none"> • 49 CFR Parts 27, 37 & 38 • 36 CFR 1191 & 1192 • DOT Disability Law Guidance, “Full-Length, Level-Boarding Platforms in New Commuter and Intercity Rail Stations” (09/01/05) • Association of American Railroads (AAR) Clearance Plates A-F, H & L • DoD Strategic Rail Corridor Network (STRACNET) clearance profile
Project Cost, Schedule and Financial Plan	-	
Capital Cost Estimate and Project Schedule in Original Format and Standard Cost Category (SCC) Format (refined and updated to support final design request)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapters 3 & 4) • Standard Cost Categories for Capital Projects • Alternatives Analysis Technical Guidance (Part II.3)
Summary of O&M Cost Assumptions/Productivities (if O&M costs changed since approval to enter PE)		<ul style="list-style-type: none"> • Alternatives Analysis Technical Guidance (Part II.4) • Reporting Instructions
Financial Plan and Supporting Information Supporting Final Design Request and Financial Capacity Assessment		<ul style="list-style-type: none"> • 49 CFR 611.11 • Financial Capacity Policy Circular 7008.1A • Guidance for Transit Financial Plans June 2000 • Reporting Instructions • Guidelines and Standards for Assessing Local Financial Commitment
Project Development Requirements	-	
Final NEPA Documentation (i.e., Categorical Exclusion, Finding of No Significant Impact, or Record of Decision) including description of required environmental permits and New Starts Rating Information in ROD if the New Starts Rating is less than “medium”		<ul style="list-style-type: none"> • 23 CFR 771 • 49 CFR 622 • 2006 Guidance on New Starts Policies and Procedures - May 16, 2006 (Section 1) - Reference for New Starts Rating Information in ROD

PRODUCTS	FTA CONCURRENCE DATE	REFERENCE (Regulations, Guidance, and Other Resources)
Before and After Study Documentation of Methods and “Predicted” Results and Identification of Responsible Contractors		<ul style="list-style-type: none"> • Draft Before and After Guidance Available on Request • 2006 Guidance on New Starts Policies and Procedures - May 16, 2006
TIP and STIP Programming of Final Design and Construction (and update or amendment of long range plan, if needed)		<ul style="list-style-type: none"> • Capital Program Circular 9300.1A • Transportation Planning Final Rule
Travel Forecasts (If changed since approval to enter PE)	-	
Documentation of Methodologies and Assumptions		<ul style="list-style-type: none"> • Travel Forecasting for New Starts Proposals (From FTA Workshop)
Summit Reports and Maps		<ul style="list-style-type: none"> • Alternatives Analysis Technical Guidance (Part II.5-6)
Travel Forecasts Template		<ul style="list-style-type: none"> • Reporting Instructions
Annualization Factor Justification		
PROJECT MANAGEMENT PLAN (PMP) UPDATE	-	
Basic Requirements Update	-	
Project Sponsor Staff Organization		<ul style="list-style-type: none"> • 49 CFR 633 (Subpart C)
Project Budget & Schedule		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 2-4)
Procedures Update	-	
Document Control Procedures		<ul style="list-style-type: none"> • Grant Management Circular 5010.1C (Chapter 1)
Change Order Procedures		<ul style="list-style-type: none"> • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)
Material Testing Procedures		<ul style="list-style-type: none"> • QA/QC Guidelines
Internal Reporting Procedures		
Operational Testing Procedures		
Quality Assurance/Quality Control (QA/QC)		
Plans Update	-	
Contingency Management Plan (identifying significant areas of uncertainty in scope, cost and schedule)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 2 & 3)
Real Estate Acquisition Management Plan (RAMP)		<ul style="list-style-type: none"> • 49 CFR 24 • Uniform Act • Real Estate Page of FTA Website and FTA Real Estate Course
Rail Fleet Management Plan (RFMP)		<ul style="list-style-type: none"> • Grant Management Circular 5010.1C (Chapter 1)
Bus Fleet Management Plan (BFMP)		<ul style="list-style-type: none"> • FFGA Guidance 5200.1A (Chapter 2)
Safety and Security Management Plan (SSMP)		<ul style="list-style-type: none"> • SSMP Circular 5800.1 • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2) • 49 CFR 659 • FTA P&CM Guidelines (Chapter 2)
Operating Plan		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 3)
Configuration Management Plan		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 5)

PRODUCTS	FTA CONCURRENCE DATE	REFERENCE (Regulations, Guidance, and Other Resources)
Other Project Management Products	-	<ul style="list-style-type: none"> • Capital Program Circular 9300.1A (Chapter V) • Grant Management Circular 5010.1C (Chapter 1) • FTA P&CM Guidelines (Chapter 4)
Value Engineering Analysis Report		
Procurement Contract Packages	-	<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4) • Third Party Contracting Circular 4220.1E
Contracting Plan for Final Design Phase		
Contracting Plan for Construction/Procurement (draft policies and procedures for all proposed contracting) inclusive of profit strategies and proposed risk allocation measures		
Claims Avoidance Plan for Final Design		
Claims Avoidance Plan for Construction/Procurement Phase		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 3)
General Conditions (preliminarily drafted for design, construction and procurement contracts)		
Third Party Agreements	-	<ul style="list-style-type: none"> • Grant Management Circular 5010.1C (Chapter 1) • 23 CFR 645, Utilities • FTA P&CM Guidelines (Chapter 4) • FFGA Guidance 5200.1A (Chapter 2)
Utility Agreements (negotiated and completed to the extent possible)		
Master, Interagency, Public/Private, Joint Development, Railroad and Right of Way Agreements (negotiated and completed to the degree possible)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4)
NEW STARTS TEMPLATES, CERTIFICATIONS, AND OTHER REPORTS	-	<ul style="list-style-type: none"> • Reporting Instructions
New Starts Criteria Templates and Certifications		
SCC Annualized Cost Worksheets		<ul style="list-style-type: none"> • Standard Cost Categories for Capital Projects
Land Use Supporting Information		<ul style="list-style-type: none"> • Reporting Instructions • Guidelines and Standards for Assessing Transit-Supportive Land Use
Making the Case Document		<ul style="list-style-type: none"> • Reporting Instructions • Examples on FTA Website
ADMINISTRATIVE REQUIREMENTS	-	
Legal Capacity (Authority to undertake implementation of proposed transit mode)		<ul style="list-style-type: none"> • Capital Program Circular 9300.1A (Chapter 6)
Authority to pursue and contract with project delivery method proposed (if not design-bid-build)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4)
Grantee Letter of Request for FD Initiation		