

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

<b>PRODUCTS</b>	<b>FTA CONCURRENCE DATE</b>	<b>REFERENCE (Regulations, Guidance, and Other Resources)</b>
<b>ALTERNATIVES ANALYSIS (AA)</b>	-	
<b>Study Initiation</b>	-	
RFP/Scope of Work <sup>1</sup>		<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>		
<b>Alternatives</b>	-	
Conceptual Alternatives (Alternatives Analysis Initiation Package/Scoping Report) <sup>1</sup>		<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>		
Final Alternatives (and Operating Plans) <sup>1</sup>		
Baseline Alternative		
<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		
Travel Forecasts Template		
Annualization Factor Justification		
<b>Cost, Scope and Schedule</b>	-	
Summary of O&M Cost Assumptions/Productivities		<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		
Planning Diagrams, Design Criteria, Concept Design Drawings and Specifications for guideway, stations, support facilities, sitework, systems, real estate, vehicles		
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>		<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, H &amp; L</a></li> <li>• <a href="#">DoD Strategic Rail Corridor Network (STRACNET) clearance profile</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>
<b>Completion of AA Study</b>	-	
Alternatives Analysis Final Report		<ul style="list-style-type: none"> <li>• <a href="#">Alternatives Analysis Technical Guidance (Part I.3)</a></li> </ul>
LPA Adoption by MPO in Constrained (and conforming) Long Range Plan		<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		<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		<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		
Project Budget & Schedule		<ul style="list-style-type: none"> <li>• <a href="#">49 CFR 633 (Subpart C)</a></li> </ul>
<b>Procedures</b>	-	
Document Control Procedures		<ul style="list-style-type: none"> <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> </ul>
Change Order Procedures		<ul style="list-style-type: none"> <li>• <a href="#">Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)</a></li> </ul>
Material Testing Procedures		<ul style="list-style-type: none"> <li>• <a href="#">QA/QC Guidelines</a></li> </ul>
Internal Reporting Procedures		
Operational Testing Procedures		
Quality Assurance/Quality Control (QA/QC)		
<b>Plans</b>	-	
Contracting Plan for Preliminary Engineering Phase		<ul style="list-style-type: none"> <li>• <a href="#">Third Party Contracting Circular 4220.1E</a></li> </ul>
Contingency Management Plan (identifying significant areas of uncertainty in scope, cost and schedule)		<ul style="list-style-type: none"> <li>• <a href="#">FTA P&amp;CM Guidelines (Chapter 2-4)</a></li> </ul>
Real Estate Acquisition Management Plan (RAMP)		<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)		<ul style="list-style-type: none"> <li>• <a href="#">Grant Management Circular 5010.1C (Chapter 1)</a></li> </ul>
Bus Fleet Management Plan (BFMP)		<ul style="list-style-type: none"> <li>• <a href="#">FFGA Guidance 5200.1A (Chapter 2)</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>
Safety & Security Management Plan (SSMP)		<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>	-	
New Starts Criteria Templates and Certifications		<ul style="list-style-type: none"> <li>• <a href="#">Reporting Instructions</a></li> </ul>
SCC Annualized Cost Worksheets		<ul style="list-style-type: none"> <li>• <a href="#">Standard Cost Categories for Capital Projects</a></li> </ul>
Land Use Supporting Information		<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		<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		<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		

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