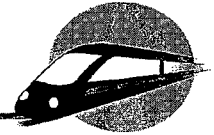


Paperwork Reduction Act Burden Statement

A federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The OMB Control Number for this information collection is 2130-0584. Public reporting for this collection of information is estimated to be approximately 16 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing and reviewing the collection of information. All responses to this collection of information are voluntary. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Railroad Administration 1200 New Jersey Avenue, SE, Washington, D.C. 20590.

March 2011 Narrative Application Form – Individual PE/NEPA, Part I

**Narrative Application Form – Individual PE/NEPA
 Part I**



High-Speed Intercity Passenger Rail (HSIPR) Program

Applicants interested in applying for funding under the March 2011 Notice of Funding Availability (NOFA) are required to submit the narrative application forms, parts I and II, and other required documents according to the checklist contained in Section 4.2 of the NOFA and the Application Package Instructions available on FRA’s website. All supporting documentation submitted for these PE/NEPA activities should be listed and described in Section G of this form. Questions about the HSIPR program or this application should be directed to the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must enter the required information in the gray narrative fields, check boxes, or drop-down menus of this form. Submit this completed form, along with all supporting documentation, electronically by uploading them to www.GrantSolutions.gov by 8:00 p.m. EDT on April 4, 2011.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

| | | | | |
|--|--------------|---|------------------|--|
| (1) Name the submitting agency: | | Provide the submitting agency Authorized Representative name and title: Name, Title | | |
| Address 1: | City: | State: | Zip Code: | Authorized Representative telephone: () - ext. Authorized Representative email: |
| Address 2: | | | - | |
| Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative): Name, Title | | Submitting agency POC telephone: () - ext. Submitting agency POC email: | | |
| (2) List out the name(s) of additional State(s) applying (if applicable): | | | | |



B. Eligibility Information

Complete the following section to demonstrate satisfaction of application's eligibility requirements.

(1) **Select the appropriate box from the list below to identify applicant type.** Eligible applicants are listed in Section 3.1 of the NOFA.

- State
- Group of States
- Amtrak
- Amtrak in cooperation with one or more States

If selecting one of the applicant types below, additional documentation is required to establish applicant eligibility. Please select the appropriate box and submit supporting documentation to demonstrate applicant eligibility, as described in Section 3.2 of the NOFA, to GrantSolutions.gov and list the supporting documentation under "Additional Information" in Section G.2 of this application.

- Interstate Compact
- Public Agency established by one or more States

(2) **Indicate the planning processes used to identify the underlying project.**¹ As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives that the underlying project is intended to benefit. Refer to the PE/NEPA Application Package Instructions for more information. The appropriate planning document must be submitted with the application package and listed in Section G.2 of this application.

- State Rail Plan
- Service Development Plan (SDP)
- Service Improvement Plan (SIP)
- Statewide Transportation Improvement Plan (STIP)
- Other, please list this document in Section G.2 with "Other Appropriate Planning Document" as the title
- The underlying project is not included in a relevant and documented planning process

(3) **Select and describe the operational independence of the underlying project.**² Refer to Sections 3.4.4 and 3.5.2 of the NOFA for more information about operational independence and applications related to previously-selected projects.

- This project is operationally independent.
- This project is operationally independent when considered in conjunction with previously selected or awarded HSIPR program project(s) (identify previously selected or awarded projects below).
- This project is not operationally independent.

Briefly clarify the response:

¹ PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project's development. The underlying project is the larger area and/or infrastructure that will become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

² A project is considered to have operational independence if, upon being implemented, it will provide tangible and measurable benefits, either independently of other investments or cumulatively with projects selected to receive awards under previous HSIPR program solicitations.

(6) Indicate the source, amount, and percentage of matching funds for the proposed PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.5. Click on the gray boxes to select the appropriate response from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Also, list the percentage of the total project cost represented by each non-Federal funding source. Provide supporting documentation that will allow FRA to verify each funding source, any documentation not available online should be submitted with the application package and listed in Section G.2 of this application.

| Non-Federal Match Funding Sources | Type of Source | Status of Funding ⁴ | Type of Funds | Dollar Amount | % of Total Project Cost | Describe Any Supporting Documentation to Help FRA Verify Funding Source |
|------------------------------------|----------------|--------------------------------|---------------|---------------|-------------------------|---|
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| | | | | \$ | % | |
| Sum of Non-Federal Funding Sources | | | | \$ | % | N/A |

(7) Indicate whether the proposed activities in this application are also included as a component project or phase in a Service Development Program application submitted concurrently.

- Yes, all of the activities in this application have also been submitted as a component project or phase of a Service Development Program application.
- Yes, some of the activities within this application have also been submitted as a component project or phase of a Service Development Program application.
- No, this application and its proposed activities have not been submitted as a component project or phase of a Service Development Program application.

(8) Indicate the name of the corridor where the underlying project is located and identify the start and end points as well as major integral cities along the route.

⁴ The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g., statutory authority) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state capital investment program or appropriation guidance. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors' control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed nor budgeted. Examples include proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's capital investment program.



(9) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS shapefile (.shp) as supporting documentation. This document must be listed in Section G.2 of this application.

(10) Provide an abstract outlining the proposed PE/NEPA activities. Briefly summarize the project narrative provided in the Statement of Work in 4-6 sentences. Capture the major milestones, outcomes, and anticipated benefits that will result from the completion of the underlying project.

(11) Indicate the type of expected capital investments included in the underlying project.⁵ Check all that apply.

- | | |
|--|--|
| <input type="checkbox"/> Communication, signaling, and control | <input type="checkbox"/> Rolling stock refurbishments |
| <input type="checkbox"/> Electric traction | <input type="checkbox"/> Station(s) |
| <input type="checkbox"/> Grade crossing improvements | <input type="checkbox"/> Structures (bridges, tunnels, etc.) |
| <input type="checkbox"/> Major interlocking | <input type="checkbox"/> Support facilities (yards, shops, administrative buildings) |
| <input type="checkbox"/> Positive Train Control | <input type="checkbox"/> Track rehabilitation and construction |
| <input type="checkbox"/> Rolling stock acquisition | <input type="checkbox"/> Other (please describe) |

(12) Indicate the anticipated service outcomes of the underlying project. Check all that apply.

- | | |
|--|---|
| <input type="checkbox"/> Additional service frequencies | <input type="checkbox"/> Improved operational reliability on existing route |
| <input type="checkbox"/> Service quality improvements | <input type="checkbox"/> Improved on-time performance on existing route |
| <input type="checkbox"/> Increased average speeds/shorter trip times | <input type="checkbox"/> Other (please describe) |

Briefly clarify the response(s), if needed:

(13) Provide the following information about job creation through the life of the PE/NEPA development activities.

Anticipated number of annual onsite and other direct jobs created (on a 2080 work-hour per year, full-time equivalent basis)

PE/NEPA Period

(14) Quantify the applicable service outcomes of the underlying project. Provide the current conditions and anticipated service outcomes. Future state information is required only for the service outcomes identified in Section C.12.

| | Frequencies ⁶ | Scheduled Trip Time (round-trips, in minutes) | Average Speed (mph) | Top Speed (mph) | Reliability – Provide Either On-Time Performance Percentage or Delay Minutes |
|----------------|--------------------------|--|------------------------|--------------------|--|
| Current | | | | | |
| Future | | | | | |

⁵ The underlying project is the larger area and/or infrastructure that will become the FD/Construction project following completion of the PE/NEPA activities.

⁶ Frequency is measured in daily round-trip train operations. One daily round-trip operation should be counted as one frequency.



(15) Indicate if any PE or NEPA activities that are part of this application are underway or completed. Check all that apply.

- Preliminary Engineering activities are complete.
- Preliminary Engineering activities are in progress.
- No Preliminary Engineering activities are in progress or completed.
- NEPA activities are complete.
- NEPA activities are in progress.
- No NEPA activities are in progress or completed.

Describe any activities that are underway or completed in the table below. If more space is necessary, please provide the same information for additional activities underway or completed in a supporting document and list in Section G.2 of this application.

| Activity | Description | Completed? (If yes, check box) | Start Date (mm/yyyy) | Actual or Anticipated Completion Date (mm/yyyy) |
|----------|-------------|--------------------------------------|-------------------------|---|
| | | <input type="checkbox"/> | / | / |
| | | <input type="checkbox"/> | / | / |
| | | <input type="checkbox"/> | / | / |
| | | <input type="checkbox"/> | / | / |

D. Infrastructure Owner(s) and Operator(s)

Address the section below with information regarding railroad infrastructure owners and operators of the underlying project for the proposed PE/NEPA development activities. Applicants that own and/or control the infrastructure to be improved by the project or have a service outcomes agreement in place with the infrastructure owning railroad for the proposed project, or an executed agreement that could be amended with the infrastructure owning railroad for a project(s) located on the same corridor as the proposed project, will be looked upon favorably during the application review and selection process.

- (1) Provide information regarding Right-of-Way Owner(s).** Where railroads currently share ownership, identify the primary owner. Click on the gray boxes to select the appropriate response from the lists of railroad type, right-of-way owner and status of agreement. If the Right-of-Way Owner is not included on the prepopulated list, select "Other" and type the name in the adjacent text box within that field. Should the application have more than five owners please provide the same information for additional owners in a separate supporting document and list it in Section G.2 of this application.

| Type of Railroad | Right-of-Way Owner | Route-Miles | Track-Miles | Status of Agreement to Implement |
|------------------|--------------------|-------------|-------------|----------------------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

- (2) Name the Intercity Passenger Rail Operator and provide the status of the agreement.** If applicable, provide the status of the agreement with the partner that will operate the planned passenger rail service (e.g., Amtrak). Click on the gray box to select the appropriate response from the status of agreement list. Should the proposed service have more than three operators, please provide the same information for additional operators in a separate supporting document and list it in Section G.2 of this application.

| Name of Rail Service Operator | Status of Agreement |
|-------------------------------|---------------------|
| | |
| | |
| | |

- (3) Identify the types of services affected by the underlying project and provide information about the existing rail services within the underlying project boundaries (e.g., freight, commuter, and intercity passenger).** Click on the gray boxes to select the appropriate response from the list of types of service. If the Name of Operator is not included in the prepopulated list, select "Other" and type the name in the adjacent text box within that field.

| Type of Service | Name of Operator | Top Existing Speeds Within Underlying Project Boundaries (mph) | | Number of Route-Miles Within Underlying Project Boundaries (miles) | Average Number of Daily One-Way Train Operations ⁷ Within Underlying Project Boundaries |
|-----------------|------------------|--|---------|--|--|
| | | Passenger | Freight | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

⁷ One daily round-trip operation should be counted as two daily one-way train operations.



| | | | | | |
|--|--|--|--|--|--|
| | | | | | |
|--|--|--|--|--|--|

(4) Estimate the share of benefits that will be realized by non-intercity passenger rail service and select the approximate cost share to be paid by the beneficiary.⁸ Click on the gray boxes to select the appropriate response from the lists of type of beneficiary, expected share of benefits, and approximate cost share. If more than three types of non-intercity passenger rail are beneficiaries, please provide additional information in a separate supporting document, and list in Section G.2 of this application.

| Type of Non-Intercity Passenger Rail | Expected Share of Benefits | Approximate Cost Share |
|--------------------------------------|----------------------------|------------------------|
| | | |
| | | |
| | | |

⁸ Benefits include service improvements such as increased speed or on-time performance, improved reliability, and other service quality improvements.



E. Additional Response to Evaluation Criteria

Respond to each of the following evaluation criteria in the gray text boxes provided to demonstrate how the proposed PE/NEPA activities and underlying project will achieve these benefits.⁹

(1) Project Readiness

Describe the feasibility of the proposed PE/NEPA project to proceed promptly to award, including addressing:

- The applicant's progress, at the time of application, in reaching final service outcomes agreements (where necessary) with key project partners. Applicants that own and/or control the infrastructure to be improved by the project or have an executed service outcomes agreement that could be amended with the infrastructure owning railroad for a project(s) located on the same corridor as the proposed project, will be looked upon favorably during the application review and selection process; and
- The quality and completeness of the project's Statement of Work (included in the HSIPR Narrative Application Form), including whether the Statement of Work provides a sufficient level of detail regarding scope, schedule, and budget to immediately advance the project to award.

Type response here:

(2a) Transportation Benefits

Describe the transportation benefits that will result from the underlying project of the proposed PE/NEPA activities and how they will be achieved in a cost-effective manner, including addressing:

- Generating improvements to existing high-speed and intercity passenger rail service, as reflected by estimated increases in ridership, increases in operational reliability, reductions in trip times, additional service frequencies to meet anticipated or existing demand, and other related factors;
- Generating cross-modal benefits, including anticipated favorable impacts on air or highway traffic congestion, capacity, or safety, and cost avoidance or deferral of planned investments in aviation and highway systems;
- Creating an integrated high-speed and intercity passenger rail network;
- Encouragement of intermodal connectivity and integration, including a focus on convenient connection to local transit and street networks, as well as coordination with local land use and station area development;
- Ensuring a state of good repair of key intercity passenger rail assets;
- Promoting standardized rolling stock, signaling, communications, and power equipment;
- Improved freight or commuter rail operations, in relation to proportional cost-sharing (including donated property) by those other benefiting rail users;
- Equitable financial participation from benefiting entities in the project's financing;
- Encouragement of the implementation of positive train control (PTC) technologies (with the understanding that 49 U.S.C. 20147 requires all Class I railroads and entities that provide regularly scheduled intercity or commuter rail passenger services to fully institute interoperable PTC systems by December 31, 2015); and
- Incorporating private investment in the financing of capital projects or service operations.

Type response here:

(2b) Other Public Benefits

Describe the other public benefits that will result from the underlying project and how they will be achieved in a cost-effective manner, including addressing:

⁹ PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project. The underlying project is the larger area and/or infrastructure that will become the FD/Construction project following completion of the PE/NEPA activities.

- The extent to which the project is expected to create and preserve jobs and stimulate increases in economic activity;
- Promoting environmental quality, energy efficiency, and reduction in dependence on oil, including the use of renewable energy sources, energy savings from traffic diversions from other modes, employment of green building and manufacturing methods, reductions in key emissions types, and the purchase and use of environmentally sensitive, fuel-efficient, and cost-effective passenger rail equipment; and
- Promoting coordination between the planning and investment in transportation, housing, economic development, and other infrastructure decisions along the corridor, as identified in the six livability principles developed by DOT with the Department of Housing and Urban Development and the Environmental Protection Agency as part of the Partnership for Sustainable Communities, which are listed fully at <http://www.dot.gov/affairs/2009/dot8009.htm>.

Type response here:

(3) Project Delivery Approach

Describe the risk associated with the delivery of the PE/NEPA development activities within budget, on time, and as designed, including addressing:

- The timeliness of project completion and the realization of the project's benefits;
- The applicant's financial, legal, and technical capacity to implement the project;
- The applicant's experience in administering similar grants and projects;
- The soundness and thoroughness of the cost methodologies, assumptions, and estimates;
- The thoroughness and quality of the project management documentation; and
- The timing and amount of the project's future noncommitted investments.

Type response here:

(4) Sustainability of Benefits

Identify the likelihood of realizing the benefits of the underlying project for the proposed PE/NEPA development activities, including addressing:

- The applicant's financial contribution to the project;
- The quality of a financial planning documentation that analyzes the financial viability of the HSIPR service that will benefit from the project;
- The availability of any required operating financial support, preferably from dedicated funding sources;
- The quality and adequacy of project identification and planning; and
- The reasonableness of estimates for user and non-user benefits for the project.

Type response here:

F. Statement of Work

The Statement of Work (SOW) is a required document. This must be submitted using the Narrative Application Form Part II. Statement of Work available on FRA's website to provide the required information. The quality and completeness of this document will be measured as a Project Readiness evaluation criterion, as outlined in Section 5.2.1 of the NOFA.

Please provide the SOW as a separate document and list it in Section G.2 of this application.

The SOW is a description of the work that will be completed under the grant agreement and must address the background, scope, and schedule, and include a high-level budget of the proposed project.

- (1) The SOW is required for a complete application package.
- (2) The SOW should contain sufficient detail so that both FRA and the applicant can:
 - a. Understand the expected outcomes of the work to be performed by the applicant, and
 - b. Track applicant progress toward completing key project tasks and deliverables during the period of performance.
- (3) The SOW should clearly describe project objectives, but allow for a reasonable amount of flexibility regarding how the objectives will be accomplished. It is important to describe the overall approach to and expectations for project/activity completion.
- (4) If the SOW describes work for phases and/or groups of component projects, the larger program should be explained in the background section of the SOW. The remainder of the SOW should be limited to describing the activities that directly contribute to the combined FRA and applicant effort which is funded under the grant agreement.

