

Paperwork Reduction Act Burden Statement

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High Speed Intercity Passenger Rail (HSIPR) Program

Application Form

Planning

Applicants for Planning funds are required to submit this Application Form and other documents as outlined in Section E of this application. Please complete this document and provide any supporting documentation electronically. Supporting documentation should be logically and descriptively labeled. For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your project, please indicate "N/A." If you have questions about the HSIPR program or this application, please contact FRA at HSIPR@dot.gov.

A. Point of Contact and Project Information

(Must be consistent with information provided on applicant's SF 424)

(1) Submitting Agency:		Submitting Agency Authorized Representative Name and Title:		
Street Address / City:	City:	State:	Zip Code:	Telephone Number: Email:
Application Point of Contact (POC) Name and Title (If different):		Application POC Telephone: Application POC Email:		
(2) Name(s) of additional States applying (if applicable):				
(3) Planning Project Name (Please provide a clear, concise, and descriptive name, example "Capital City to Hill Valley Corridor Service Development Plan"):				
(4) Describe the corridor service(s) that is (are) the subject of the Planning Project, including corridor name, endpoints, major intermediate cities, and other characteristics (upload a map if applicable):				



(5) **Planning Project Abstract** (In 3 - 5 sentences, please describe your proposed planning project):

(6) **6a. Total Cost of Planning Project** (2010 dollars): \$
 - Amount Requested from HSIPR Program: \$
 - Non-Federal Match Amount: \$

6b. Indicate the source, amount, and percentage of matching funds:

Non-FRA Funding Sources	New or Existing Funding Source?	Status of Funding ¹	Type of Funds	Dollar Amount *Should total Non-Federal Amount in above 6a.	% of Total Project Cost	Describe any uploaded supporting documentation to help FRA verify funding source
	New	Committed				
	New	Committed				
	New	Committed				
	New	Committed				

(7) **Which of the following planning activities are proposed to be funded under the HSIPR Program?** NOTE: Eligible planning projects for these funds include either 1) State Rail Plans or 2) Passenger Rail Corridor Investment Plans. Applicants seeking to develop a passenger rail corridor investment plan must apply for any necessary work to develop *both* a service development plan and corridor-wide environmental documentation. If the applicant has already completed one of these documents or a component thereof, FRA must have accepted that document as meeting the minimum requirements outlined in Section 2.4.1 of the FY2010 Planning NOFA.

- State Rail Plans
- Service Development Planning and Service NEPA
- Service Development Planning only (Service NEPA already complete)
- Service NEPA only (Service Development Planning already complete)

¹ **Reference Notes:** 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. legislative referendum) 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 (CIP) or appropriation. 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 CIP that has yet to be committed in their near future. Funds will be classified as budgeted where available funding cannot be committed until the grant is executed, or due to the local practices outside of the project sponsor's 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 CIP.



(8) 8a. Describe the service attributes of the Program/Project for which you are planning (check all that apply):

- Additional Service Frequencies
- New Service
- Service Quality Improvements

- Improved On-Time performance on Existing Route
- Increased Average Speeds/Shorter Trip Times
- Other (Please Describe):

8b. Please provide an overview of the characteristics of the Program/Project for which you are planning, including a description of the types of improvements under consideration, and if applicable, the intercity passenger rail proposal:

(9) What are the anticipated start and end dates for this Planning Project? (mm/yyyy)

Start Date:

End Date:

B. Statement of Work

BACKGROUND

Briefly describe the events that lead to the need for the planning project and the underlying issue that the project will address (less than 1/2 page).

GENERAL OBJECTIVE

Provide a general description of the planning work to be accomplished through this grant, including project work effort, project study area, and other parties involved. Describe the end-state of the project, and the outcomes that will be achieved as a result of this project.

DESCRIPTION OF WORK

Describe the tasks of the planning project from start to finish. A task 1 – Detailed Planning Project Workplan – shall be included. Under the cooperative agreement, FRA will participate in the project, as described in this Statement of Work, through review draft work products and acceptance of task deliverables. Group the tasks into major and minor components and relate the major components to milestones and deliverables. Address inter-relationships between tasks. Identify the milestones for which FRA review of draft work products is anticipated. (For more detailed studies it may be appropriate for FRA to participate in the development of methodologies.) Address necessary coordination and processes to involve affected parties and the public as appropriate.

PROJECT SCHEDULE

The period of performance for the above work shall be [Project Length in Months], beginning [Month Day, Year] and ending [Project End Date].

PERFORMANCE OBJECTIVES AND DELIVERABLES

The Grantee shall provide FRA with a projected schedule to achieve the deliverables and performance objectives listed below. The Grantee shall achieve these performance objectives in order for the project to be considered complete.

List tasks, including task 1 – Detailed Planning Project Workplan and Schedule, that are required in order to complete the project, as applicable.

1. Detailed Planning Project Work Plan and Schedule
2. [Draft Product #1]

3. [Final Product #1]
4. [Draft Product #2]
5. [Final Product #2]
6. [List more deliverables as necessary]

PROJECT ESTIMATE/BUDGET

Provide an overall cost summary in this section with a detailed description of project costs by element attached as an appendix if needed.

The total estimated cost of the Project is [Total Project Cost \$X,XXX,XXX], for which the FRA grant will contribute an estimated [FRA Share XX.XXXX%] of the total cost, but no more than [Total Amount of FRA Award \$X,XXX,XXX]. Any additional expense required beyond that provided in this grant to complete the project shall be borne by the Grantee. (See attached budget for additional financial details of the project.)

[Project Title] (FRA Grant)

Task 1 – Title	\$	Cost
Task 2 – Title	\$	Cost
Task 3 – Title	\$	Cost
Task 4 – Title	\$	Cost
[List more tasks as necessary]	\$	Cost
Subtotal	\$	Cost

Total

FRA ([XX.XXXX% Same as Above] of project cost):	\$	[FRA Share]
Grantee Contribution ([XX.XXXX%] of project cost):	\$	[Grantee Match]
Total Project Cost:	\$	[X,XXX,XXX]

PROJECT COORDINATION

List major partners, sub-awardees or sub-grantees that will be implementing this program. In addition, please attach a basic organizational chart as an appendix showing the titles/company name of those with authority to make management decisions and those with direct project management responsibility.



The Grantee shall perform all tasks required for the project through a coordinated process; including as appropriate all railroad owners, operators, and funding partners within the project area. Under the cooperative agreement, FRA will participate in the Project, as described in this statement of work.

- [Host Railroad Name – if applicable]
- [Freight/Passenger Railroad Operator(s) – if applicable]
- [Funding Partners "xDOT", "City of XXX", "Transportation Authority"– if applicable]
- FRA

PROJECT MANAGEMENT

Describe any critical assumptions, special requirements and contingency plans. Provide updated project management plan as an attachment if needed. Describe how the project will be monitored and evaluated for progress.

C. Response to Evaluation Criteria

(1) Potential Transportation and Public Benefits.

Please identify:

For Passenger Rail Corridor Investment Plans:

- The clarity and detail with which the applicant has identified the problem to be addressed by the proposed service;
- The market potential of the corridor being studied, taking into consideration such factors as population, density, economic activity, and travel patterns;
- The potential for the corridor to deliver high-speed and intercity passenger rail service benefits, including ridership, on-time performance, travel time, service frequencies, safety and other factors;
- The potential of the corridor program to promote economic development, including contributions to a sustainable U.S. manufacturing and supply base;
- The potential of the corridor program to enhance energy efficiency and environmental quality;
- The potential of the corridor program to promote interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations); and
- The consideration of other transportation modes in the planning process.

For State Rail Plans:

- The clarity and detail with which the applicant has identified the problems to be addressed by the State's vision for rail transportation and rail investment program;
- The potential for the State rail plan to lead to passenger and freight rail service benefits, including ridership, on-time performance, travel time, service frequencies, goods movement, safety and other factors;
- The potential of the State rail plan to promote economic development, including contributions to a sustainable U.S. manufacturing and supply base;
- The potential of the State rail plan to enhance energy efficiency and environmental quality;
- The potential of the State rail plan to promote interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations); and
- The integration of the State rail plan with the planning processes of other transportation modes.

(2) Future Program Viability and Sustainability.

Please identify:

- The likelihood that the final deliverables (Service Development Plan, Environmental Document, or State Rail Plan) will be ready and capable of being implemented;
- The demonstrated commitment of the State and other stakeholders to quickly execute the program once planning is complete;
- The degree to which the planning process meaningfully incorporates input from affected communities, local governments, regional councils and planning organizations, neighboring States, railroads, transportation modal partners, environmental interests, the public and other stakeholders – early and throughout the process;
- The likelihood that the corridor programs being studied can yield measurable service and public benefits in a reasonable period of time;
- The demonstrated ability of the applicant to support the future capital and operating needs of the corridor(s) being studied;
- The thoroughness of the proposed deliverables;
- The quality of proposed methodology and assumptions; and
- The applicant’s contribution of a cost share greater than the required minimum of 20 percent.

(3) Project Delivery Approach.

Describe qualifications of the applicant and its key partners to successfully complete the planning activities, including the following information:

- The applicant’s financial, legal, and technical capacity to implement the project;
- The applicant’s experience in administering similar grants and planning efforts;
- The soundness and thoroughness of the cost methodologies and assumptions, and estimates for the proposed planning activities;
- The reasonableness and timeliness of the milestone and completion schedule;
- The thoroughness and quality of the Statement of Work;
- The timing and amount of the project's future noncommitted investments;
- The comprehensiveness and sufficiency, at the time of application, of agreements with key partners that will be involved in conducting the planning effort; and
- The overall completeness and quality of the application, including the comprehensiveness of its supporting documentation.

E. Checklist of Application Materials

Required Documents	Reference	Description	Format
<input type="checkbox"/> HSIPR Planning Application Form	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	Form
<input type="checkbox"/> OMB Standard Forms <ul style="list-style-type: none"> • SF 424: Application for Federal Assistance • SF 424A: Budget Information-Non Construction • SF 424B: Assurances-Non Construction 	FY 2010 Planning NOFA Section 3.3.1.2	Please submit through <i>Grants.gov</i>	Form
<input type="checkbox"/> FRA Assurances Document	FY 2010 Planning NOFA Section 3.3.1.3	May be obtained from FRA's website at http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf . The document should be signed by an authorized certifying official for the applicant. Submit through <i>Grants.gov</i>	Form
Optional Supporting Documents	Reference	Description	Format
<input type="checkbox"/> Map of proposed project area	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	None
<input type="checkbox"/> Other supporting documents as identified by applicant	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	None

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