



# TRANSPORTATION SYMPOSIUM 2019

## Transit Project Delivery Process

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# Transit Projects

Federal Transit  
Administration  
(FTA) Funded

Non FTA  
Funded

Today's Presentation focuses on FTA-assisted projects



Federal Transit Administration

# FTA Project

A project is considered an FTA-assisted project only if FTA funds will be spent on construction or vehicle acquisition;

A project that would require FTA approval



# What is the Federal Transit Administration?

- Performs grant administration functions
- Works directly with state DOTs, transit agencies, MPOs and other public entities
- Federal lead agency

## D.C. Office provides:

- Technical assistance on modeling
- Financial planning
- Program guidance and
- Other areas as needed



## Region 4 Office is lead for:

- Environmental reviews
- Grant making
- Program guidance
- Representation at meetings
- Metropolitan and System Planning issues
- Project schedules



All correspondence should be directed to the FTA Region IV Regional Administrator

# FTA Funding Programs

FTA provides transit funding through one of the grant programs

Capital  
Investment  
Grant

Formula

Discretionary

Each of these programs has its own set of guidance and requirements

Capital Investment Grant program is the most common funding source

# Capital Investment Grant (or CIIG) Program

## Discretionary and Competitive Federal Grant Program

- Approximately \$2.3 billion appropriated annually
- Funds light rail, heavy rail, commuter rail, streetcar, and BRT
- Historically average federal share for projects in the program ~50%
- Legislatively directed



# Eligible Projects for CIIG Program

## New Starts

Total cost  $\geq$  \$300 million or  
Total NS funding sought  $\geq$  100m

Eligible projects include:

- New fixed guideway system (light rail, commuter rail etc.)
- Extension to existing system
- Fixed guideway BRT system

## Core Capacity

Existing fixed guideway systems that are at capacity or will be in 5 years

Must increase capacity by 10%

Eligible projects:

- Acquisition of right of way
- Double tracking
- Signalization improvements
- Expanding platforms
- Addition of rolling stock

## Small Starts

Total cost  $<$  \$300 million  
Small Starts share is  $\leq$  \$100m

Eligible projects include:

- New fixed guideway systems (light rail, commuter rail etc.)
- Extension to existing system
- Fixed guideway BRT system
- Corridor-based BRT system

# Fixed Guideway System

A public transportation system that occupy designated right-of-way or rails including without limitation rapid rail, light rail, commuter rail, busways, automated guideway transit, and people movers





# CIG Program

Requires FTA evaluation and approvals to obtain CIG funding

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FTA approval uses two sets of criteria:

- 1 Project justification
- 2 Local financial commitment

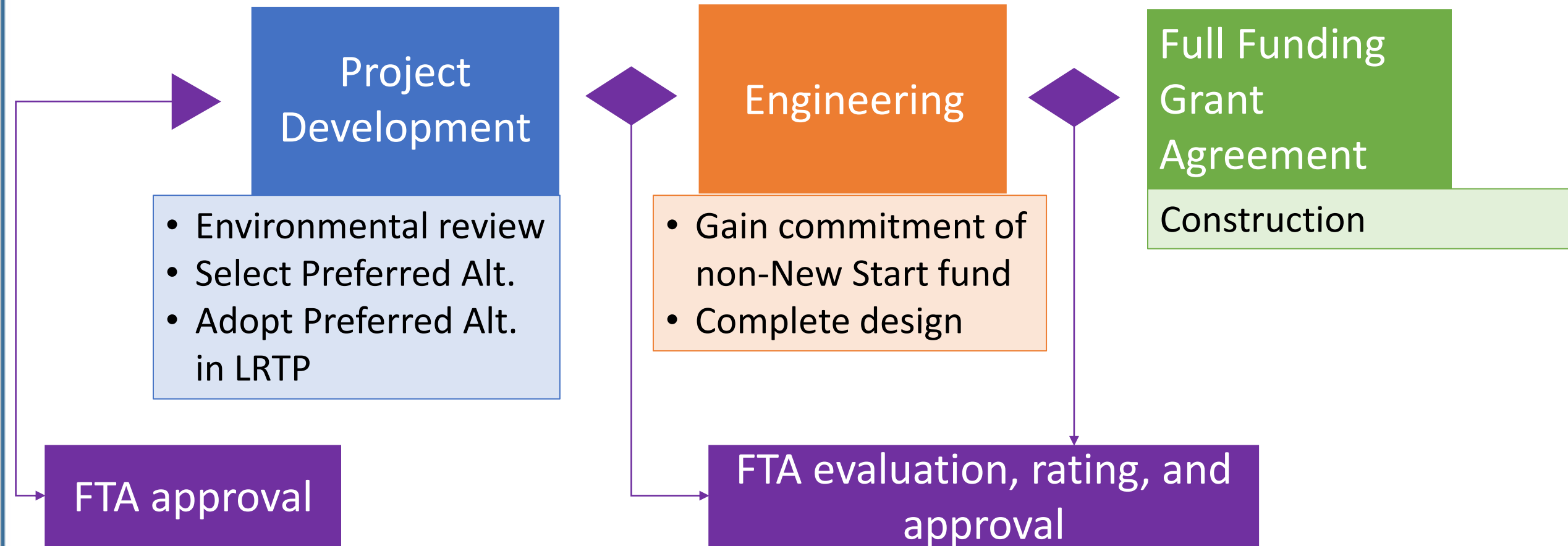
# Key to Success

- 1 Sound planning principles
- 2 Committed leadership
- 3 Community support
- 4 Realistic funding plan



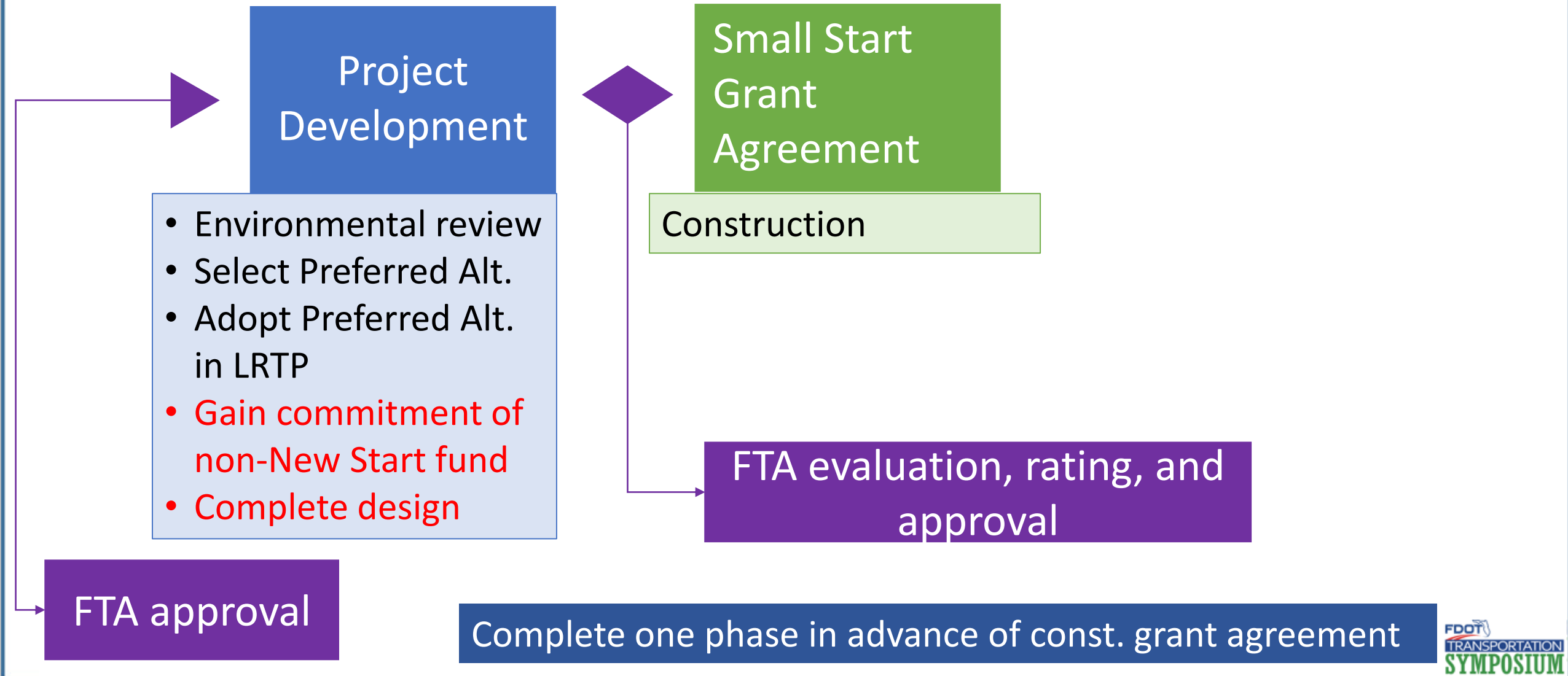
This requires  
understanding of the  
Transit Project  
Delivery process

# New Starts and Core Capacity Process



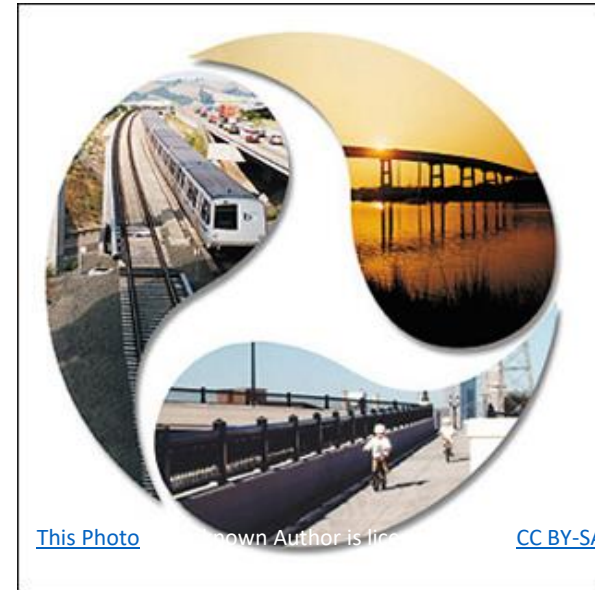
Complete two phases in advance of receipt of a construction grant agreement

# Small Starts Process



# Understand the Process

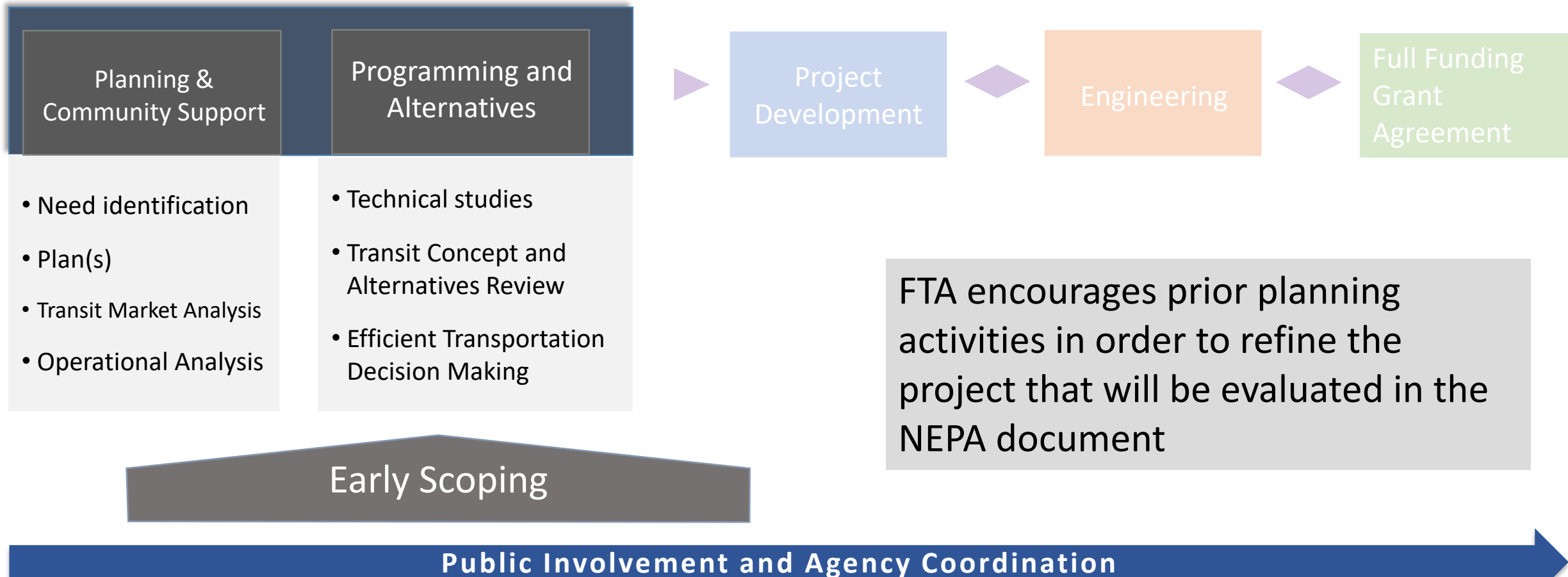
Sponsors of CIG projects should become familiar with **transportation planning** and **environmental review (or NEPA)** process requirements that apply to projects funded by FTA



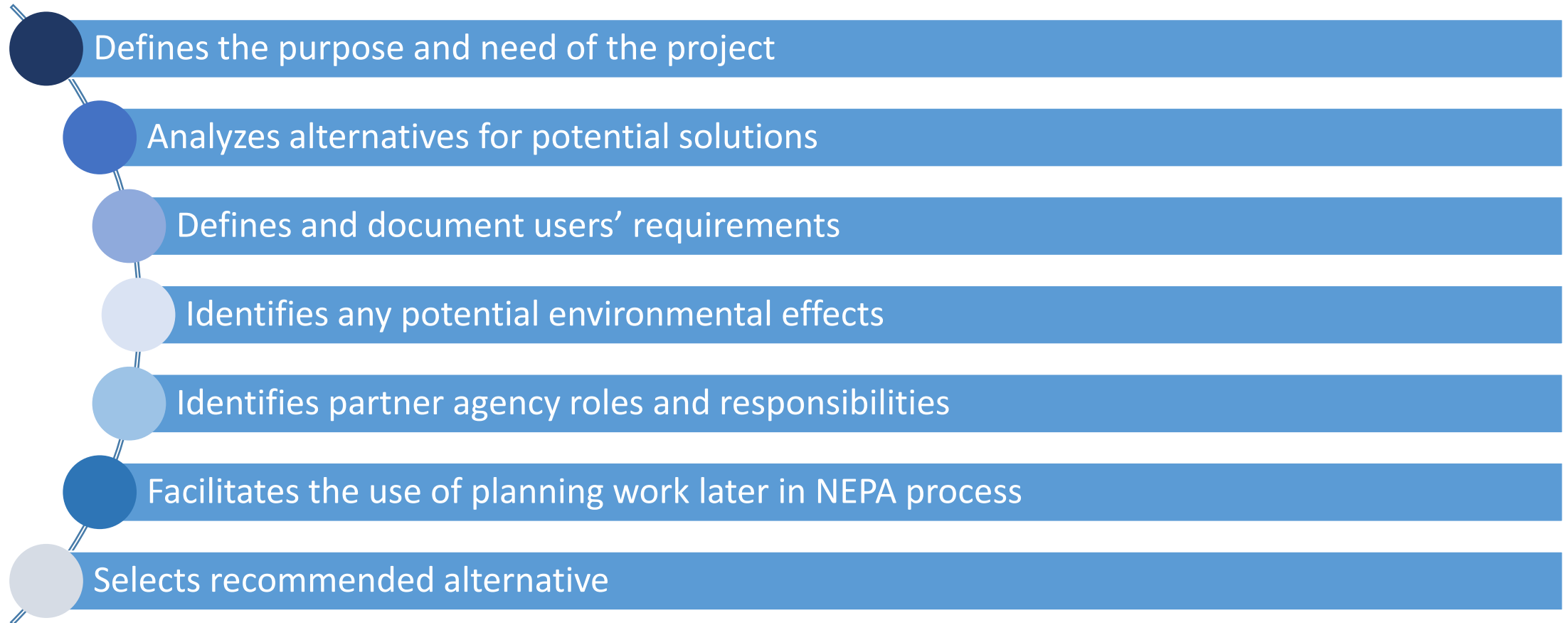
NEPA



# Transportation Planning Process



# Transit Concept and Alternatives Review (TCAR)



**TCAR is how FDOT completes prior planning activities**

# Efficient Transportation Decision Making (ETDM)

- Determines potential impact of operations on the environment
- Identifies environmental flaws of the alternatives proposed
- Supports alternatives analysis in TCAR

**FTA does not participate in the ETDM screening events**

FTA is not an ETAT member

Information from ETDM screening helps to prepare project initiation

**FTA requires preparation of a Coordination Plan outside ETDM**

# Project Initiation

## Request to Enter Project Development phase

- Sponsor, any partners, project manager and other key staff
- Project description (Recommended Alternative)
- Purpose and need
- Cost estimates and funding strategies
- Draft schedule for completing the project
- Summary of prior planning work

FTA has 45 days to respond

# NEPA Compliance Is Required

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NEPA is required whenever there's a federal action



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Under the federal surface transportation statutes (23 USC Highways and 49 USC Transportation), the Secretary of USDOT must ensure NEPA mandates have been met before approving applications for federal financial assistance



# NEPA Compliance Is Required

- The NEPA requires the Agency to avoid, and minimize impacts to the extent possible during project development.
- The Agency must comply with federal and state environmental requirements before proceeding to final design and real estate acquisition

NEPA provides an umbrella and “how to” guidelines for addressing many other federal and state requirements and laws governing environmental protection



How does a Project Sponsor comply?

# FTA's NEPA Regulations

## 23 CFR 771

- Codifies the joint FTA/FHWA process for complying with NEPA and the federal surface transportation statutes
- Provides agencies' policy of combining all environmental analyses and reviews into a single process
- Defines the roles and responsibilities of FTA and its grant applicants in preparing documents, and in managing the environmental process within the various project development phases



### **Key Point:**

FTA owns the NEPA process and is responsible for ensuring NEPA compliance

# FTA Owns the NEPA Process

- Determines if and when it will be involved in the environmental review
- Decides if there is an FTA action
- Determines the appropriate time for project initiation
- Requires PD phase be completed within two years
- Advises sufficient project planning to meet this timeframe
- Provides checklists that will help evaluate potential impacts
- Makes the Class of Action determination
- Approves Environmental Document

# FTA Owns the NEPA Process

FTA does not generally conduct NEPA reviews for projects with no FTA funding identified or planned in the LRTP, but that decision is at the discretion of the Regional Administrator



# Within TWO Years, Project Sponsor Must

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Complete NEPA and obtain FTA approval

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Identify and adopt local preferred alternative in the LRTP

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Complete 30 percent design and engineering

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Assemble information for FTA to evaluate and rate the project

Small Starts are excluded from two year requirement

# Opportunities to Accelerate Project Delivery

## FAST ACT

Section 1304

Requires that the lead agency reduce duplication

Section 1305

Adopting planning studies or products in NEPA

Section 1310

Broadening the use of CEs for multi-modal projects

Section 1313

Concurrent environmental review and permitting

# 30 percent Design and Engineering

- Project Management Plan (PMP)
- Project definition
- Cost Estimate
- Schedule
- Third Party Agreements and Right-of-Way
- Geotechnical
- Project Delivery Method
- Value Engineering (VE) Report
- Safety
- Accessibility
- Constructability Review Report

Sufficient to determine Scope, Cost, Schedule

FTA intends to lock in the CIG amount at the level requested with entry into Engineering

Item	Description	OP	PMOC Review	✓
			staff:	
			(9) PMP Subplans should include the Quality Assurance / Quality Control Plan, Safety and Security Management Plan, Real Estate Acquisition Management Plan, and Bus and Rail Fleet Management Plans.	
2.2	Environmental mitigation/assessment documented	20	(1) Description of Mitigation Principles	
			(2) Plan for Management and Implementation of Mitigation Actions	
2.3	Design Procurement and Control Plan	20	(1) Design contracting plan for the Engineering Phase	
			(2) Description of relationship between forecast ridership, operating plan and proposed project transit capacity in guideways, stations, support facilities	
			(3) Design Criteria for each discipline	
			(4) Schedule for the development of contract documents (level of development expected at each milestone for design/construction drawings, specifications, general and supplementary conditions of contracts for construction, and the Division 1)	
			(5) Plan / procedures for Design Drawings and Specifications	
			(6) Procedures for Design Change and Configuration Control of documents during Design and Construction	
			(7) Plan (List and schedule) for third party agreements and permits including utilities, real estate, railroads, transit-oriented development/joint development, etc.	
			(8) Investigation and Testing Plan (List and schedule) for site surveys, geotechnical and materials investigation before/during design.	
2.4	Project Controls	20	(1) Document and Records Controls	
			(2) Internal reporting procedures	
			(3) Cost Control Procedures	
			(4) Schedule Control Procedures	
			(5) Risk Control Procedures	
			(6) Dispute / Conflict Resolution Plan (claims avoidance and claims resolution)	
2.5	Project construction delivery and procurement plan	20	(1) Procedures for Procurement	
			(2) Procurement Plan and Schedule	
			(3) Contracting Strategy for Transit-Oriented Development and Joint Development, if applicable	

# Project Evaluation and Rating Criteria

FTA approval uses two sets of criteria:

## 1 Project justification

Mobility; environmental benefits; congestion relief; economic development; land use; cost effectiveness

## 2 Local financial commitment

Acceptable degree of local financial commitment including evidence of stable and dependable financing sources

## Individual Criteria Ratings

Mobility Improvements  
(16.66%)

Environmental Benefits  
(16.66%)

Congestion Relief  
(16.66%)

Cost-Effectiveness  
(16.66%)

Economic Development  
(16.66%)

Land Use (NS or SS) or  
Capacity Needs (CC) (16.66%)

Current Condition  
(25%)

Commitment of Funds  
(25%)

Reliability/ Capacity  
(50%)

## Summary Ratings

Project Justification<sup>†</sup>  
(50% of Overall Rating)

<sup>†</sup>Must be at least "Medium"  
for project to get "Medium"  
or better Overall Rating

Local Financial  
Commitment<sup>†</sup>  
(50% of Overall Rating)

<sup>†</sup>Must be at least "Medium"  
for project to get "Medium"  
or better Overall Rating

## Overall Rating

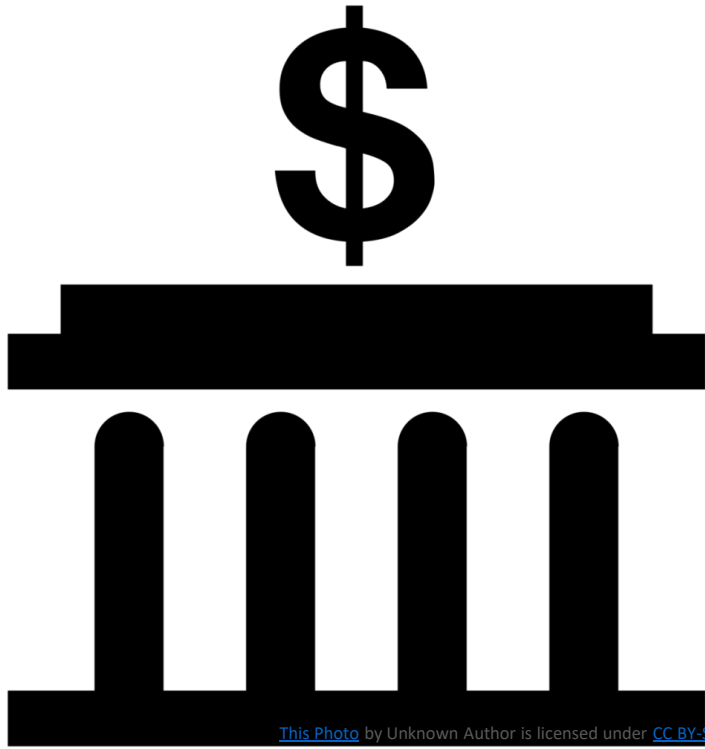
Overall Project Rating

Evaluation and Rating





# Getting a Construction Grant



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- Completed the steps in law
- Obtained at least Medium rating
- Included in the President's budget
- CIG funding appropriated by Congress
- All non-CIG funding committed
- Critical 3rd party agreements signed
- FTA readiness requirements met
  - Reliable cost, scope, and schedule
  - Technical capacity to do project



SCOPE OF SERVICES  
FOR

COMPLETION OF TRANSIT CONCEPT ALTERNATIVES REVIEW (TCAR) AND  
FEDERAL TRANSIT ADMINISTRATION (FTA) CAPITAL INVESTMENT GRANT  
(CIG) NEW STARTS PROJECT DEVELOPMENT (PD)

<Insert Project Name with Location>

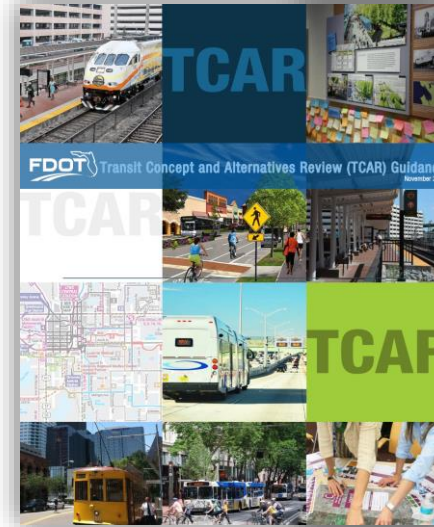
<Insert District Name>

<Insert County Name>

This Scope of Services is an attachment which is incorporated into the agreement between the State of Florida Department of Transportation (hereinafter referred to as the DEPARTMENT or FDOT) and (hereinafter referred to as the CONSULTANT) relative to the transit facility described as follows:

Financial Project ID: <Insert FPID>  
Work Program Item No.: <Insert WP Item No>  
Federal Aid Project No.: <Insert FAP No>  
ETDM No.: <Insert ETDM No>  
County Section No.: <Insert County Section>  
Bridge No.: <Insert all Bridge Nos>  
Rail Road Crossing No.: <Insert RR Xing Nos>  
Anticipated Class of Action: <Insert COA>

# New Starts Standard Scope of Services



## TCAR Guidance

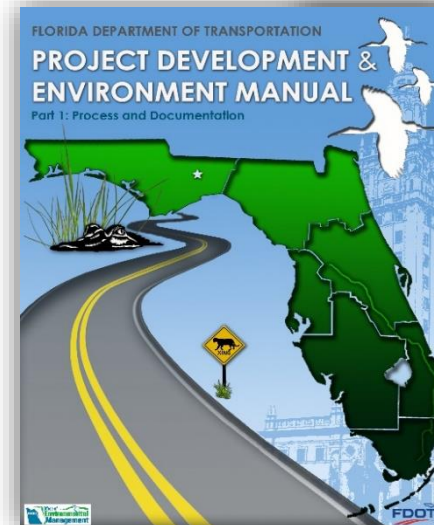
# RESOURCES



### Final Interim Policy Guidance Federal Transit Administration Capital Investment Grant Program

June 2016

## FTA Final CIG Policy Guidance



## PD&E Manual Part 1, Chapter 14

# Thank you...

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