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Federal Transit
Administration

Reporting Instructions for the Section 5309 Capital Investment Grants Program

New Starts

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Prepared by:

Federal Transit Administration

Office of Planning and Environment

NOTICE

This document is disseminated under the sponsorship of the U.S. Department of Transportation in the interest of information exchange. The United States Government assumes no liability for its contents or its use.

For additional guidance on the Capital Investment Grants program evaluation criteria, and for specific questions related to this document, contact Susan Eddy, Director, Office of Capital Project Development, Federal Transit Administration, Washington, DC, at (202) 366-5499 or susan.eddy@dot.gov.

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I. Introduction

The Federal Transit Administration (FTA) has produced these *Reporting Instructions for the Section 5309 Capital Investment Grants Program* ("*Reporting Instructions*") to inform sponsors of proposed New Starts projects of the information they must provide to FTA so that it may undertake the statutorily required evaluation and rating of the project. These *Reporting Instructions* take effect immediately and remain applicable until updated *Reporting Instructions* are released by FTA. Companion documents published by FTA with these *Reporting Instructions* include the New Starts Standard Cost Category (SCC) Workbook and Templates.

These *Reporting Instructions* do not outline all the steps or requirements of the Capital Investment Grants (CIG) Program. Project sponsors should read and understand the *Capital Investment Grants Program Policy Guidance* published in December 2024 before using these *Reporting Instructions* [see *2024 CIG Policy Guidance*].

FTA reviews and evaluates the information submitted by project sponsors according to these instructions to:

- Assign ratings to proposed New Starts projects for the purpose of deciding whether projects may advance into the Engineering phase of the New Starts process;
- Assign ratings to proposed New Starts projects for the *Annual Report on Funding Recommendations* ("*Annual Report*"); and,
- Determine final ratings for New Starts projects prior to a Full Funding Grant Agreement (FFGA).

FTA emphasizes that project sponsors may request advancement into Project Development or Engineering at any time throughout the year and need not tie advancement to the *Annual Report* schedule. Project sponsors should talk to their assigned FTA staff member in the FTA Headquarters Office of Planning and Environment to determine what needs to be submitted and when.

Parallel sets of reporting instructions for Small Starts and Core Capacity projects are available on FTA's website at How to Apply.

Reporting Format

Project sponsors should submit information electronically via email to the FTA Office of Planning and Environment staff member assigned to their project. **FTA requests electronic files in their original format (Excel/Microsoft Word/etc.) and not PDF files. When submitting a financial cash flow electronically in Excel format, sponsors must submit a version with the formulas included and not just a version with hardcoded numbers.**

As a reminder, New Starts project sponsors must use the most recent New Starts SCC Workbook issued by FTA for reporting the capital cost and schedule for their proposed project. Sponsors of projects that are joint intercity rail and public transportation projects must use the SCC Workbook for joint intercity rail and public transportation projects. Project sponsors should report costs in 2025 constant dollars and use the most recent New Starts Templates issued by FTA.

The New Starts SCC Workbook and Templates include formulas and locked cells to ensure validity and consistency in the FTA evaluation and rating process. The cells are marked as follows:

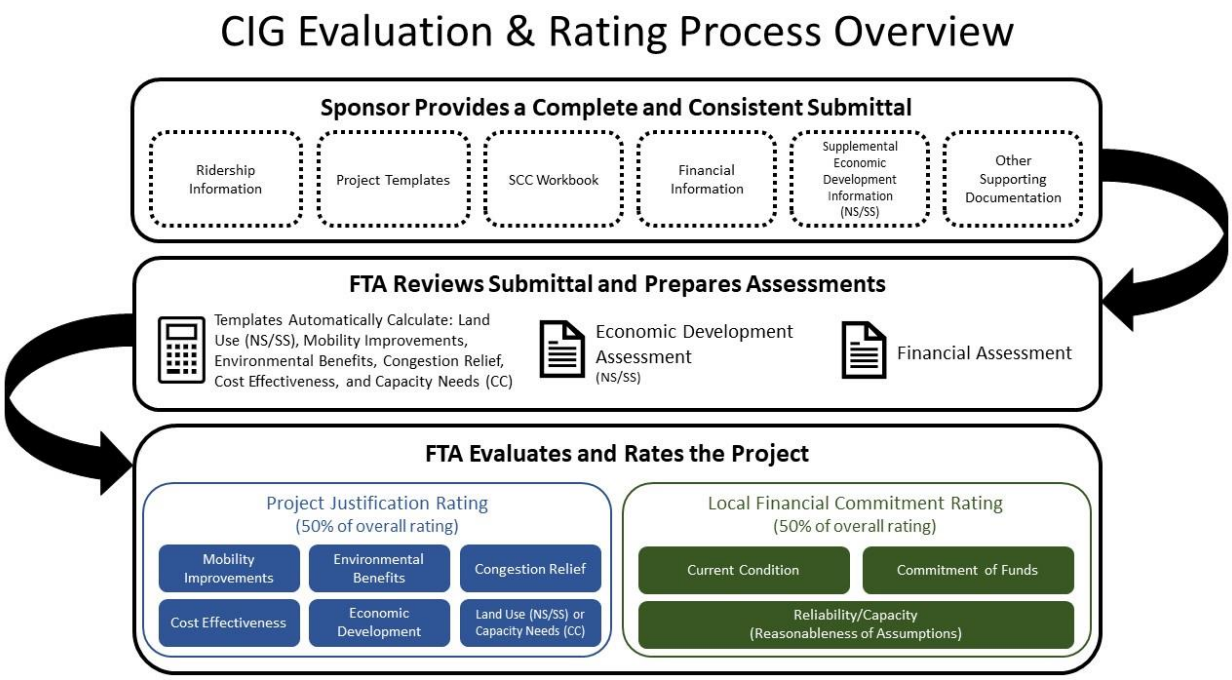
- White cells require data entry by the project sponsor.
- Gray or green shaded cells are locked to protect FTA formulas and calculations that generate information for project evaluation and rating.

Project sponsors should enter information in the white data entry cells. **Project sponsors should not unlock, alter, or otherwise modify the SCC Workbook or Templates.** Project sponsors who submit an SCC Workbook and/or Templates that have been altered or changed will be required to submit revised information using the original, unaltered SCC Workbook and Templates. This will delay FTA's evaluation and rating of the project.

Project sponsors should include with their submittal a cover letter addressed to FTA's Associate Administrator for Planning and Environment from the Chief Executive Officer (CEO) of the sponsoring agency attesting that the technical approaches and assumptions used are consistent with FTA's *Reporting Instructions* and *CIG Policy Guidance*. If a project sponsor finds it necessary to deviate from FTA's guidance, the letter should identify any differences and explain why. Any such differences should be discussed with FTA's Office of Planning and Environment in advance so that appropriate guidance can be provided. The cover letter should also summarize what changes were made to the project and to the information in the submittal since the last FTA evaluation and rating and explain the reasons those changes were made. Specific details on any changes should be provided. For example, if changes were made to the inflation assumptions in the SCC Workbook, those changes and the associated reasons should be summarized.

The New Starts Templates include a tab that provides a ratings summary that project sponsors can use to estimate their rating. The Ratings Summary Template automatically populates several of the project justification criteria ratings from the Land Use, Mobility, Cost Effectiveness and Congestion Relief, and Environmental Benefits Templates. Estimated ratings for economic development and local financial commitment must be entered by the project sponsor. This tool is provided by FTA to help project sponsors understand how their project might rate based on information sponsors enter in the templates. The final rating assigned by FTA may differ.

The graphic below is an overview of the evaluation and rating process.



New CIG Policy Guidance

FTA released new *CIG Policy Guidance* on December 17, 2024. This new *CIG Policy Guidance* became effective on January 16, 2025. FTA is exempting certain projects from following the new *CIG Policy Guidance*. Specifically, projects already in the Project Development or Engineering phases of the CIG program as of December 17, 2024, that have been evaluated and rated at least once by FTA under the *2023 CIG Policy Guidance* and that meet the requirements for receipt of a CIG construction grant award by the end of calendar year 2025 are exempt from following the new *CIG Policy Guidance*. These projects may continue to follow the *2023 CIG Policy Guidance*. To demonstrate a project has met the requirements for receipt of a construction grant award by the end of calendar year 2025, the project sponsor must submit a complete construction grant application to FTA no later than September 1, 2025. If a project sponsor desires to have an exempt project evaluated and rated under the new *CIG Policy Guidance* rather than the *2023 CIG Policy Guidance*, the sponsor may notify FTA of this desire. Sponsors of projects exempt from following the new *CIG Policy Guidance* should contact their CIG team leader for unique *Reporting Instructions*, SCC Workbooks, and Templates. All other projects will follow these January 2025 *Reporting Instructions* and use the FY 2027 SCC Workbooks and Templates.

Contacting FTA

For additional guidance on the CIG program evaluation criteria, and for specific questions related to this document, contact Susan Eddy, Director, Office of Capital Project Development, Federal Transit Administration, Washington, DC, at (202) 366-5499 or susan.eddy@dot.gov.

II. Principles to Ensure a Level Playing Field for Comparison of Projects

FTA strives to create a "level playing field" upon which a wide variety of candidate projects compete for funding. This section summarizes FTA's key principles to ensure consistency in project evaluations and ratings. Please visit FTA's Capital Investment Grants Program webpage for additional guidance.

Time Horizons

FTA requires sponsors of proposed New Starts projects to calculate the measures for the evaluation criteria using current year inputs. The current year is defined as the most recent year for which demographic and transit usage data are available. The current-year build scenario must reflect the opening year service plan. At their option, sponsors may also calculate the evaluation criteria using a horizon year, either 10 or 20 years in the future. Horizon years are based on available socioeconomic forecasts from metropolitan planning organizations (MPO), which are generally prepared in five-year increments such as for the years 2030 and 2035. The year 2045 may be used as the horizon year if the area's MPO has officially adopted 2045 as its planning horizon year.

Points of Comparison

Most evaluation measures are based on absolute rather than incremental values. Where a basis for comparison is required to calculate the evaluation measure, the no-build will be the point of comparison. The no-build scenario is defined in the table below.

Analysis year	**No-Build Point of comparison**
Current	Existing transportation system (excluding the proposed New Starts project)
10-year horizon	Existing transportation system plus transportation investments committed in the Transportation Improvement Program (TIP) pursuant to 23 CFR 450 (excluding the proposed New Starts project). Project sponsor should use the TIP that is in place at the time that the sponsor seeks entry into the Engineering phase. If forecasts are updated later, as required when there is a significant change in the project, the point of comparison would include the projects in the TIP at that time.
20-year horizon	Existing transportation system plus all projects identified in the metropolitan planning organization's fiscally constrained long range transportation plan (excluding the proposed project)

In cases where a CIG project is part of a multimodal package that includes infrastructure for other modes such as highway expansion, the components of the package that are not proposed for CIG funding are not evaluated as part of the project. If a proposed project is proposed to be

built in phases, FTA generally evaluates and funds each phase separately. Thus, only the phase currently seeking CIG funds would be evaluated according to the criteria.

Cost Estimating Assumptions

A project's capital cost estimate includes costs for planning, design, and construction. It includes labor and materials for construction of the improvement – such as guideways, stations, support facilities, sitework, special conditions and systems – as well as costs for vehicle design and procurement, environmental mitigation, right-of-way acquisition, relocation of existing households and businesses, planning, facility design, construction management, project administration, finance charges, and contingencies. Project sponsors must use the most recent SCC Workbook issued by FTA for reporting the capital cost and schedule of their proposed project. Project sponsors should report costs in 2025 constant dollars.

FTA expects the cost estimate for the project to be up to date, based on unit costs that apply to expected conditions during construction, and specifically identify remaining uncertainties in those unit costs. Similarly, estimates of operations and maintenance costs should be based on current local experience, adjusted for differences in vehicle and service characteristics, and, for any transit modes new to the system, consistent with experience in similar settings elsewhere.

III. General Reporting Information

This section describes information that must be submitted to FTA for project evaluation and rating. Appendix A provides a short summary of the required general reporting and project justification information.

III.1. Project Background Information

The following subsections describe information necessary for FTA to understand the project, its planning context, and how (and why) it addresses the identified transportation problems in the corridor. Project background information comprises the three items described in this section:

- Project Description Template;
- Project Narrative; and
- Project Maps.

Project Description Template

Project sponsors must provide descriptive information on the proposed project and the regional public transportation system. FTA uses the information in the Project Description Template to understand the project characteristics and obtain local contact information. All project sponsors must submit this template to FTA.

Project Narrative

A project sponsor may submit to FTA at their option a short (no more than five-page) narrative that succinctly describes the benefits of the proposed project. This document helps to familiarize FTA with the proposed project and its rationale; it does not affect a project's rating. The short narrative should describe key project outcomes drawn from planning studies performed by the project sponsor that were used as the basis for selecting the proposed project.

Below is an outline of what the narrative could contain.

- **Project Identification**. In two or three short sentences, provide the essential characteristics of the proposed project: its location, length, termini, number of stations, hours of service, and frequency by time period.
- **Setting**. Along with a good map of the corridor, in a few paragraphs describe the key elements of the setting such as the major activity centers within the corridor, significant highway facilities, existing transit facilities like fixed-guideways and transfer centers, and the alignment of the proposed project.
- **Current Conditions**. Important conditions might include: the population and employment of the corridor and any major activity centers within the corridor; congestion levels on important highway facilities; existing transit shares; ridership volumes; and any key attributes (capacity issues, rider characteristics, etc.) that are important for the project. Highlight the principal functions of transit services in the corridor, focusing on

whatever limitations exist on the performance of the transit system. Focus on the corridor itself, rather than the metropolitan area.

- **Conditions in the Horizon Year (if applicable)**. If a project sponsor opts to submit horizon year data to FTA, the narrative might describe the anticipated changes in key corridor characteristics between today and the horizon year – absent significant transit improvements in the corridor. Particularly in rapidly growing corridors, this would highlight major changes in demographics, travel patterns, volumes and speeds on major highway facilities, the service quality and capacity of transit services, and anticipated transit ridership. The discussion should make clear the key functions of the transit system in the corridor and highlight whatever limitations are anticipated on its performance. As with the discussion of current conditions, this section must focus on the key characteristics of the corridor itself rather than aggregate information on broader geographical areas.
- **Purpose of the Project**. Succinctly describe the specific ways that the proposed project will address the problems identified in the corridor.
- **Merits of the Project**. Describe how the project addresses the purpose more effectively compared to other alternatives.
- **Summary**. In one paragraph draw together the key points made in the document. Highlight the conditions that motivate consideration of the transit improvement, the specific purpose of the project, and the ways that the project succeeds in addressing the purpose.

Project Maps

All sponsors must submit an electronic map of their proposed project. To ensure compatibility, maps should be created in a geographic information system (GIS) program such as MapInfo, ArcInfo, Maptitude, or TransCAD. In lieu of a GIS-based map, a clearly legible map of the project may be submitted. All maps should be submitted to FTA in Adobe Acrobat (PDF) format.

To ensure consistency among projects, maps submitted to FTA must include the following features:

- A title indicating the project's name and primary city and state.
- The alignment of the project, not including future proposed extensions of the proposed project or extensions to the existing transit system. For example, if the project is an initial operating segment, then only the initial operating segment should be shown on the map. The map should be scaled to the project; also, the line style used to depict the project's alignment should be easily distinguishable from styles used for other transportation infrastructure.
- Stations included in the project, labeled, and marked in a distinguishable manner from existing transit stations. Stations with park and ride facilities should be further distinguished from others, either via markings or labels.

- Any transit vehicle maintenance or storage facilities to be constructed as part of the project.
- Street, highway, and railroad networks in the area surrounding the project, with major streets' names and highways' designations labeled as appropriate.
- Key connecting mass transit lines including existing stations, particularly if the project represents an extension of an existing line.
- Major water bodies with names labeled as appropriate.
- Names of cities and/or counties to be served by the project, with jurisdictional boundaries demarcated as appropriate.
- A legend, scale, and compass.

Elements of the maps should be distinguishable when reproduced in grayscale. The map should fit on one 8.5 by 11-inch paper, with one-inch margins. Maps may be provided in landscape or portrait orientation depending on the alignment of the project; typically, north-south alignments are provided in portrait orientation and east-west alignments are provided in landscape orientation.

III.2. Travel Forecasts

Project sponsors may choose to predict trips using one of three basic approaches: their own locally adopted travel forecasting procedures, FTA's forecasting tool entitled Simplified-Trips-on-Projects Software (STOPS), or, in some cases, an incremental data-driven method.

The chosen forecasting method should be discussed with FTA well before the submittal of information by the project sponsor for project evaluation and rating. Such discussions will involve a review of the forecast methodology validation and input assumptions specific to the project. FTA's travel forecasting webpage provides timelines (by method) for submittals in advance of a project rating request.

For project sponsors seeking an evaluation and rating, FTA requires sponsors to meet with its Systems Planning and Analysis team two months prior to their submittal. Therefore, for those seeking an evaluation and rating as part of the *FY 2027 Annual Report* (which has a deadline of August 22, 2025, for a complete submission), FTA requires project sponsors to meet with the Systems Planning and Analysis team prior to June 21, 2025. Please contact Jeff Roux at Jeffrey.Roux@dot.gov or (202) 366-1806 to schedule this required meeting. Appendix B contains a meeting agenda for this discussion. FTA welcomes project sponsors to add additional items to the agenda. The due dates for travel forecasting materials to be submitted to FTA for the *FY 2027 Annual Report* are:

- Submissions with methods other than STOPS – On or before June 30, 2025
- Submissions with STOPS – On or before July 25, 2025

Due dates for travel forecasting materials to be submitted to FTA for submissions other than for the *FY 2027 Annual Report* will be discussed at the first meeting.

Project sponsors submitting ridership information to demonstrate eligibility for the use of Project Justification Warrants are not required to meet with FTA. However, they are required to submit their information to FTA one month in advance of their full submittal. The due date for submitting information to demonstrate eligibility for Project Justification warrants for the *FY 2027 Annual Report* is July 25, 2025.

Travel forecasting deadlines for the *FY 2027 Annual Report* are summarized in the table below.

Sponsor meeting with FTA's Systems Planning and Analysis team	Prior to June 21, 2025
Submission of travel forecasting materials using methods other than STOPS	On or before June 30, 2025
Submission of information demonstrating eligibility for Project Justification warrants	On or before July 25, 2025
Submission of travel forecasting materials with STOPS	On or before July 25, 2025

If STOPS is chosen as the method used, documentation of the methodology, validation, and a detailed review by FTA are not necessary. However, project sponsors who prepare the forecasts using STOPS must provide FTA with an electronic copy of their STOPS application, including both the inputs and the output reports.

The following items must be submitted concurrently to FTA in support of the travel forecasts:

- Travel Forecasts Template;
- Forecast Results Report; and
- Supporting tabulations.

Travel Forecasts Template

The Travel Forecasts Template includes the data used to calculate the mobility improvements, congestion relief, cost effectiveness, and environmental benefits criteria. This information is entered once by the project sponsor in the Travel Forecasts Template and then automatically populated in the other templates to avoid the need for project sponsors to enter duplicate information.

All project sponsors are required to submit a current year forecast. At their option, project sponsors may also choose to submit a horizon year forecast either 10 or 20 years in the future. The horizon year must be selected in the Project Description Template. A selection of "none" signifies that the project sponsor is foregoing the optional horizon-year analysis and the cells for horizon-year entries in the Travel Forecasts Templates are shown in gray indicating no inputs are necessary.

Project sponsors seeking project justification warrants enter "Yes" to the question on this topic found on the Project Description Template. They also enter existing weekday transit trips in the corridor on the Project Description Template. They use the Travel Forecasts Input Template to

input only the Vehicle-Miles of Travel (VMT) information at the bottom of the template. Other cells are shaded in gray signifying no inputs are necessary.

- Trips On the Project Section:
    - Daily linked trips on the project, non-transit dependent users (Lines 1a and 2a): the number of daily linked trips using any part of the proposed project, excluding trips made by transit-dependent persons or the "special market" trips identified in Lines 3-6. Please contact FTA's Office of Planning and Environment with any questions regarding project trips.
    - Daily linked trips on the project, transit dependent users only (Lines 1b and 2b): the number of daily linked trips using any part of the proposed project made by transit dependent persons. Transit-dependent trips are represented in STOPS and most local models as trips made by individuals from households that do not own a car, but some local models may instead represent them as trips made by individuals in the lowest household income category.
    - Special market project trips per-event and per-day by market (Lines 3-6): the number of trips on the proposed project per-event or per-day for each special travel market not considered by the travel model and for which ridership estimates were prepared "off model." Per-event markets include sports venues, concerts, and other intermittent activities. Per-day markets include air passengers, circulation travel, and other markets that are present every day.
    - Annualization factors: the factors needed to compute annual totals from the daily estimates provided by the travel models and special event trips. Because trips generated by the special markets are annualized separately, the annualization factor reported for lines 1 and 2 must exclude the effects of special markets.

      For daily linked trips on the project (lines 1 and 2), the annualization factor should be consistent with local experience in the existing transit system and also appropriate to the proposed operating plan. For special market trips (lines 3-6), market-specific annualization factors should be used and explained. For example, a venue for major league baseball should have an annualization factor of approximately 81 because every year each major league team plays 162 games, 81 as the home team and 81 as the visitor.

      In addition to filling out the annualization factors in the Travel Forecasts Templates, a written justification for the annualization factors should be provided to FTA.
    - New Transit Trips (line 9): the number of total new daily linked transit trips using any part of the proposed project. This is an incremental value based on the comparison of daily linked transit trips in the build and the no-build alternatives.
- Vehicle-Miles of Travel (VMT) section:
    - Daily VMT, automobile (Line 10): the total weekday VMT by automobile (any occupancy) for the no-build and build scenarios. Estimates of changes in VMT come from either the local travel model or STOPS. With STOPS, project

sponsors will need to use an appropriate auto occupancy to convert the STOPS-predicted changes in automobile passenger-miles of travel to change in VMT. The annualization factor for automobile VMT should be the same as the transit annualization factor entered for trips on the project in lines 1 and 2.

- Annual VMT, transit modes (Lines 11 through 19): the annual VMT for the no-build and build scenarios for each mode of public transit that has different service levels in the two scenarios. If a mode exists in a project sponsor's region but will not be affected by the proposed project, nothing needs to be entered for that mode because there would be no change in VMT between the no-build and build alternatives. Annual VMT totals for each mode that will be affected by the project should be calculated based on service plans. For rail transit modes, car mileage should be reported rather than train mileage.

Travel Forecast Results Report

The travel forecast results report focuses on the forecasts themselves rather than on the methods used to prepare the forecasts. Documentation on the methods used to prepare the forecasts should have been previously submitted and discussed with FTA. The results report provides a narrative describing the key characteristics of the forecasts. It is a concise, plain-English narrative of the primary mobility benefits of the project as indicated by the travel forecasts, including:

- the markets that the project serves and the difficulties those markets face (transportation and/or economic);
- the way the project improves transit service to address those difficulties;
- project station-to-station travel times and the methodology used to derive them;
- the way overall transit ridership responds to the implementation of the project;
- the resulting trips on the project;
- uncertainties inherent in all these items;
- discussion of the reasons for any large changes in district-to-district trips from no-build to build (or from current year to horizon year, as applicable) that will help FTA reach an overall conclusion of forecast plausibility;
- summary figures as appropriate to support the narrative; and
- an index of the supporting tabulations for easy reference.

Supporting Tabulations

The travel forecasts results report includes a series of summary tabulations of forecast results. Such tabulations should be provided as spreadsheets that are sized and formatted to be easily readable on a computer screen. Sponsors are encouraged to package the information into as few electronic files as possible using multiple pages or spreadsheet tabs. FTA can provide a sample formatted spreadsheet if requested, but the characteristics of each project are different and thus

the size and layout of the tables may vary. Hard-copy paper printouts of the tabulations included in the spreadsheet files should not be provided to FTA. Electronic prints, in the form of a single PDF file of all tabulations, may be provided in addition to the spreadsheets to assist FTA with its review, but are not required.

The summaries should tabulate the forecasts for the current year and, if used in the project ratings, the horizon year. In cases where the sponsor has used locally developed travel forecasting procedures, the summaries must also tabulate the model-validation forecasts. The summaries are based on a set of summary districts defined by the sponsor to sum zone-to-zone information from the forecasts to a reviewable level of aggregation. The required tabulations are:

1. Demographic and socio-economic characteristics:
    - Information used for trip (or tour) production generation (e.g., households by socio-economic group, population, and workers in households) by Transportation Analysis Zone (TAZ) and summary district;
    - Information used for trip (or tour) attraction generation (e.g., number of jobs by classification type) by TAZ and summary district; and
    - All data fields should be clearly labeled.
2. Highway speeds:
    - For current year forecasts: unweighted average peak and off-peak period speeds computed across all zone-to-zone pairs within each district-to-district cell.
    - For horizon-year forecasts if applicable:
        - unweighted average peak and off-peak period speeds computed across all zone-to-zone pairs within each district-to-district cell; and
        - the horizon-year-to-current-year ratio in each cell of the unweighted average peak and off-peak period speeds tabulations.
3. Linked transit trips (for the no-build and build alternatives, including horizon year if applicable):
    - Trips on the entire transit system for each travel market (trip purpose by time-of-day by transit-access mode by socio-economic stratum), and the grand total across all markets, as represented in the mode choice analysis; and
    - Trips on the project for each of the same travel market breakdowns as discussed in the bullet above.
4. Weekday total and home-based-work person trip tables (district-to-district, with row and column totals). One single set of person trip tables must be used for both the no-build and build forecasts.
5. Weekday transit trip tables (district-to-district, with row and column totals), separately for walk- and drive-access, tabulating:

- Total transit trips and home-based work transit trips -- no-build, build, and changes between the two;
- Trips on the project (by trip purpose and, separately, by access mode);
- The number of zone-to-zone transit trips in the build alternative found in zone-to-zone cells that are zero in the no-build and non-zero in the build;
- The number of zone-to-zone transit trips in the no-build alternative found in zone-to-zone cells that are zero in the build and non-zero in the no-build; and,
- The change in the number of zone-to-zone trips (build minus no-build) found in zone-to-zone cells that are lower in the build than the no-build and non-zero in both.

6. Change in automobile VMT summarized at the district-to-district level. The change in automobile VMT is computed as the difference in automobile trips (both all automobile trips and drive-to-transit trips) between the no-build and build scenarios multiplied by the zone-to-zone automobile travel distance.
7. Transit weekday ridership:
   - For the entire transit system: total system boardings (unlinked trips) by mode, no-build and build.
   - For the project (in trip production-attraction format):
     - Station-to-station transit linked trips. For projects which are extensions to existing services, existing stations may be aggregated for simplicity except for the existing terminus from which the proposed project extends;
     - Station ONs and OFFs and link volumes between stations, by direction; and
     - Modes of access and egress by station.
8. A map (in PDF format) showing the boundaries of TAZs and summary districts, the name and number of each district, and the alignment and station locations of the project, with the park and ride stations clearly marked. Generally, sponsors should include between 15 and 20 districts that are designed specifically to focus on the project, with smaller districts near the project and larger districts elsewhere in the region.
9. A map (in PDF format) and supporting tables of information that show changes in the coded transit route alignments, stop locations, and/or service frequencies between the no build and build scenarios.
10. GIS layers (ArcGIS shape file preferred):
    - the TAZ layer;
    - the summary district layer;
    - a layer containing the alignment and station locations of the project, with the park and ride stations clearly marked; and

- a layer showing changes in the no-build transit routes to accommodate the coding for the build alternative.

Some of the above information may not be available (or may not be readily available) from some local travel forecasting procedures. If local forecasting procedures are unable to produce one or more of these items, project sponsors should contact FTA to discuss possible remedies or a waiver of the individual reporting requirement. Project sponsors should contact FTA prior to preparation of the tabulations to discuss the proposed summary district structure, plus the demographic/network specifications for the current year and (if part of the submission) horizon year.

Sponsors using STOPS are not required to prepare detailed tabulation spreadsheets, because the necessary tabulations are included in the STOPS reporting files and will be included in the required submittal of the STOPS implementation to FTA. Sponsors using STOPS will rely on these tabulations to prepare the written Travel Forecast Results Report. Sponsors must also provide the supporting maps described in bullets 8, 9, and 10 above.

Submittals must include plausible project travel times and anticipated fare policy. Due to increasing CIG program demand and the schedule required to publish the *Annual Report*, project sponsors with major project changes to their initial submittal (e.g., build alternative definition, fare policy) may be required to withdraw their submittal for that *Annual Report* cycle.

III.3. Operations and Maintenance Costs

Project specific operations and maintenance costs are an input to the calculations of cost effectiveness and environmental benefits; system-wide and project specific operations and maintenance costs are a key component of the project financial plan. Project sponsors are required to submit to FTA documentation summarizing how operating and maintenance costs were developed. Additionally, the following considerations apply:

- System-wide and route level operating cost data (and factors) are typically available as part of ongoing operations planning.
- The latest available operating and maintenance cost estimates, accurately reflecting the latest scope and service plan of the proposed project, should be used.

Annual operations and maintenance costs for the proposed project must be reported in Line 4 of the Mobility, Cost Effectiveness, and Congestion Relief Template (the figures are automatically transferred to the Environmental Benefits Template). Both templates are described in more detail in Section IV.

III.4. Capital Costs

This section provides information on the SCC Workbook and general guidelines for when a capital cost estimate should be updated.

Standard Cost Categories

Project sponsors are required to submit capital cost information electronically in the SCC Workbook and provide it to FTA in Excel format (not PDF format). There are two different SCC Workbooks for New Starts project sponsors on the FTA website. Project sponsors should ensure they use the correct one for their type of project. One is specific to joint intercity rail and public transportation projects. The other is to be used by all other New Starts projects that are not joint intercity rail and public transportation projects. Project sponsors must also ensure they use the most recent New Starts SCC Workbook issued by FTA found on the FTA website. The capital cost estimate must be reported in 2025 constant dollars (also known as base year dollars).

The SCC Workbook establishes a consistent format for the reporting of capital cost and schedule information within 10 major cost categories. Project sponsors should refer to the following two worksheets in the SCC Workbook for general guidance on how to input information:

- **SCC Definitions**. This worksheet contains explanations of the individual line items and thus helps to achieve consistent data input by all parties. Contact the FTA Office of Capital Project Management if you have questions or would like to comment on the definitions.
- **Scopes and Activity Line Items (ALIs)**. When applying for a grant from FTA (*any grant*, e.g., Congestion Mitigation and Air Quality, Section 5307, Section 5309, etc.) for your project, use the 14-Series Scopes and ALIs shown on this worksheet to input your grant budget. The 14-Series matches the SCC Categories.

Project sponsors must complete the following worksheets in the SCC Workbook:

- Build Main: Report capital costs by category. Ensure that allocated contingency amounts are entered.
- Inflation: The inflation rates shown in the SCC Workbook are provided only as an example. The project sponsor should input inflation rates representative of conditions in their area.
- Project Description
- Schedule FFGA A4
- Build Annualized: All project sponsors must complete the Build Annualized Current Year worksheet. Project sponsors that opt to submit horizon year forecasts to FTA must also complete the Build Annualized Horizon Year worksheet.
- Funding Source by Category: The Funding Sources by Category Worksheet requires project sponsors to identify all sources of capital funding for the proposed project.
- Funding Source by Year: FTA uses this data to understand the annual CIG funding amounts the project sponsor is requesting along with annual funding amounts from other sources. The information contained in this worksheet should match what is provided in the financial plan submitted to FTA.

SCC Build Annualized Worksheet

The capital cost in constant or base year dollars is estimated by the project sponsor for the proposed project. The Build Annualized Worksheet automatically calculates the annualized cost based on the useful lives of the various cost items and an established discount rate. The annualized cost is an input to the calculation of cost effectiveness and environmental benefits.

The SCC Workbook includes two spreadsheets for Build Annualized Cost—one for the current year and one for the horizon year. Project sponsors who submit only current year travel forecasts only need to fill out the Build Annualized Cost Current Year spreadsheet. Project sponsors who also opt to submit horizon year travel forecasts also need to fill out the Build Annualized Cost Horizon Year spreadsheet. Although the worksheets are filled in automatically, some minor adjustments may be required that are described below.

Below are specific instructions that must be followed when completing the Build Annualized Worksheet:

- Useful Life Assumptions: The Build Annualized Worksheet provides the project sponsor with the opportunity to claim anywhere from 12 to 18 years for the estimated useful life for buses on SCC Line 70.04. If the project sponsor claims a useful life longer than 12 years, documentation demonstrating experience with maintaining buses beyond 12 years (e.g., National Transit Database records) must be provided supporting the reasonability of such a claim.

- Feeder Bus Service: Where new feeder bus service is necessary to support the proposed project, the capital cost for this feeder bus service should be included in the calculation of annualized cost. Note that the cost of this feeder bus service must be manually added to the Build Annualized Worksheet. It should not be included in the Build Main Worksheet because it is not part of the costs eligible for reimbursement under a CIG construction grant. Where new feeder bus service is required, enter the quantity (or increase in quantity) of buses and the total base year capital cost for buses in SCC Line 70.04 of the Build Annualized Worksheet. Note that different quantities and costs may need to be entered in the current year and horizon year Build Annualized Worksheets. For example, the current year Build Annualized Cost would need to include the feeder buses and costs necessary to provide the opening year service plan. The horizon year Build Annualized Cost would need to include the feeder buses and costs necessary to provide the horizon year service plan.

- Additional Capital Costs Needed to Realize Project Trips in the Horizon Year: Some project sponsors assume only the number of vehicles needed for opening year service in the Build Main Worksheet since this is all that is anticipated to be funded under the CIG construction grant. For project sponsors who submit only current year travel forecasts, no further changes are needed to the Build Annualized Current Year Worksheet.

  However, some project sponsors opt to also submit horizon year travel forecasts. In those cases, project sponsors must add to the Build Annualized Horizon Year Worksheet any additional vehicles needed to provide the service plan assumed in the horizon year. This requirement also applies to any other capital cost items needed by the horizon year, such as additional parking spaces or feeder bus services.

Similarly, the financial plan cash flow statement must include the full number of vehicles and other capital items needed to meet the horizon year service plan, so that FTA can be assured the project sponsor has the financial capacity to realize the expected horizon year project benefits.

- Unallocated Contingency: Base Year costs are automatically populated in the Build Annualized Worksheets from the Build Main Worksheet. However, Unallocated Contingency must be manually distributed across the line items according to perceived risks. The same contingency distribution should be used for the current year and horizon year worksheets.
- Enrichments: The Build Annualized Worksheets identify line items that qualify as FTA-defined "enrichments" that can be excluded from the cost-effectiveness calculation. The project sponsor must manually select any items which meet the FTA-definition of enrichments by selecting "yes" within the applicable SCC line item. For any line item claimed as an enrichment, a justification must be provided next to the corresponding line item in the Project Description Worksheet of the SCC workbook. In the Build Annualized worksheets, enrichment values claimed appear at the bottom of the worksheet under "New Starts Enrichments" and are automatically subtracted from the Annualized Cost.

The calculated "Annualized Capital Cost Excluding Enrichments" shown at the bottom of the Build Annualized Worksheets must be entered in Line 3 of the Mobility, Cost Effectiveness and Congestion Relief Template.

Additional Cost Information

Project sponsors are required to submit the following:

- Written Project Description and Scope, including Level of Design
- Project Schedule
    - Basis of the Schedule
    - Schedule file in project sponsor's original format
- Current Capital Cost Estimate
    - Basis of the Estimate or estimating methodology memo
    - Complete cost estimate in project sponsor's original format, including calculations for inflation by year

In previous years, this information was collected by FTA's Project Management Oversight Contractors after the *Annual Report* submittal deadline. Starting in 2025, this information must be included with the sponsor's *Annual Report* submittal.

When to Report Updated Project Cost Estimates

The capital cost estimate should be updated when it no longer accurately reflects the current scope and schedule of the project, triggered by either an expansion or reduction in the scope or schedule. The update should be accompanied by a brief explanation of what changed and why. More specifically, a project capital cost estimate should be updated when any of the following events occurs:

- Requests to Advance Through the Process
    - The project sponsor requests entry into the Engineering phase or requests a construction grant.
- Scope changes
    - Design and construction scope of work changes - Horizontal or vertical alignment, number or type of stations, number or type of vehicles, length of guideway, mode, quantity of material, substitution of material, value engineering changes.
    - Planning context changes - Political, institutional, or project management changes impacting project scope or schedule; project procurement conditions change such as changes in the bidding climate, price of commodities, or contracting methodology.
- Schedule changes
    - Schedule has slipped or been extended by six months or more, resulting in additional cost for labor, materials, and/or inflation which could result from extended community input, project review, funding disapproval, labor disputes, etc.
- Cost changes
    - The costing methodology has changed as a natural part of the continued development of the project, for example, from a parametric estimate to a detailed labor and materials quantity take-off.
    - A change in a funding source or financing method has caused modification of scope, schedule, or cost.

IV. Project Justification Criteria

The following summarizes the information that must be submitted to support the project justification criteria evaluation and rating. Specific information on the criteria and their associated measures can be found in the *CIG Policy Guidance* found on FTA's website (Capital Investment Grants Program Regulations & Guidance). Any questions regarding these criteria, their associated measures, and/or the calculation of the measures should be directed to the FTA Office of Planning and Environment's Office of Capital Project Development.

IV.1. Project Justification Warrants

Warrants are pre-qualification approaches that allow a proposed project to automatically receive satisfactory ratings on certain project justification criteria based on the project's characteristics or the characteristics of the project corridor. For information on how to become eligible for project justification criteria warrants, please see the *CIG Policy Guidance* found on FTA's website. Project sponsors wishing to be considered for warrants should discuss the matter with FTA during Project Development, prior to submitting information to FTA for evaluation and rating.

Sponsors seeking project justification warrants indicate "Yes" to the question posed on the Project Description Template. The templates then automatically adjust to shade the fields where data entry is required by the project sponsor in white, and shade as gray the fields where data input by the project sponsor is not required since project justification warrants are being sought. The project sponsor reports daily transit ridership data from the most recent year for which ridership data in the corridor is available (2024 or 2025) on the Project Description Template. The sponsor inputs transit VMT data based on the current and proposed operating plans on the Travel Forecasts Template to inform the environmental benefits criterion calculations. Cells where inputs are required are shaded in white. All others are shaded in gray.

Additional information on documenting existing ridership to qualify for warrants can be found on FTA's website at How to Apply.

IV.2. Mobility Improvements

The following data must be entered in the templates to compute the mobility improvements criterion if the project is not warranted:

- Trip information (in lines 1 through 6 of the Travel Forecasts Templates), and
- Horizon year (in the Project Description Template), if applicable.

IV.3. Cost Effectiveness

The following data must be entered in the templates to compute the cost effectiveness criterion, if the project is not warranted:

- Trip information (in lines 1 through 6 of the Travel Forecast Templates);
- Horizon year (in the Project Description Template), if applicable; and

- The project's annualized capital cost in constant 2025 dollars as generated by the Build Annualized Worksheets of FTA's SCC Workbook. For additional guidance on the calculation of annualized capital cost see Section III.3 Capital Costs. (Annualized capital cost should be entered in Line 3 of the Mobility, Cost Effectiveness, and Congestion Relief Template). If a horizon year forecast is used for projects that are not warranted, the project's annualized capital cost in constant 2025 dollars should also be entered for the horizon year.
- The project's incremental annual operations and maintenance cost in constant 2025 dollars relative to the system-wide annual operations and maintenance cost (in Line 4 of the Mobility, Cost Effectiveness, and Congestion Relief Template).

  If a horizon year forecast is used for projects that are not warranted, an incremental annual operations and maintenance cost in constant 2025 dollars should also be entered in Line 4 for the horizon year. The system-wide annual operations and maintenance cost should be based on the transit service plan for the "no-build" in the horizon year as defined in Section II, Points of Comparison. The project's incremental annual operations and maintenance cost should be based on the project's transit service plan in the horizon year.

IV.4. Congestion Relief

The following data must be entered in the templates to compute the congestion relief criterion if the project is not warranted:

- New daily linked transit trips (in line 9 of the Travel Forecasts Templates), and
- Horizon year (in the Project Description Template), if applicable.

IV.5. Land Use

The land use rating is based on quantitative measures of existing corridor conditions. The land use submission requires a complete Land Use Template.

The Land Use Template allows FTA to better understand current year information about population, employment, housing units/affordable housing, community risk, and essential services associated with the project.

Appendix C provides a sample methodology for estimating station area population, employment, housing units/affordable housing, community risk, and essential services. FTA requests that sponsoring agencies follow this methodology to ensure consistent reporting of quantitative data among applicants.

Documentation of Information for Existing Land Use

FTA requests that project sponsors submit the items in the following table. The footnotes denote whether the information should be submitted as supporting documentation or entered directly into the quantitative Land Use Template.

INFORMATION REQUESTED	DOCUMENTATION
Existing station area development (population, employment, housing units)	• Station area population, housing units, and employment+ • Map showing station locations, ½-mile radii, and census tracts or traffic analysis zones, along with a table listing the tracts or zones, estimated fraction of each within ½ mile of the station, and population, employment, and housing units, for the tract*
Existing affordable housing	• Total number of legally binding affordability restricted (LBAR) housing units^ within a ½-mile radius of all station areas+ • Total housing units of all types and LBAR housing units for each county (or city when independent from any county) in which project stations are located+ • Identification of the source(s) of the affordable housing data. Provide a signed certification by the head(s) of the entities, such as state or local housing agencies or nonprofit organizations that maintain databases of affordable housing units, from where the information was gathered attesting to the accuracy of the numbers provided.* (Certification is not needed if using the National Housing Preservation Database to obtain affordable housing counts.)
Community Risk	• Community Resilience Estimates (CRE) for total and high-risk populations+ • Map showing station locations, ½-mile radii, and census tracts, along with a table listing the tracts, the estimated fraction within ½ mile of the station, CRE population, and high-risk CRE population for the tract*
Essential Services	• The essential services+ (hospitals, urgent care centers, Veterans Affairs Medical Centers, colleges/universities, supplemental colleges, and public schools) within a one-mile radius of all project stations • Map showing station locations, 1-mile radii, and essential services, along with a table listing the count of essential service facilities by each station area or cluster*

* Provide this information as supporting documentation.
+ Enter this information in the quantitative land use template.
^ For purposes of the affordable housing measure, a legally binding affordability restriction is a lien, deed of trust or other legal instrument attached to a property and/or housing structure that restricts the cost of housing units to be affordable to households at specified income levels for a defined period of time and requires that households at these income levels occupy these units. This definition includes but is not limited to, state or federally supported public housing and housing owned by organizations dedicated to providing affordable housing. For the land use measure looking at existing affordable housing, FTA is seeking LBAR housing units to renters with household incomes at or below 60 percent of the area median income (AMI) and/or owners with household incomes at or below AMI that are within a ½-mile radius of stations and in the counties through which the project travels.

Timing and Frequency of the Land Use Submittal

At a minimum, FTA will evaluate and rate land use once, when a project sponsor requests entry into the Engineering phase. FTA does not require project sponsors to resubmit land use information for re-evaluation and rating after that point unless the project sponsor changes the project in such a way that alters the existing corridor conditions evaluated under the land use measure. For example, a land use re-evaluation and rating would be required if a project sponsor changes the number or locations of stations included in the project scope. Project sponsors may also submit updated information and request that FTA re-evaluate land use at any time prior to a construction grant award if they believe that new information would result in a higher rating.

IV.6. Economic Development

The economic development criterion is based on a qualitative analysis of plans and policies to focus future development in station areas.

Elements of the economic development submission include:

- The Supplemental Economic Development Information and Supporting Documentation Template; and
- Supporting documentation.

The Supplemental Economic Development Information and Supporting Documentation Template allows project sponsors to provide written statements to summarize, highlight or expand upon information for specific factors. Sponsors may also provide specific references to existing maps, plans, or other attached documentation that address the specific factor and type of information requested by FTA.

The supporting documentation should consist of full or relevant portions of the documentation referenced in the Supplemental Economic Development Information and Supporting Documentation Template. Visual aids, such as maps, photographs, and illustrations are also useful to help communicate the impact of planned future development.

Required documentation is provided in the table below. Some examples from which to provide either full documents, visual aids, or relevant excerpts include:

- Regional growth management policies and agreements;
- Local comprehensive plans, small-area or station area plans, zoning ordinances, and design guidelines relevant to station areas;
- Station area planning documents (conceptual plans, inventories of developable land, real estate market studies);
- Local affordable housing plans (or sections of other local plans that concern affordable housing) that affect station areas;
- Analysis of land development trends and market potential for transit-supportive development within the region and station areas;

- Descriptions of other tools and incentives available for influencing development;
- Site plans or descriptions of station area development proposals, with emphasis on the character and features of the development;
- Maps of station areas showing the street network and planned land uses; and
- Photographs or illustrations of recent station area development that has taken place around any existing transit stations or corridors in the region.

Documentation of Information for Economic Development Effects

FTA requests that project sponsors submit the following information:

INFORMATION REQUESTED	DOCUMENTATION
I. SUPPORTIVE ZONING IN STATION AREAS	

Zoning ordinances that support increased development density in transit station areas	• For each station area (or group of adjacent station areas where similar provisions apply), report the following:
	  ◦ Allowable uses and prescribed minimum and/or maximum densities or floor area ratios. Include applicable overlay districts. Identify approximate floor area ratios if these are not identified in the zoning (for instance, under form-based codes).
	  ◦ Any recently adopted or drafted changes to zoning ordinances to allow or encourage development with transit supportive densities and uses
	• Include links to or electronic copies of zoning maps and relevant portions of zoning ordinances with the submittal.
	• Include maps of <u>all</u> zoning designations and zoning overlays in station areas. The maps must display the following:
	  ◦ Station names
	  ◦ Half-mile radius around each station area (or group of station areas)
	  ◦ Boundary lines for each jurisdiction with land use authority
	  ◦ Legend including scale, north arrow or compass rose, and a description of symbols, styles, or colors used on the map

Zoning ordinances that enhance transit-oriented character of station area development and pedestrian access and include requirements for universal design	• For each station area (or group of station areas where similar provisions apply), report the following:
	  ◦ Zoning regulations addressing the mix or separation of uses
	  ◦ Zoning regulations addressing lot coverage, placement of building footprints and parking, pedestrian facilities, façade treatments, etc.
	  ◦ Architectural design guidelines and mechanisms for implementation/enforcement of these guidelines
	  ◦ Zoning ordinances requiring universal design

Zoning allowances for reduced parking and traffic mitigation	• Residential and commercial parking requirements (minimums and/or maximums) in all station areas under existing zoning • Any zoning provisions that reduce parking requirements for development near project stations

INFORMATION REQUESTED	DOCUMENTATION
II. PERFORMANCE AND IMPACTS OF TRANSIT SUPPORTIVE PLANS AND POLICIES **a. Growth Management**	
Concentration of development around established activity centers and regional transit	• State or regional plans, policies, or programs to guide growth in the metropolitan area and the enforceability of each. Describe any aspects that promote increased development, infill development, and redevelopment in established urban centers and activity centers, and/or limit development away from primary activity centers. • State or regional plans or policies to concentrate development around major transit facilities. • Aspects of local comprehensive plans or capital improvement plans that demonstrate alignment with these growth management plans, policies, and programs.
Land conservation and management	• State or regional plans, policies, or programs that seek to limit development in identified portions of the metropolitan area. Examples of such plans, policies, and programs are growth management area designations, urban growth boundaries, agricultural preservation plans, open space preservation plans, and incentives or mandates for land conservation and management. Include maps as available and appropriate. • State or regional policies that allow for transfer of development rights from open space or agricultural land to urban areas
II. PERFORMANCE AND IMPACTS OF TRANSIT SUPPORTIVE PLANS AND POLICIES **b. Transit-Supportive Corridor Policies**	

Plans and policies to increase station area development	• For each station area (or group of station areas where similar provisions apply), identify applicable city, town, county, and campus/institutional plans and policies, and report the following:
	  • Recommended land uses and development densities
	  • Any recommendations or policies for high-density development in the corridor and station areas, and/or policies that support changes to zoning in the corridor and station areas
	  • Status of the plans (i.e., adopted or under development). For plans that are under development, indicate the remaining steps and expected timeframe for adoption
	• Include links to or electronic copies of the plans with the submittal. Note that plans may include general plans, specific plans (subarea, station area, etc.), redevelopment project plans, or other district plans.

Plans and policies to enhance transit-friendly character of station area development, including policies promoting or requiring universal design	• For each station area (or group of station areas where similar provisions apply), report the following:
	  • Recommendations for development character or form from the plans identified above
	  • Any recommendations or policies to promote pedestrian- and transit-friendly development (e.g., mixed uses, vertical zoning, buildings oriented toward the street)
	  • Any policies promoting or requiring universal design

INFORMATION REQUESTED	DOCUMENTATION
Plans to improve pedestrian facilities, including facilities for persons with disabilities	• Policies for sidewalks, connected street or walkway networks, and other pedestrian facility development plans that apply to project station areas • Capital improvement programs to enhance pedestrian facilities in station areas • Curb ramp transition plans and milestones required under CFR 35.150(d)(2), and other plans for retrofitting existing pedestrian infrastructure to accommodate persons with disabilities in station areas • Street design guidelines or manuals addressing pedestrian and transit-oriented street design that apply to station areas
Parking policies	• Recommended parking provisions (i.e., proposed minimum and maximum ratios, shared parking allowances, changes in the amount of land occupied by parking facilities, policies to encourage structured parking) for all station areas per plans and policies • Mandatory minimum cost for parking in areas served by transit or policies to encourage "unbundling" of parking costs from rents • Parking taxes and fees • Proposals or adopted actions to reduce or eliminate zoning requirements related to parking
II. PERFORMANCE AND IMPACTS OF TRANSIT SUPPORTIVE PLANS AND POLICIES **c. Tools to Implement Transit-Supportive Plans and Policies**	
Outreach to government agencies and the community in support of land use planning	• Promotion and outreach activities by the transit agency, local jurisdictions, and/or regional agencies specifically in support of station area planning, growth management, and transit-oriented development • Description of the public involvement process for land use planning in project station areas and the level of participation • Inter-local agreements, resolutions, or letters of support from other government agencies in support of coordinating their land use planning with transit investment, as available • Any actions of other groups, including Chambers of Commerce, professional development groups, citizen coalitions, as well as the private/commercial sector, in support of transit-oriented development in project station areas
Regulatory and financial incentives to promote transit-supportive development	• Regulatory incentives (e.g., density bonuses, streamlined processing of development applications) for developments near transit • Zoning requirements for traffic mitigation (e.g., fees and in-kind contributions) and citations of how such requirements can be waived or reduced for locations near transit stations • Programs that promote or provide incentives for transit-oriented development such as grants for planning or implementation, tax increment financing zones, tax abatement programs, and transit-oriented loan support programs • Other economic development and revitalization strategies for station areas or within the corridor

INFORMATION REQUESTED	DOCUMENTATION
Efforts to engage the development community in station area planning and transit-supportive development	• Project station area-focused outreach, education, and involvement activities targeted at the development community (including developers, property owners, and financial institutions) • Joint development programs and proposals • Letters of endorsement or other indicators of support from the local development community
II. PERFORMANCE AND IMPACTS OF TRANSIT SUPPORTIVE PLANS AND POLICIES **d. Performance of Transit-Supportive Plans and Policies**	
Demonstrated cases of developments affected by transit-oriented policies	• Characterization of the quantity and transit-supportiveness (in terms of uses, scale, parking quantity, and design) of recently built developments within existing and planned transit station areas • Description and/or pictures of any projects that have recently been built consistent with transit-oriented design principles (higher density, orientation toward street, provision of pedestrian access from transit, mix of uses, transit-supportive parking ratios, etc.). Include the location, size, development character (e.g., setbacks, façade treatments, amount, and location of parking), type of use, and completion dates of each project and preferably a map of the locations. • Descriptions of how developments were affected by transit-oriented policies, such as identifying any regulatory or financial incentives used for the developments.
Station area development proposals and status	• Characterization of the quantity, location, and nature of proposed developments within project station areas (including any joint development proposals) • More detailed descriptions of a representative sample of proposed developments in project station areas. Include renderings as available and identify the location of the development. Descriptions should indicate the size, development character, types of uses, and expected dates of start of construction and completion. • Descriptions of how developments are being affected by transit-oriented policies, such as identifying any regulatory or financial incentives considered for the developments.

INFORMATION REQUESTED	DOCUMENTATION
II. PERFORMANCE AND IMPACTS OF TRANSIT SUPPORTIVE PLANS AND POLICIES **e. Potential Impact of Transit Project on Station Area Development**	
Adaptability of station area land for development	• Description or inventory of land near project stations that is vacant or available for redevelopment • Assessment of development anticipated for these parcels • Assessment of the amount of development allowed at station area build-out compared to existing development

Regional and station area economic environment	• Information that indicates the level of market support for transit-oriented development in station areas, including:
	  • Regional and station area economic conditions and growth projections
	  • Development market trends in existing corridors and station areas (for areas with existing transit)
	  • Real estate market study examining prospects for higher-density and transit/pedestrian-oriented development in station areas
	  • Permitting and construction data from local governments
	  • Locations of major employment centers in station areas, and expected growth in these centers
	• Projected population, employment, and growth rates in station areas compared to region

III. TOOLS TO MAINTAIN OR INCREASE THE SHARE OF AFFORDABLE HOUSING	
Evaluation of affordable housing needs and supply specific to station areas	• Regional and/or station area-specific needs assessment that evaluates the demand for affordable housing and compares it to the supply of affordable housing
Plans and policies to preserve and increase affordable housing including anti-displacement policies in the region and/or station areas	• Inclusionary zoning or housing programs that require or provide incentives for developers to set aside a percentage of units for income-qualified buyers or renters • State-level laws requiring transit-supportive zoning, such as density minimums or minimal (if any) parking requirements, near transit stations • Density bonuses or reduction of parking requirements for the provision of units made available for income-qualified buyers or renters • Employer-assisted housing policies, using tax credits, partnerships, matching funds, and/or other mechanisms to encourage employers to help employees to buy or rent homes close to work or transit • Rent controls or condominium conversion controls on existing units to maintain affordability for renters • Minimized regulatory processes for affordable housing development or preservation projects, such as streamlined permitting and environmental review, reduced parking requirements, or waived development fees • Zoning to promote housing diversity, such as zoning that permits accessory or “in-law” units, and residential zoning based on floor area ratio rather than dwelling units to reduce the disincentive to build smaller units

INFORMATION REQUESTED	DOCUMENTATION
	• Tenant "right of first refusal" laws, which require that an owner provide the tenants with an opportunity to purchase the property at the same price as a third-party buyer • Affordability covenants, which limit appreciation of rents and/or sales values for units rented or sold to income-qualified tenants for a given length of time
Adopted local and/or state financing tools and strategies targeted to preserving and increasing affordable housing in the region and/or station areas	• Funding (particularly state, regional, or local) for targeted property acquisition, rehabilitation, and development of low-income housing, including direct funding for public and nonprofit development authorities, low-income housing tax credits (including criteria that favor application of credits in transit station areas), and local tax abatements for low-income or senior housing • Land banking programs to support the assembly of land for new affordable housing development by public, private, or nonprofit developers • Financial assistance (particularly state, regional, or local) to housing owners and/or tenants through mechanisms, including affordable housing operating subsidies, weatherization and utilities support programs, tax abatement, or mortgage or other home ownership assistance for lower-income and senior households • State, local, or regional affordable housing trust funds to provide a source of low-interest loans for affordable housing developers • Targeted tax increment financing, other value-capture strategies, or transfer tax programs to generate revenue that can be directed toward low-income housing programs
Evidence of developer activity to preserve and increase affordable housing in station areas	• Examples of the provision of affordable housing in planned or recent developments, including location within station areas, number of units, specific affordability restrictions, length of time restrictions apply, etc.
Extent to which the plans and policies account for long-term affordability and the needs of very and extremely low-income households in the station areas	• Documentation of evidence that legal affordability restrictions in station areas will be continued over the long-term following the project's opening. Examples include commitments tied to the receipt of Low-Income Housing Tax Credits, HOME or other HUD funds, payment in lieu of taxes (PILOT) agreements, and other legal instruments tied to the receipt of Federal, state, local and/or private funds/financing. • Documentation of how plans, policies, tools, etc. address the needs of very and extremely low-income households

Timing and Frequency of the Economic Development Submittal

At a minimum, FTA will evaluate and rate economic development once, when a project sponsor requests entry into the Engineering phase.

FTA does not require project sponsors to resubmit economic development information for re-evaluation and rating, unless the project sponsor changes the project such that different plans and policies would apply to the corridor or the economic development rating was assessed more than five years ago. For example, an economic development re-evaluation and rating may be required if a project sponsor changes the number of stations included in the project scope. Also, at their discretion, project sponsors may submit new information and request that FTA re-evaluate economic development if they believe that new information would result in a higher rating.

Importance of an Organized, Comprehensive Submittal

Ratings assigned by FTA will be directly related to the ability of FTA to readily identify, locate, review, and assess the provided documentation. Thus, project sponsors should strive to produce well-organized submittals.

Additional Guidance

- Provide a table of contents at the beginning of the submittal summarizing all materials that are being provided to FTA.
- Provide documentation to substantiate qualitative information rather than rely solely upon reference. This can be provided via links or attachments.
- Be brief and precise, but thorough, in providing explanatory statements; important information should not be omitted for the sake of brevity.
- Rather than repeating identical information in the template (e.g., certain zoning provisions that apply to multiple station areas or groups of station areas), refer to the first instance of the information.
- Identify all supporting documents included with the submittal in your narrative in the Supplemental Economic Development Information and Supporting Documentation Template.
- Identify plan and policy recommendations, as well as zoning provisions, for <u>all</u> project station areas. The information provided should not be limited to recommendations and provisions that might be considered transit supportive.
- Provide brief descriptions of anticipated development and implemented projects, rather than simply a list. In lieu of written descriptions of developments, provide links to websites that include photographs or renderings.
- Include explanations of the impact of transit-supportive policies and how implementation would be achieved, particularly when significant changes are anticipated.
- Whenever possible, identify or calculate the quantitative elements of zoning for station areas and parking supply.

- Use precise language to identify which policies are recommended and which are mandated. This is particularly important when planning and zoning in station areas is structured atypically relative to most other jurisdictions in the United States.
- When revising narrative text from a prior submittal, clearly identify all changes including new or updated information with bold type, highlights, or "track changes," so that FTA can easily identify what has changed.
- Refer to the *Guidelines for Economic Development Effects for New Starts and Small Starts Projects* for additional information on how FTA determines factor ratings and what information should be provided.

IV.7. Environmental Benefits

Environmental benefits are evaluated based on the change in VMT resulting from implementation of the proposed project. The estimated environmental benefits are then monetized automatically in the Environmental Benefits Template and compared to the annualized capital and operating cost of the proposed project.

VMT data is entered in the VMT section of the Travel Forecasts Templates (described in Section III.2 Travel Forecasts). Annualized capital costs excluding enrichments from the SCC Workbook and annual operating costs are entered in Lines 3 and 4, respectively, of the Mobility, Cost Effectiveness and Congestion Relief Template. The templates automatically transfer this information into the Environmental Benefits Template.

Project sponsors must enter the following information into the Environmental Benefits Template:

- The Environmental Protection Agency's (EPA) air quality designation for four air quality criteria pollutants for the metropolitan area in which the proposed project is located (lines 1 through 4). This information can be found in EPA's Green Book; and
- If the project is seeking to be warranted, the existing annual transit ridership in the corridor today (line A) and the percentage change in corridor annual transit vehicle hours that would result from implementation of the proposed project (line B).

V. Local Financial Commitment Criteria

V.1. New Starts Finance Template

All project sponsors must complete the Finance Template. The Finance Template is designed to provide a uniform reporting method for the basic financial information and transit system characteristics necessary for FTA to assess the local financial commitment for the proposed New Starts project. It is not intended as a substitute for a financial plan. Failure to provide the information will adversely impact the project's financial rating.

Project sponsors should ensure that information reported in the Finance Template matches that reported in other documentation including the financial plan. FTA recommends that project sponsors perform the following quality control checks on data entered in the Finance Template:

- The project capital cost reported on this template should match what is reported in the Build Main Worksheet of the SCC Workbook. The capital cost estimate must include Project Development and Engineering activities.
- Finance charges must be included in the capital cost estimate. Specifically, only finance charges expected to occur prior to either the revenue operations date or the fulfillment of the CIG funding commitment in the FFGA, whichever occurs later in time, should be included.
- Verify that the total project cost in constant or base year 2025 dollars reported on the Finance Template differs from the total base year cost shown on the Build Annualized Worksheets in the SCC Workbook only because the total cost included in the Build Annualized Worksheets does not include finance charges. (Note: in some cases, the total base year cost in the Build Annualized Worksheets will also differ because of the inclusion of additional capital cost items needed to achieve project benefits. For instructions on the SCC Build Annualized Worksheet see Section III.4 Capital Costs.)
- If the capital cost of the project has changed significantly from last year, please provide a detailed explanation.
- Total Federal funding for the project (CIG funding plus all other Federal sources) should not exceed 80 percent.
- The sum of all proposed sources of operating funds reported on the Finance Template should equal the total transit system annual operating costs in the first full year of project operation.
- The type of funding sources should be identified for each capital and operating revenue source.

Level of Commitment Definitions

Documentation demonstrating the level of commitment for each of the funding sources included in the Finance Template must be provided. FTA uses the following definitions to classify the level of commitment for each capital funding source:

- Committed: Committed sources are programmed capital funds that have **all** the necessary approvals to fund the proposed project without any additional action. Specifically, these capital funds have all legislative and/or voter approvals needed and have been formally programmed in the MPO's TIP and/or any related local, regional, or state documents such as an approved annual budget or multi-year Capital Improvement Program (CIP). 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 debt capacity that requires no further approvals and has been dedicated to the proposed project.

- Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but are not yet fully committed, i.e., the funds have not yet received statutory approval. Examples include debt financing in an agency-adopted CIP that has yet to receive final legislative approval, or state capital grants that have been included in the state budget but are still awaiting final legislative appropriations. These funds are almost certain to be committed in the near future. Funds will be classified as budgeted where available funding cannot be committed until the FFGA is executed, or due to local practices outside of the project sponsor's control (e.g., the project development schedule extends beyond the TIP or CIP 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, reasonable requests for state/local capital grants that are not yet approved, and proposed debt financing that has not yet been fully approved.

- Uncertain: This category is applied when it is unclear from the agency's submission whether a funding source is committed, budgeted, or unavailable. Instances where the plan to secure committed funds is deemed to be unreasonable may be classified as uncertain. This category applies to funding sources that the project sponsor may describe as committed or budgeted but for which no supporting documentation is provided to FTA. Additionally, funding proposals that have repeatedly failed (more than once), such as failed local referendums or repeated denial of state grants, will be classified as uncertain.

- Unspecified: This category is applied when the proposed non-CIG funding sources are not sufficient or have not been clearly identified.

In addition to the Finance Template, project sponsors must complete either a streamlined financial evaluation or a standard financial evaluation.

V.2. Streamlined Financial Evaluation

A streamlined financial evaluation is possible when a New Starts project is less than $400 million and the project sponsor can demonstrate the following:

- A reasonable plan to secure funding for the non-CIG share of capital costs or sufficient available funds for the non-CIG capital share (all non-CIG funding must be committed before receiving a construction grant);

- The additional operating and maintenance cost of the proposed New Starts project is less than ten percent of the project sponsor's current year approved system-wide operating budget; and
- The project sponsor is in reasonably good financial condition, as demonstrated by the past three years audited financial statements indicating a positive cash flow over the period, a reasonable current ratio, and no negative material findings.

Project sponsors should submit the following items to demonstrate that they meet these conditions:

- A completed New Starts Finance Template;
- A detailed plan to secure funding for the non-CIG share of project costs that includes the sources, amount, and steps needed to secure funding commitments;
- A detailed operating and maintenance cost estimate;
- The current year approved transit agency budget documenting that the project's operating and maintenance costs would constitute no greater than ten percent of current system-wide operating and maintenance costs; and
- Three years of audited financial statements documenting the financial health of the project sponsor(s).

V.3. Standard Financial Evaluation

If a project sponsor does not meet the criteria for a streamlined financial evaluation, then FTA requires submittal of:

- a completed Finance Template;
- a comprehensive financial plan, including a 10 or 20-year cash flow model (see *CIG Policy Guidance* for details) submitted electronically in excel format with formulas included rather than just hardcoded numbers;
- supporting documentation; and
- a completed financial submittal checklist.

These items are described below.

Project sponsors must provide all the required information included in FTA's *Guidance for Transit Financial Plans*. Failure to include any of the elements required for the financial review will adversely impact the project's financial rating.

Financial Plan

All project sponsors not qualifying for the streamlined financial evaluation must submit a financial plan to FTA.

All project sponsors receiving a full financial assessment must submit a 10-year or 20-year financial plan to FTA. Project sponsors that do not qualify for the highly simplified evaluation are generally required to submit a 20-year cash flow statement. However, sponsors may submit a 10-year financial plan and cash flow statement if the following conditions are applicable to the project:

- The project construction period plus five years of operations is less than 10 years in length; AND
- The project sponsor is not submitting 20-year horizon year information for the other CIG evaluation and rating criteria (the sponsor is submitting 10-year horizon data or no horizon year data).

Once the financial plan is provided, FTA evaluates the financial plan to ensure that the project sponsor has the financial capacity to construct and operate the proposed project while continuing to operate and maintain the existing transit system in accordance with the law. FTA has developed guidance on the content and format of financial plans for transit agencies in FTA's *Guidance for Transit Financial Plans*. All project sponsors submitting information for evaluation and rating are required to submit financial plans that adhere to these guidelines. Failure to provide a complete financial plan will adversely impact a project's financial rating.

For project sponsors opting to prepare horizon year estimates of benefits, the financial plan should include any additional expenses needed to meet horizon year service plans that serve as inputs to the horizon year estimates of benefits. For example, if additional vehicles are needed to meet increased service frequency projected for the horizon year, then the financial plan must include the cost associated with additional vehicles and demonstrate that the sponsor has sufficient funding to pay for them.

Documentation describing and justifying all assumptions included in the financial plan must be provided. All underlying financial assumptions should be identified in the project finance plan and reflect capital financing strategies, projected State of Good Repair costs for the existing system, operations and maintenance costs for the proposed project and the existing system, revenue stream assumptions, and cash flow projections.

Appendix D provides a checklist of information that must be provided for financial plans. The ratings assigned by FTA are directly related to the ability of reviewers to readily identify, locate, review, and assess the provided documentation. Therefore, a concise, well-organized submittal is to the advantage of the project sponsor.

Appendix A. General Reporting and Project Justification Checklist

Please refer to Section III General Reporting Information and Section IV Project Justification Criteria for additional details regarding how to prepare each of the documents listed below. This checklist is optional and not an exhaustive list of required materials; FTA may request additional information regarding project submissions.

GENERAL REPORTING & PROJECT JUSTIFICATION CHECKLIST	Included (check one)		Reason Why Information Has Not Been Provided
	Yes	No	
New Starts Templates Part 1			
New Starts Template Part 2: Supplemental Economic Development Information and Supporting Documentation Templates for New Starts Projects			
Table of contents summarizing all materials being provided to FTA			
Visual aids to help communicate impact of planned future development			
Documentation of Information for Economic Development Effects (either full documents or relevant excerpts)			
If a prior submittal, all changes identified in narrative text (e.g., bold type, highlights, or track changes)			
Signed certification attesting to the accuracy of the affordable housing numbers unless using the National Housing Preservation Database			
New Starts Standard Cost Category (SCC) Workbook			
Forecast Results Report			
Assumptions and methodology approved by TPE-10 in advance of submission			
Supporting ridership tabulations			
If seeking project justification warrants, documentation of existing ridership			
Operating and maintenance cost development documentation			
System-wide and route level operating cost data and factors			
Operating and maintenance cost of project			
Capital Cost supporting information			
Project map			
Project narrative (optional)			
Other materials (if any), please describe:			

Appendix B. Travel Forecasting Meeting in Advance of CIG Submittal for Evaluation and Rating

Meeting Agenda

1. Project Overview
2. Travel Forecasting Methodology
3. Transit Rider Data Availability
4. Model Calibration/Validation
5. Special Markets, if applicable
6. Project Attributes
    a. Project operating plan
        i. Headways
        ii. Travel Times
    b. Supporting service changes
        i. Feeder routes
        ii. Elimination of existing service
    c. Fixed Guideway Elements
7. Discussion/Next Steps

Appendix C. Sample Methodologies for Estimating Land Use Measures

C.1. Station Area Socio-Economic Statistics

A sample approach follows for computing the station area population, employment, and housing unit statistics requested in the *Land Use Template*. Figure C-1 and Table C-1 provide examples of the approach applied to a hypothetical project.

Figure C-1: Sketch of Socio-Economic Station Areas for a Hypothetical Project

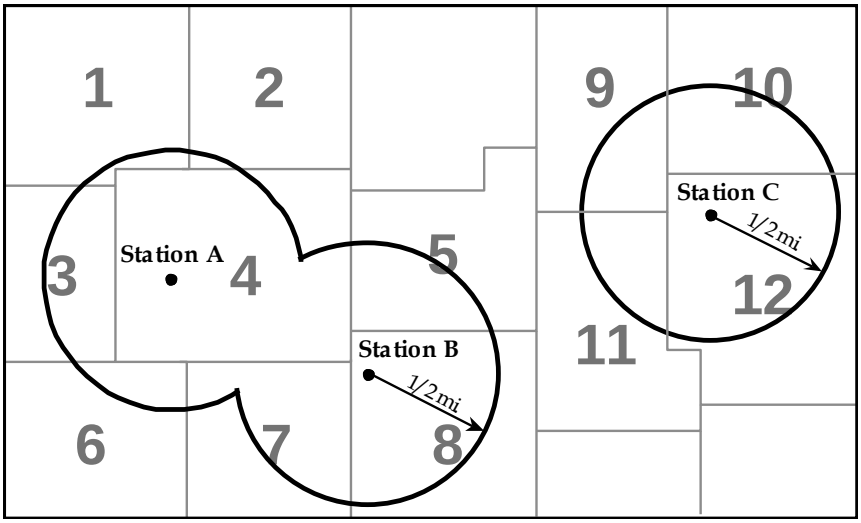


Table C-1: Calculation of Socio-Economic Station Area Statistics for a Hypothetical Project

	Census Tract Total				Fraction of Tract Area within 1/2 Mile of Station	Within 1/2 Mile of Station			
	Area (sq. mi.)	Population	Employment	Housing Units		Area (sq. mi.)	Population	Employment	Housing Units
Stations A and B									
Tract 1	0.452	2,309	1,654	987	0.08	0.036	185	132	79
Tract 2	0.362	133	611	58	0.06	0.022	8	37	3
Tract 3	0.294	398	1,254	145	0.52	0.153	207	652	75
Tract 4	0.655	2,634	2,719	1,154	0.85	0.557	2,239	2,311	981
Tract 5	0.429	1,038	858	393	0.41	0.176	426	352	161
Tract 6	0.416	2,412	1,477	887	0.19	0.079	458	281	169
Tract 7	0.380	2,088	2,785	856	0.54	0.205	1,128	1,504	462
Tract 8	0.434	2,344	2,031	991	0.68	0.295	1,594	1,381	674
Subtotal	3.422	13,356	13,389	5,471		1.523	6,244	6,650	2,605

	Census Tract Total				Fraction of Tract Area within 1/2 Mile of Station	Within 1/2 Mile of Station			
	Area (sq. mi.)	Population	Employment	Housing Units		Area (sq. mi.)	Population	Employment	Housing Units
Station C									
Tract 9	0.355	1,816	610	722	0.24	0.085	436	146	173
Tract 10	0.462	70	1,569	31	0.40	0.185	28	628	12
Tract 11	0.504	2,645	760	1,156	0.33	0.166	873	251	381
Tract 12	0.540	2,573	1,873	1,010	0.65	0.351	1,672	1,217	657
Subtotal	1.861	7,104	4,812	2,919		0.787	3,009	2,242	1,224
Total	**5.283**	**20,460**	**18,201**	**8,390**		**2.310**	**9,253**	**8,892**	**3,829**

1. Plot each station location on a map showing census tracts or, alternatively, Transportation Analysis Zones (TAZs).
2. Draw a circle of ½-mile radius around each station.
3. Obtain data on total area, population, employment, and housing units for the tracts or zones that fall partially or completely within the station areas. Area and population can be obtained from the census (for census tracts) or from a regional land use database used for travel forecasting modeling (for TAZs). The regional Metropolitan Planning Organization (MPO) should have these data available. Employment data at the tract or TAZ level may be obtained from the MPO. Total residential housing unit data can be obtained from the latest American Community Survey five-year estimates at the county and census tract levels. Data on legally binding affordability restricted housing can be obtained by contacting area housing authorities. In addition, some statistics on affordable housing can be found in the National Housing Preservation Database (preservationdatabase.org). This database includes an address-level inventory of federally assisted housing. It does not contain information on affordable units supported only by state and local programs.
4. Estimate the total area, population, employment, and housing units contained within each ½-mile station radius by summing the data for each tract or zone that falls within the ½-mile station radius. For tracts or TAZs that partially fall within the ½-mile station radius, station area population, employment, and housing units should be estimated by multiplying the total for the tract or zone by the fraction of the tract or zone area within ½ mile of the station. The fraction of the zone falling within the ½-mile radius should be estimated using GIS.
5. Avoid double counting of population, employment, and housing units for stations that are less than one mile apart. This can be done in two ways: (a) draw a line dividing the area enclosed by the overlapping circles into two parts; or, (b) group stations that are less than

one mile apart into clusters and report total data for each cluster (as shown for Stations A and B in the table above). In either case, please report the total area encompassed by the overlapping circles. (Total area for individual stations not grouped together should be roughly the area enclosed by a circle of ½-mile radius, i.e., 3.1415*(0.5)^2 = 0.785 sq. mi.)

6. Attach a map showing station locations, ½-mile radii, and census tracts or TAZs, along with a table listing the tracts or zones, estimated fraction of each within ½ mile of the station, and population, employment, and housing units, for the tract.

C.2. Community Risk Statistics

A sample approach follows for computing the community risk statistics requested in the *Land Use Template*. Figure C-2 and Table C-2 provide examples of the approach applied to a hypothetical project.

Figure C-2: Sketch of Community Risk Station Areas for a Hypothetical Project

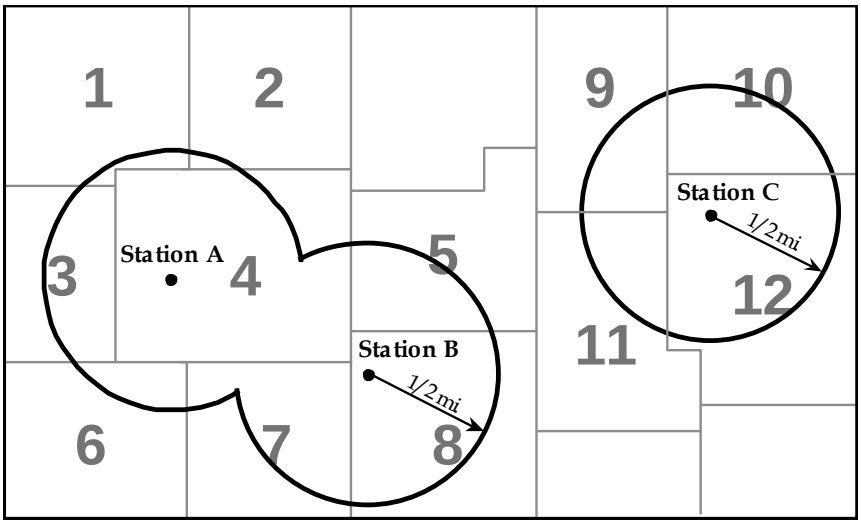


Table C-2: Calculation of Community Risk Station Area Statistics for a Hypothetical Project

	Census Tract Total			Fraction of Tract Area within 1/2 Mile of Station	Within 1/2 Mile of Station
	Area (sq. mi.)	Population	High-Risk CRE Population		High-Risk CRE Population
Stations A and B					
Tract 1	0.452	2,309	600	0.08	48
Tract 2	0.362	133	28	0.06	2
Tract 3	0.294	398	350	0.52	182
Tract 4	0.655	2,634	1,132	0.85	962
Tract 5	0.429	1,038	647	0.41	265
Tract 6	0.416	2,412	524	0.19	100

	Census Tract Total			Fraction of Tract Area within 1/2 Mile of Station	Within 1/2 Mile of Station
	Area (sq. mi.)	Population	High-Risk CRE Population		High-Risk CRE Population
Tract 7	0.380	2,088	794	0.54	429
Tract 8	0.434	2,344	1,056	0.68	718
Subtotal	3.422	13,356	5,131		2,706
Station C					
Tract 9	0.355	1,816	88	0.24	21
Tract 10	0.462	70	70	0.40	28
Tract 11	0.504	2,645	894	0.33	295
Tract 12	0.540	2,573	987	0.65	642
Subtotal	1.861	7,104	2,039		986
Total	**5.283**	**20,460**	**7,170**		**3,692**

1. Plot each station location on a map showing census tracts.
2. Draw a circle of ½-mile radius around each station.
3. Obtain data on total area and CRE population estimates for the tracts that fall partially or completely within the station areas. Area can be obtained from the census (for census tracts). CRE population estimates can be obtained on the Census Bureau's website (census.gov/programs-surveys/community-resilience-estimates/data/datasets.html).
4. Estimate the total area and CRE populations contained within each ½-mile station radius by summing the data for each tract that falls within the ½-mile station radius. The two CRE populations for analysis are: (a) "total CRE population," which is labeled as "POPUNI" in the CRE dataset; and (b) "high-risk CRE population," which is defined as the estimated number of individuals with three plus components of social vulnerability and is labeled "PRED3_E" in the CRE dataset. For tracts that partially fall within the ½-mile station radius, station area CRE populations should be estimated by multiplying the total for the tract by the fraction of the tract area within ½ mile of the station. The fraction of the zone falling within the ½-mile radius should be estimated using GIS. Note that the area reported in census tract data should be converted from square meters to square miles for analysis.
5. Avoid double counting of CRE populations for stations that are less than one mile apart. This can be done in two ways: (a) draw a line dividing the area enclosed by the overlapping circles into two parts; or, (b) group stations that are less than one mile apart into clusters and report total data for each cluster (as shown for Stations A and B in the table above). In either case, please report the total area encompassed by the overlapping circles. (Total area for individual stations not grouped together should be roughly the area enclosed by a circle of ½-mile radius, i.e., 3.1415*(0.5)^2 = 0.785 sq. mi.)

6. Attach a map showing station locations, ½-mile radii, and census tracts, along with a table listing the tracts, the estimated fraction within ½ mile of the station, CRE population, and high-risk CRE population for the tract.

C.3. Essential Services Statistics

A sample approach follows for computing the essential services statistics requested in the *Land Use Template*. Figure C-3 and Table C-3 provide examples of the approach applied to a hypothetical project.

Figure C-3: Sketch of Essential Services Station Areas for a Hypothetical Project

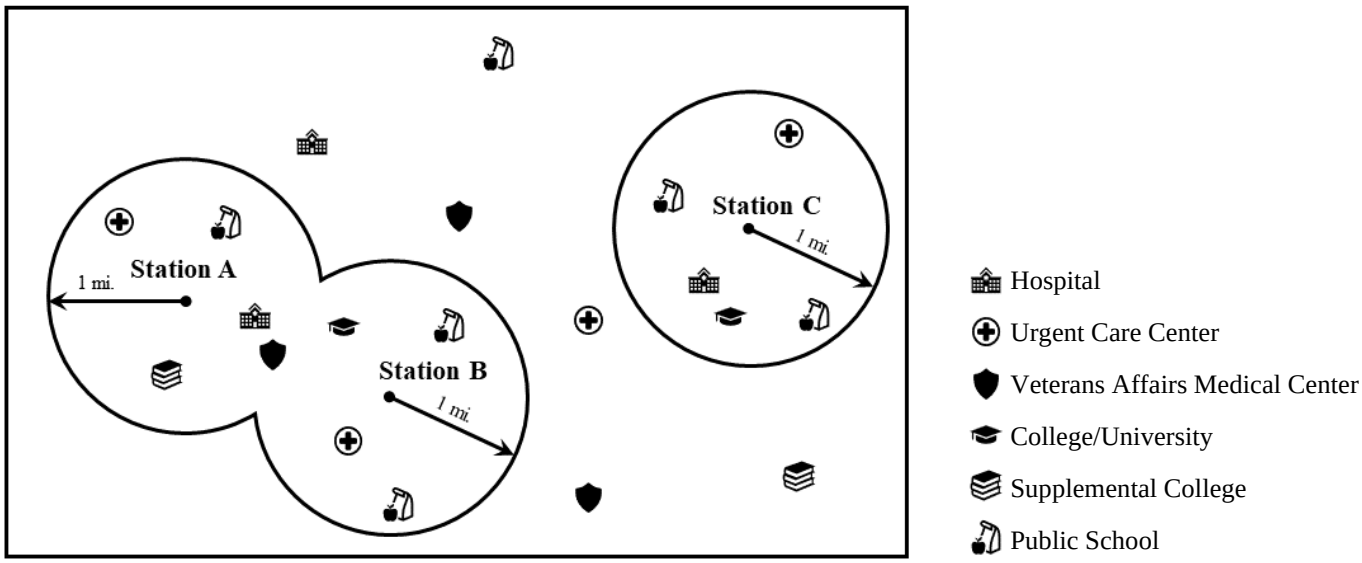


Table C-3: Calculation of Essential Services Station Area Statistics for a Hypothetical Project

Essential Service	Count
Stations A and B	
Hospital	1
Urgent Care Center	2
Veterans Affairs Medical Center	1
College/University	1
Supplemental Colleges	1
Public School	3
Subtotal	9

Essential Service	Count
Station C	
Hospital	1
Urgent Care Center	1
Veterans Affairs Medical Center	0
College/University	1
Supplemental Colleges	0
Public School	2
Subtotal	5
Total	**14**

1. Plot each station location on a map.
2. Draw a circle of 1-mile radius around each station.
3. Obtain GIS datasets on essential services from the Homeland Infrastructure Foundation-Level Data website (hifld-geoplatform.hub.arcgis.com). The essential services are hospitals, urgent care centers, Veterans Affairs Medical Centers, colleges/universities, supplemental colleges, and public schools.
4. Using GIS, calculate the total number of essential services within a one-mile radius of all project stations.
5. Avoid double counting of essential services for stations that are less than two miles apart. This can be done in two ways: (a) draw a line dividing the area enclosed by the overlapping circles into two parts; or, (b) group stations that are less than two miles apart into clusters (as shown for Stations A and B in the figure above).
6. Attach a map showing station locations, 1-mile radii, and essential services along with a table listing essential service types and counts for each station area or cluster.

Appendix D. Local Financial Commitment Checklist

The project sponsor must complete this checklist and include it with the financial submittal. If the checklist is not provided, the submittal will be considered incomplete. Insufficient or incomplete information supporting a project's local financial commitment criteria may result in a "Low" rating. Project sponsors are encouraged to pay careful attention to the reporting requirements.

LOCAL FINANCIAL COMMITMENT CHECKLIST	Included (check one)		Reason Why Information Has Not Been Provided
	Yes	No	
A 10 or 20-year cash flow statement (in year of expenditure dollars) including capital and operating financial plans (provide both electronically and in hardcopy). The cash flow must begin with the current year (2025), and clearly show: revenues and expenses for the project separated from those for the remainder of the transit system; level of service assumptions; and the debt service schedule for all existing and planned debt.			
Detailed written description/discussion of all assumptions used in the financial plan including: • Federal, state, local, and debt proceed assumptions for all capital and operating revenue sources for the project and overall transit system • Fare revenue assumptions, including average fares, the frequency and amount of fare increases, and fare elasticities applied to account for ridership losses when fares are raised • Average weekday ridership assumptions for the project and annual ridership assumptions for the overall transit system used in the financial plan to predict various costs and revenues (these should match the ridership estimates used in the rest of the submittal to FTA) • Debt coverage requirements/assumptions • Assumptions used in the calculation of operating expenses for each mode (i.e. -- vehicle miles, vehicle hours of service provided, etc.) • System-wide State of Good Repair cost and revenue assumptions • Assumptions regarding cash balances or reserve accounts included in the financial plan • Regional economic forecast assumptions and their implications for the project and transit system			
Project Description and Finance Template			
FTA SCC workbook			
Sensitivity Analysis (spreadsheet calculations as well as narrative summary), including a description of a plan for covering unexpected funding shortfalls or cost increases on the project, e.g., access to funds via cash reserves, additional debt capacity, or other available funds.			
Supporting Documentation Including:			
Background information and description of the project, including project status			
Historical revenue and expense data (minimum of five years required for all data (2020-2024), and at least 10 years (2015-2024) required for major funding sources that comprise more than 25 percent of the capital funding for the project or the overall transit system operation).			
Documents demonstrating the commitment level of all non-CIG funding sources for the project. Examples include: completed, final, and signed third-party agreements with relevant sections identified; copies of Board-approved budgets or CIPs specifying funding amounts for the project; a capital program or budget approved by the state legislature specifying state funding for the project, etc.			
Enacting legislation for tax referenda, with relevant sections identified			
Joint development agreements, or description and supporting documentation of other innovative financing techniques, if applicable			
Annual Operating and Capital Budgets for the past 3 years			
Audited Financial Statements and Compliance Reports for the past 3 years			
Annual Reports/Annual Comprehensive Financial Reports (CAFR) for the past 3 years			

LOCAL FINANCIAL COMMITMENT CHECKLIST	**Included (check one)**		**Reason Why Information Has Not Been Provided**
	Yes	**No**	
Background information and description of the transit agency, including organizational structure and enabling legislation			
TIP/STIP (please provide only relevant pages of these documents showing the project listing)			
Regional Long Range Transportation Plan (please provide only relevant pages showing the project listing)			
Capital Improvement Program (CIP) Documents (please provide only relevant pages showing the project listing)			
Bus and Rail Fleet Management Plans including fleet replacement schedules			
Latest bonding prospectus/credit facility documents (credit lines, commercial paper, etc.)			
Local development, demographic and economic studies used in preparing the financial plan, plus documentation supporting efficiency or productivity gain assumptions			
Transit Asset Management Plan			
Other materials (if any), please describe:			