

**NEW STARTS PROJECT PLANNING AND DEVELOPMENT
CHECKLIST OF PROJECT SPONSOR SUBMITTALS TO FTA FOR A FULL FUNDING GRANT AGREEMENT (FFGA)**

PRODUCTS	FTA CONCURRENCE DATE	REFERENCE (Regulations, Guidance and Other Resources)
FINAL DESIGN (FD) PROGRESS	-	
Project Definition/Scope	-	
Project Plans, Drawings, Designs, Standards and Specifications with refined project definition for overall project: guideway, tracks or routes, stations, stops, other structures/facilities, ROW and site improvements, systems, vehicles		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4) • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)
Project Cost, Schedule and Financial Plan	-	
Capital Cost Estimate and Project Schedule in Original Format and Standard Cost Category (SCC) Format (refined and updated to support FFGA request)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapters 3 & 4) • Standard Cost Categories for Capital Projects • Alternatives Analysis Technical Guidance (Part II.3)
Financial Plan and Supporting Information Supporting FFGA Request and Financial Capacity Assessment		<ul style="list-style-type: none"> • 49 CFR 611.11 • Financial Capacity Policy Circular 7008.1A • Guidance for Transit Financial Plans June 2000 • Reporting Instructions • Guidelines and Standards for Assessing Local Financial Commitment
Project Development Requirements	-	
Before and After Study Documentation of Methods and “Predicted” Results and Identification of Responsible Contractors		<ul style="list-style-type: none"> • Draft Before and After Guidance Available on Request • Guidance on New Starts Policies and Procedures - May 16, 2006
Before and After Study Plan		
TIP and STIP Programming of Construction (and update or amendment of long range plan, if needed)		<ul style="list-style-type: none"> • Capital Program Circular 9300.1A • Transportation Planning Final Rule
Summary Evaluation of Alternatives Analysis		<ul style="list-style-type: none"> • Requirement described in current year’s Appropriations legislation for FTA • Sample Documents Available on Request
Updated environmental mitigation table that gives the implementation status of all relevant mitigation measures identified in FTA’s environmental record for the Project plus any new requirements resulting from permit conditions		<ul style="list-style-type: none"> • Full Funding Grant Agreements Guidance 5200.1A (Chapter 3)
Supplemental NEPA Documentation (i.e., Categorical Exclusion, Finding of no Significant Impact, or Record of Decision) including description of required environmental permits and New Starts Rating Information in ROD if the New Starts Rating is less than “medium”, if changed since FD Approval		<ul style="list-style-type: none"> • 23 CFR 771 • 49 CFR 622 • 2006 Guidance on New Starts Policies and Procedures - May 16, 2006 (Section 1) - Reference for New Starts Rating Information in ROD

Travel Forecasts (If changed since approval to enter FD)	-	
Documentation of Methodologies and Assumptions		<ul style="list-style-type: none"> • Travel Forecasting for New Starts Proposals (From FTA Workshop) • Alternatives Analysis Technical Guidance (Part II.5-6) • Reporting Instructions
Summit Reports and Maps		
Travel Forecasts Template		
Annualization Factor Justification		
PROJECT MANAGEMENT PLAN (PMP) UPDATE	-	
Plans	-	
Construction Management Plan		<ul style="list-style-type: none"> • 49 CFR 633 (Subpart C) • FTA P&CM Guidelines (Chapter 2-4) • Grant Management Circular 5010.1C (Chapter 1) • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2)
Document Control Plan		
Organization		
Schedule Control		
Cost Control (Cash Flow, Payments, Changes, Claims)		
Contract Administration		
Project Safety and Security		
Communications		
Permits		
Quality Assurance/Quality Control (QA/QC)		
Project Execution Plan		<ul style="list-style-type: none"> • QA/QC Guidelines • Contact FTA Staff for Reference Materials
Real Estate Acquisition Management Plan (RAMP)		<ul style="list-style-type: none"> • 49 CFR 24 • Uniform Act • Real Estate Page of FTA Website and FTA Real Estate Course
Rail Fleet Management Plan (RFMP)		<ul style="list-style-type: none"> • Grant Management Circular 5010.1C (Chapter 1) • FFGA Guidance 5200.1A (Chapter 2)
Bus Fleet Management Plan (BFMP)		
Safety and Security Management Plan (SSMP)		<ul style="list-style-type: none"> • SSMP Circular 5800.1 • Full Funding Grant Agreements Guidance 5200.1A (Chapter 2) • 49 CFR 659 • FTA P&CM Guidelines (Chapter 2)
Startup and Testing Plan		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 3)
Operating Plan		
Configuration Management Plan		
Other Project Management Products (If changed since approval to enter FD)	-	<ul style="list-style-type: none"> • Capital Program Circular 9300.1A (Chapter V) • Grant Management Circular 5010.1C (Chapter 1) • FTA P&CM Guidelines (Chapter 4)
Value Engineering Analysis Report		
Procurement Contract Packages	-	
Contracting Plan for Construction/Procurement (draft policies and procedures for all proposed contracting)) inclusive of profit strategies and proposed risk allocation measures		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 2-4) • Third Party Contracting Circular 4220.1E
Claims Avoidance Plan for Construction/Procurement Phase		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 3)

Third Party Agreements	-	<ul style="list-style-type: none"> • Grant Management Circular 5010.1C (Chapter 1) • 23 CFR 645, Utilities • FTA P&CM Guidelines (Chapter 4) • FFGA Guidance 5200.1A (Chapter 2)
Utility Agreements (executed)		
Master, Interagency, Public/Private, Joint Development, Railroad and Right of Way Agreements (executed)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4)
NEW STARTS TEMPLATES, CERTIFICATIONS, AND OTHER REPORTS (IF CHANGED SINCE APPROVAL TO ENTER FD)	-	<ul style="list-style-type: none"> • Reporting Instructions
New Starts Criteria Templates and Certifications (If changed since FD)		
SCC Annualized Cost Worksheets (If changed since FD)		<ul style="list-style-type: none"> • Standard Cost Categories for Capital Projects
Land Use Supporting Information (If changed since FD)		<ul style="list-style-type: none"> • Reporting Instructions • Guidelines and Standards for Assessing Transit-Supportive Land Use
FFGA ATTACHMENTS	-	
Attachment 1 – Scope of Project		
Attachment 1A – Project Map (In color)		
Attachment 1B – Project Vicinity Map (In color, showing project in relation to transportation network/major transit lines)		
Attachment 2 – Project Description		
Attachment 3 – Baseline Cost Estimate (BCE)		
Table 1 – BCE by SCC		
Table 2 – Escalated BCE Calculation		<ul style="list-style-type: none"> • Full Funding Grant Agreements Guidance 5200.1A (Chapter 3) • Sample FFGA Attachments Available on Request
Table 3 – BCE by Funding Source		
Attachment 3A – Project Budget		
Attachment 4 – Baseline Schedule		
Attachment 5 – Prior Grants and Related Documents		
Attachment 6 – Schedule of Federal Funds		
Attachment 7 – Measures to Mitigate Environmental Impacts		
Attachment 8 – Implementation of a Before and After Study		
Attachment 9 – If Required by FTA		
OTHER REQUIREMENTS	-	
Grant Application (In TEAM)		
5333(b) Department of Labor (DOL) Certification of the grant application		<ul style="list-style-type: none"> • Full Funding Grant Agreements Guidance 5200.1A (Chapter 4)
Authority to pursue and contract with project delivery method proposed (if not design-bid-build)		<ul style="list-style-type: none"> • FTA P&CM Guidelines (Chapter 4)
Letter from Project Sponsor to Regional Administrator requesting an FFGA		