

**SMART
SCALE**

*Funding the Right
Transportation Projects
in Virginia*

SMART SCALE Application Guide

prepared for

Commonwealth Transportation Board

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1.0 Introduction

1.1 PURPOSE OF THIS DOCUMENT

The purpose of the Application Guide is to provide detailed information on the SMART SCALE application process and inputs needed for project screening and scoring as well as guidance and tips on how to develop a complete application.

1.2 APPLICATION PROCESS

A pre-application coordination form is available for potential applicants to download and print prior to submitting application information online. The purpose of this form is to provide the potential applicants with a clear understanding of the information and data that will be required for submission in the online application. This pre-application form may also be used to discuss project-related application questions and share compiled data to be used for the application.

Prior to submitting a complete application, the project sponsor should submit a “Notice of Intent to Apply” within the on-line application tool by August 22. This will facilitate and guarantee technical assistance from VDOT and DRPT in application preparation. With sufficient notice, VDOT and DRPT staff will be available to provide support and tools for applicants in compiling data and information needed for prospective applications.

The Notice of Intent to Apply is comprised of the following fields:

- Project Title
- Principal Improvement
- Organization Name
- POC Name
- POC Phone Number
- POC Email
- Project Description
- Project Administration
- Existing UPCs (if available)

Once the applicant is ready, the online application can be completed and submitted via the SMART Portal link at <http://smartscale.org/>.

- Eligible entities must identify a staff person to serve as the Administrator for the online SMART SCALE application system. Designated

Administrators will be provided login credentials via email. If the Administrator experiences any problems they should submit an email to SmartPortal@CTB.Virginia.gov

Note: Once an application has been completed and submitted, the organization Administrator and Submitter will receive an email confirmation that the application submission has been received.

1.3 SCHEDULE/DEADLINES

The application and evaluation process timeline for the first SMART SCALE implementation cycle includes:

- **July** – Early coordination with DRPT and VDOT prior to application submissions.
- **August 1** – Call for applications.
- **August 22** – Deadline for completing the Notice of Intent to Apply for funding. This notice must be completed by the deadline in order to guarantee VDOT/DRPT support on a project application.
- **August through September** – Applicants coordinate with DRPT staff and VDOT District staff on candidate projects and submit applications.
- **September 30** – Applications due. All applications will be made public after the deadline to submit has passed. Applications may be edited after they are submitted up until the end of the application period, September 30, 2016. Resolutions of support from relevant entities may be submitted to SmartPortal@CTB.Virginia.gov up until December 1, 2016.
- If the project is submitted to promote a locally designated growth area with a code reference to the Code of Virginia (§15.2-2223.1), the project applicant submitter must confirm with OIPI prior to October 1st the validity of the code reference or the status of the designated Urban Development Area in the jurisdiction’s current comprehensive plan.
- **October through January** – Submitted projects are screened and evaluated by OIPI, VDOT and DRPT.
- **Mid-January** – Results of SMART SCALE screening/scoring presented to CTB and public.
- **February through June** – SMART SCALE-funded projects will follow existing public comment period and SYIP approval process.

1.4 APPLICATION ASSISTANCE

VDOT and DRPT intend to provide support to applicants prior to entering applications to help applicants understand and meet expectations. Project applicants are encouraged to initiate coordination with VDOT and DRPT staff prior to the application period to ensure that candidate projects are adequately developed.

For highway projects, localities should work initially with the VDOT RA/RE, and regional entities (MPOs/PDCs) should work with the PIM/DPM to address questions and compile information. Depending on the project, district resources will be made available to assist with refining project scopes, schedules, and estimates. These resources may include the District Project Development Engineer (PE Manager), District Bridge Engineer, District Construction Engineer, Regional ROW Manager, Regional Traffic Engineer, and District Planning Manager (DPM). A list of VDOT and DRPT contacts is available through the [SMART Portal About Page](#).

Certain projects that are based on conceptual planning-level recommendations and have not been formally scoped or defined, may require additional planning/pre-scoping level work before their benefits can be adequately assessed according to the SMART SCALE factors and measures. Planning and pre-scoping resources exist within VDOT, DRPT, localities, regional planning bodies, and some other entities (e.g., SPR, PL, Pre-scoping, FTA 5303, FTA 5304, etc.). However, resources are unlikely to be sufficient to fund every potential request for assistance for project development related to the SMART SCALE process. In these cases, VDOT/DRPT may recommend to the applicant the need for additional study prior to SMART SCALE submittal.

2.0 General Project Information

Projects submitted as candidates for SMART SCALE funding will be held to a basic standard of development to assure they can be evaluated reliably. The information presented in this section is intended to aid the applicant by explaining application fields as well as providing information to develop a complete application.

2.1 APPLICANT INFORMATION

Non-profit public transportation agencies, and regional entities (Metropolitan Planning Organizations (MPOs), the Northern Virginia Transportation Authority, and Planning District Commissions (PDCs)) are eligible to submit projects, along with counties, cities, and those towns that maintain their own infrastructure. A summary of the entities eligible to submit projects for SMART SCALE is presented in Table 2.1 of the [SMART SCALE Technical Guide](#).

In addition to the applicant name, the application will request a Project Point of Contact. This person should be able to provide general project information, particularly during the pre-application phase when questions about the project's completed level of planning are being addressed.

2.2 TYPE OF IMPROVEMENT

Highway, bus and rail transit, bicycle and pedestrian, freight rail, road, operational improvements, and transportation demand management projects and strategies will be considered. The applicant must identify the main or primary intent of the project. In addition, the Project Features section of the application provides a list of types of improvements that are associated with the project application.

Note: The type of improvement (Principal Improvement Type) must be selected to enable the "Save" functionality. This field will be flagged in red until an option is selected from the dropdown menu.

2.3 PROJECT INFORMATION

Projects submitted must have a clear scope, schedule, and budget. The Project Description should provide specific details of the proposed project and associated improvements, and describe the specific improvements and their

location. The Project Description field in the on-line application has a 2,000 character limit.

- An adequate project description should include the following:
- Brief description of existing conditions/issues
- Detailed description of the proposed improvements including length, location, and extent of each
- An explanation of how the proposed improvements mitigate the existing conditions/issues

More detailed descriptions of project improvements should be provided in the Project Features section. Additionally, the applicant should take into account the following items when writing their project description:

- Project description should be as detailed as possible but not include unnecessary/irrelevant information
- Project description should be consistent with those items detailed in the project features and shown in the project sketch.

A shortened project description (250 characters or less) will also be required. This description will be used on the scorecards and as a high-level project summary.

Example of a SMART SCALE Project Description:

This project will widen approximately 3,100' of Wilson Highway from the existing two lane roadway with a center left turn lane to a four lane urban section with a 16' median and a 10' shared use path along the full length. Two new signalized intersections will be added to support the Sierra Madre Commercial Development. The project limits are from 450' East of Claremont Boulevard to Rock Creek Drive. The project features are as follows: Two new lanes, intersections and synchronized traffic signals will be constructed. A 10' shared use path for bikes and peds will be constructed. A new transit route, park and ride lot, and bus shelters will be added to the development site. Access to a rail spur will be increased. ROW will be acquired for widening and storm water detention. Lakeforest, the Commonwealth's first Development of Regional Impact, will be a significant boost to the local economy of Westminister. The project will be developed in phases with the first business of Phase 1 opening on February 4, 2015. A trip generation study conducted by Rodman Associates projects 16,506 new daily trips for Phase 1 and 29,320 new daily trips for Phases 1 and 2. Lakeforest is projected to create 2,500 full time jobs and produce annual sales of \$545 million. The improvements to Wilson Highway that are proposed in this project are critical for the effective movement of vehicles in this area and for the success of Lakeforest.

Brief description of existing conditions

Detailed description of proposed improvements including length, location, and extent

Explanation of how proposed improvements mitigate existing conditions

2.4 VTRANS NEED

VTrans2040 is the Commonwealth's long range transportation plan. The Needs Assessment developed within the VMTP serves as a screen for projects applying for consideration under the SMART SCALE prioritization process. Applicants are required to identify which of the four scales primarily best fit their candidate project and how their proposed project meets a VTrans need on any of the scales selected. A project could address one or multiple scales. The VTrans needs documents can be accessed at vtrans.org.

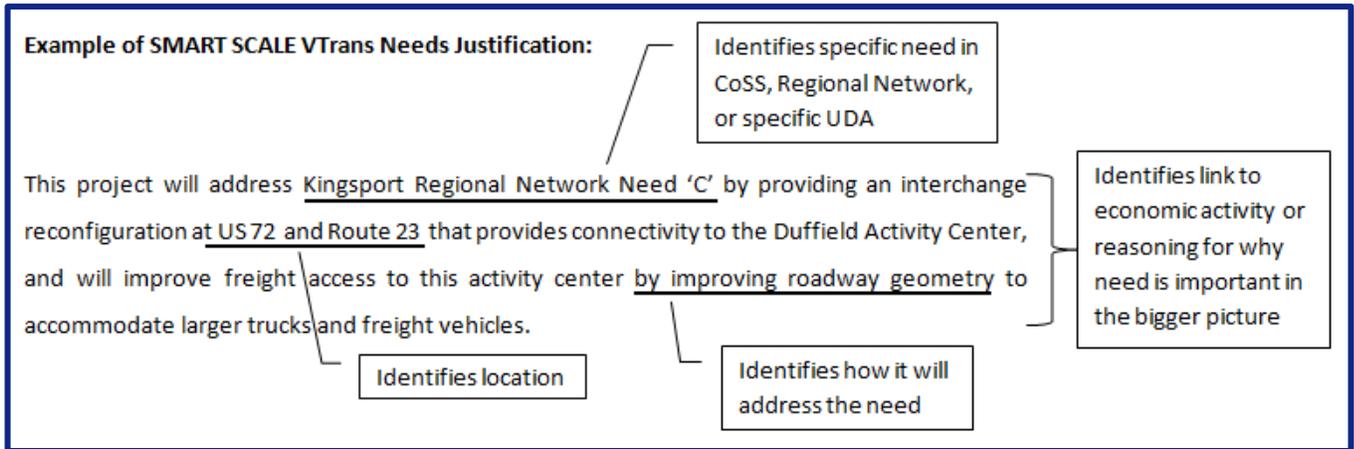
- Corridor of Statewide Significance (COSS) - key multimodal travel corridors that move people and goods within and through Virginia, serving primarily long-distance / interregional travel;
- Regional Networks (RN) - multimodal networks that facilitate intraregional travel within urbanized areas;
- Urban Development Areas (UDA) - areas where jurisdictions intend to concentrate future population and employment growth and development consistent with the UDA section within the Code of Virginia (§15.2-2223.1); and
- Transportation Safety Needs - statewide safety needs identified in VTrans2040 will be eligible for funding under the District Grant Program.

There are two areas in which an applicant can justify how their proposed project meets a VTrans need.

1. General - an applicant can use the field on the General page to describe how their proposed project meets a VTrans need. This description is limited to 2000 characters.
2. Location - an applicant can use the mapping tool to identify specific VTrans needs. For each VTrans need selected, the applicant will need to provide a justification for each need selected. See smartscale.org/resources for assistance in using the mapping tool.

An adequate VTrans Need description will include the following:

- Identifies specific need that is addressed by the regional network CoSS segment, Regional Network, UDA, or Safety Need
- Identifies project location
- Identifies how the project will address the need
- Identifies the link to economic activity or reasoning why the need is important in the bigger picture



2.5 PROJECT LOCATION

As part of the application, the applicant will use the mapping tool on the Location page to identify the project area (footprint or service limits). A polygon can be drawn around the project. Once drawn, the individual roadway segments included within the polygon will be listed and the applicant can select individual roadway segments to further refine the project. The mapping tool also allows for selection of multiple polygons or polygons drawn around proposed new alignments.

VDOT and DRPT will use the mapped project location for multiple aspects of the project analysis, including the safety, congestion, and accessibility measures. In addition, other geographic information is captured, i.e. MPO/PDC, locality, VDOT District, and detailed route information. It is important for the applicant to be precise only mapping the extents of the project. Mapping too broad of a project area may skew automated data by including areas not actually affected by the project requiring VDOT and DRPT staff to make changes post submission. See smartscale.org/resources for a walk through of how to use the mapping tool.

In addition to mapping the project, a project sketch, plan, or drawing of infrastructure improvements must be uploaded and should match the limits of the area(s) drawn. For transit, TDM, rail and operational projects drawn to cover larger geographical areas, maps of coverage, routes or rail-lines with operational improvements should be uploaded to document the project affected location(s) and features details.

The uploaded project sketch should illustrate:

- How the proposed improvements differ from the existing conditions
- Intersection and minor road improvements
- Nearby road names in order to determine location
- Legend

Note: The project sketch should:

- Be at an easy to read scale or includes insets for intersections or other highly detailed areas.
- Not simply be a snapshot from Google Maps with a circle around the project area.
- Not show additional improvements that are not included in the project description (e.g., the project sketch shows all three phases of a project even though the SMART SCALE application is for one phase only).
- Applicants should not upload multiple project sketches with conflicting information.

3.0 Project Features and Evaluation Factor Inputs

3.1 PROJECT FEATURES

The on-line application provides opportunity to further discuss the details of the project improvements through the features section. The applicant may select any of the project improvements relevant to their project and explain that improvement in depth. Each project improvement has a 350 character limit, but should be as specific as possible.

In addition to providing a detailed description for each applicable project feature, the following guidelines should be used to assist the applicant in providing a complete and accurate application regarding specific project types.

Construction of New Roadway

- Thorough project description highlighting the approximate connection distances, location of termini, any upgrades to the existing roads, and matches to a project sketch.
- Project sketch with clearly defined shapes and legend to decipher between the existing alignment improvements and new alignment improvements.
- Full Typical Section showing the general layout along the corridor for existing and/or proposed improvements.
- Rough estimate of current detour route and traffic volumes for any impacted roads.

Improvement to Existing Roadway

- Thorough project description highlighting the project area, all improvements, and location of termini which matches a project sketch.
- Project sketch showing detailed/conceptual proposed design along corridor, existing conditions, legend, and aerial background.
- Ideally, project sketches should contain only the proposal to be analyzed. In situations where multiple project alignments or phases are shown on the sketch, the applicant should take measures to clearly identify the appropriate scenario and/or phase that matches the application.
- Interchange improvement description and sketches should include all intersections impacted, proposed geometry with updated storage, taper lengths, and forecast traffic for each ramp.

- Interchange improvements should clearly state if acceleration or deceleration lane extensions are included in the project, and if so, include the existing and proposed lengths.
- Additional geometrics to be included when possible: lane/shoulder widths, grade, posted and design speed, segment lengths, and lane configurations at intersections.
- Traffic information should be as complete as possible with references to relevant studies. Existing, Future No-Build, and Future Build forecasts for 2025 are needed.
- Organized corridor study including project information such as typical cross-sections, clearly identified preferred alternative, and traffic counts.

Intersection Improvements - Existing or New

- Please detail all intersections within the project limits to be improved.
- Please indicate if your project includes any unconventional or non-typical intersection treatments such as roundabouts, quadrant roadway intersections, displaced left turns, etc. Be sure to specify the specific intersection.
- Detail turn lane improvements by approach and by intersection.
- Include turning movement counts for all improved intersections, if available.
 - » If project includes a new intersection, include projected turning movement counts
- Describe any special traffic signal controls (adaptive, coordinated, etc.).

Note: Proposed new traffic signals should include a traffic signal warrants analysis to justify their use as the appropriate traffic control method at the proposed location - please upload documentation. If signal warrant analysis has not been conducted to show signal warrants have been met, then this will provide justification to screen out the project.

Road Segments - Existing or New

- Be as specific as possible on the typical section - this should include, where applicable, number of through lanes, average lane width, shoulder type (paved, grass, unpaved, etc.), shoulder width, median type (center left turn, raised, depressed, undivided, etc.) and median width.
- When applicable, describe any non-typical features such as bus/transit, HOV, or HOT lanes.

Bicycle/Pedestrian

- In order to receive credit, all bike/ped facilities must be shown and labeled (along roadway, at intersection approaches, etc.) in the project sketch. Include the dimensions of the facilities.
- Wide sidewalks do not qualify as shared use paths. Minimum shared use path criteria outlined in the road design manual must be met in order to qualify for a shared use path.

Grade-Separated Interchange

- Please detail the interchange type (diamond, PARCLO, DDI, etc.).
- Indicate if project includes the construction of collector distributor lanes, with the begin and end point.

Note: Proposed new grade separated interchanges should include a draft or final Interchange Justification Request (IJR) study or interchange feasibility study – please upload documentation. If this level of planning analysis has not been conducted to show the new grade separated interchange is warranted and/or feasible, then this will provide justification to screen out the project.

Rail Transit

- Indicate the location of any new rail stations.
- Provide the anticipated ridership (2025) for peak hour and daily.
- Indicate the corridors served.

Bus Transit

- Indicate if expansion of existing service or provision of new service.
- Provide location of route(s) and route stops.
- Describe frequency of service during peak hour.
- Provide anticipated ridership (2025) for peak hour and daily.

Freight Rail

- When applicable, detail the provision of rail yards, rail terminals, etc.
- Indicate location and type of track improvement.
- Indicate freight highway corridors served.
- Describe if the project closes/grade separates a highway rail crossing.

Park-and-Ride

- Project description clearly defines any bus routes affected and ridership changes due to improvements.

- Project sketch should include any alternative amenities such as, but not limited to, slug queueing areas, vehicle charging stations, bus shelters, bus lanes, drop off/pick up lanes, handicapped or vanpool parking, etc.
- Project sketch should clearly show improvement areas and any necessary roadway/bike/pedestrian/transit improvements involved.
- Project sketch or description should include number of existing and new/additional parking spaces (including car and bike parking).

3.2 EVALUATION FACTOR INPUTS

Detailed descriptions of the methodology that will be used to evaluate projects are contained in Appendices A through F of the [SMART SCALE Technical Guide](#). The following is an overview of the specific inputs that will need to be provided to complete the application.

Safety and Congestion Mitigation

The Safety and Congestion factor areas contain measures that will be calculated by VDOT and DRPT staff using information provided on the project description and location.

Safety measures (Technical Guide Appendix A):

- Equivalent Property Damage Only fatal and injury crashes
- Equivalent Property Damage Only rate of fatal and injury crashes

Congestion measures (Technical Guide Appendix B):

- Person throughput
- Person hours of delay

Additional applicant requirements for Safety and Congestion measures – If the project is located on a non-VDOT roadway facility, the project applicant must provide existing (most recent year available) AADT by roadway segment within the project limits.

Accessibility and Environmental Quality

The Accessibility and Environment factor areas are made up of measures that will be calculated entirely by VDOT and DRPT as well as measures that require the applicant to enter information in the on-line application.

Accessibility measures (Technical Guide Appendix C):

- Access to jobs
- Access to jobs for disadvantaged populations
- Access to multimodal choices

Environmental Quality measures (Technical Guide Appendix D):

- Air quality and energy environmental effect
- Impact to natural and cultural resources

Additional applicant requirements for Accessibility and Environmental measures – The applicant needs to respond Yes or No to each of the questions provided in these sections of the application. Additional space is provided in the application to explain the response if it is not clear in project scope. To see a list of questions for these measures refer to the [SMART SCALE Pre-Application Coordination Form](#).

Note: If your project includes construction or replacement of bike facilities, to qualify, you must be constructing or replacing an off-road or on-road bike facility such as a bike lane or shared-use path.

Economic Development

The Economic Development factor requires the applicant to provide information regarding development sites in the vicinity of the project. The factor is made up of three measures (Technical Guide Appendix E):

- Project support for economic development
- Intermodal access and efficiency
- Travel time reliability

Additional applicant requirements for the Economic Development measure – The focus of this measure is on project consistency/support of local/county/PDC/regional economic development plans and support of real, planned non-residential development (residential-only developments are not considered) within the project corridor (what is included in the project corridor is clarified in steps below). Applicants are asked to provide a list of development sites that are supported by the transportation improvement and should include the building square footage, type of access (direct vs. indirect), and driving distance from the transportation improvement to the development site. Responses to each of the questions in this measure may require documentation.

Note: Applicants should ensure the square footage used for site development is the actual building square footage and not the square footage of the parcel.

Land Use and Transportation Coordination

The Land Use factor area is evaluated based on applicant input. The one measure to evaluate land use coordination is (Technical Guide Appendix F):

- Transportation efficient land use

Additional applicant requirements for the Land Use Coordination measure – Project applications should indicate the project’s ability to address the policy and planning criteria listed in the application. For a project to qualify as a “Yes” for

mixed-use development it must be within $\frac{1}{4}$ mile of parcels currently zoned for mixed use development or parcels identified in the future land use plan (zoning map and/or comprehensive plan) as mixed use development. A mixture of individually zoned limited use parcels such as residential, commercial, office, etc. clustered together do not qualify. VDOT/DRPT staff will review the project application against these criteria to confirm consistency.

4.0 Project Delivery and Funding

4.1 PLANNING STATUS

All relevant local, regional, and statewide planning documents in which the proposed project is referenced should be selected and uploaded to the on-line application. Specifically, the application will ask whether the project was included in any of the following:

- Constrained Long Range Plan (MPO)¹
- Vision Long-Range Plan (MPO)
- Rural Long Range Plans
- Other Regional Plan
- Transportation Element of Local Comprehensive Plan
- Planning / Safety Study
- State Transportation Plan
- Transit Development Plan (TDP)
- National Environmental Policy Act (NEPA) Study
- Preferred Alternative (NEPA or Planning Level)

4.2 PROJECT ADMINISTRATION

If a locality indicates the desire to locally administer a project on the SMART SCALE application;

- Estimates used for scoring purposes on proposed locally administered projects will still be validated by VDOT and/or DRPT staff.
- Projects that fall under DRPT oversight should follow the DRPT Project Partnership process.

¹ A project does not need to be included in the Constrained Long Range Plan (CLRPP) to be selected for funding; however, the project must meet the relevant federal requirements for inclusion into the CLRPP and will need to be included in the CLRPP in order to make use of funding received through SMART SCALE and advance.

Projects that fall under VDOT oversight should follow the guidelines as outlined in the [Locally Administered Projects Manual](#).

4.3 PHASE AND SCHEDULE

At a minimum, the schedule should:

- Define the process for further project development: key milestones, work activities, related activities, and approvals/approval timelines.
- Reflect the complexity of the project
- Identify the ad date, and the duration for each project phase (PE, RW, CN or other entered milestones).

For All Phases (PE, RW, & CN)

- For future planned phases, % complete should be “0.”
- For existing underway phases, % complete indicates level of completion to date for all required tasks or milestones identified as a part of the phase
- For all future phases, start date should be no earlier than August 1, 2021. Actual dates will depend on actions required to obtain Federal and/or state authorization to begin the phase. If multiple phases are required, the start dates for each phase should be based on the earliest phase starting on August 1, 2021.
 - » For example a future CN project requiring 10 months of RW would have a RW start date of August 1, 2021, and a CN start date of June 1, 2022.
- Phase estimate should account for the total cost of the phase to include future planned costs and costs of any previous work or accomplishments to date on existing phases

Preliminary Engineering (PE) Phase

- Information about existing underway phases will provide qualitative feedback to the CTB regarding project efforts to date (e.g., NEPA complete, Preliminary Field Inspection level plans, RW level plans, etc.).
- If planning level activities are included in a phase’s cost estimate, the funding sources utilized to accomplish those activities should be included under the Project Funding Sources described below.
- For existing underway phases, phase start should reflect the date that the applicant received one of the following:
 - » Federal authorization or state equivalent to begin the PE phase (or planning efforts that are included in estimate/funding), or

- » Beginning of substantial preliminary engineering activities (e.g. survey, environmental, or design related activities such as initiating in-house or consultant procured design).
- Phase end date is not required for the PE phase (PE phase may run concurrently with future planned phases of work).

RW Phase (Right-of-way and Easement Acquisition, Utility Relocation)

- RW phase costs should exclude the value of donated land, easements, or other RW phase related in-kind contributions; otherwise, the applicant should denote these items are reflected as “Local Funds” in the Project Funding Sources.
- For existing underway phases (or for future RW phases where PE has already begun), phase start should reflect the date that the applicant received (or plans to receive) one of the following:
 - » Federal authorization or state equivalent to begin RW phase, or
 - » The date in which the applicant issued notice to proceed to in house or consultant staff for the RW acquisitions or Utility Relocations.
- Phase end date is not required for the RW phase as it is understood that the RW phase may run concurrently with future planned phases of work.

CN Phase (Construction)

- The CN phase status should be “not started” as this program is to fund projects for construction; CN phase is required to be filled out.
- Percentage complete should be “0%” for most projects. If it is greater than “0%” complete, an explanation must be provided.
- Phase estimate should account for the total planned cost of the Construction phase by including:
 - » The expected cost of construction
 - » Construction engineering and inspection costs
 - » Appropriate contingencies
 - » Appropriate non-contract specific costs (e.g. state police costs)
- To the extent possible, CN phase costs should attempt to exclude the estimated costs of in-plan utility betterment that is expected to be at the locality or other regional entity’s cost unless the project has progressed sufficiently through design that a more accurate estimate for such costs has been established. If such aspects are included as a part of the phase’s cost estimate, the applicant should denote that the value of such items are reflected as “Local Funds” in the Project Funding Sources table below under Previous or Future Commitments depending on the current status of project development.

- Provide a planned start date that reflects the anticipated date that the state and/or applicant expect to advertise the construction phase. For multi-segment or multi-phase construction phases, the planned start date should reflect the expected date the next segment of construction could begin if appropriate funding was programmed to the project. The construction phase estimate should be inflated to the planned construction start date.
- Provide a planned end date that reflects the anticipated date of fixed completion for the construction project. This date is important in order for the state to adequately program project funding in accordance with the project's projected schedule and cash flow requirements.

Other

- Provide a title and description of the activities covered in other phase that are not covered by PE, RW, or CN phases.

4.4 COST ESTIMATE

Accurate cost estimates critically impact the project score and cost estimate increases could force the project to be rescored in subsequent SMART SCALE cycles. Prior to submitting project applications, applicants should work in conjunction with VDOT and DRPT staff to develop reliable cost estimates as part of the application process.

- For projects in which the applicant requests VDOT to administer the project, VDOT will be responsible for providing the applicant with a cost estimate for each project application. If the applicant has provided an estimate, VDOT will be required to validate the estimate for use on each project application.
- For projects in which the applicant requests to locally administer the project (and for all DRPT oversight projects), the applicant may provide a cost estimate for each project application, however VDOT and/or DRPT staff must validate the estimate for use on each project application.
- If there is disagreement concerning the estimate that cannot be resolved between the applicant and the VDOT/DRPT local contact, the applicant may request resolution from the VDOT District Engineer/Administrator or the DRPT Director.

The cost estimate should account for applicable risk and contingencies based on the size and complexity of the project. Projects incurring one-time and ongoing operations and non-construction costs (i.e., purchase of transit vehicles) should clearly identify those costs.

VDOT's Project Cost Estimating System (PCES) workbook is the preferred tool for developing cost estimates for roadway projects. If quantities are known,

TRANSPORT can be used for cost estimates. It is important that the applicant works directly with VDOT staff through project specific scope and costing issues.

For the SMART SCALE application, the cost estimate for each phase should be based on the schedule shown in the application. To the extent possible, document all assumptions and contingencies used.

4.5 FUNDING SOURCES

Six Year Improvement Program Allocations

- Provide the total amount of allocations listed in the most recently adopted [Six-Year Improvement Program \(SYIP\)](#) for all fiscal years, regardless of the type of funding. For example, if there are local project contributions shown in the SYIP, they must be included as SYIP allocations. SYIP allocations should not be reduced by expenditures to date. A VDOT UPC or DRPT project number must be provided.
- If SYIP allocations on a VDOT UPC or DRPT project that is not the subject of the application are to be used for the project described in the application this should be noted in the UPC/Project Number Section.
- If SYIP allocations for a VDOT UPC or DRPT project number that directly relates to the project described in the application are to be adjusted if the project is selected for funding (e.g., local project contributions currently shown on the project in the SYIP are to be reduced if selected for funding through SMART SCALE), the adjusted amount should be shown and explained in the Related UPC/Project Number section.

Other Committed Funding Sources (not shown in SYIP)

- Provide the total amount of funding committed to the project that is not already shown in the most recently adopted SYIP. This may include local funding, proffers, in-kind contributions, etc.
- If there are anticipated funds being used to leverage and reduce the SMART SCALE request, such anticipated funds should be included as the “Other Committed Funding Sources”. This may include pending applications for VDOT or DRPT funding programs (Revenue Sharing, TA Set-Aside, FTA Programs), regional funding (CMAQ/RSTP), or local funds requested from the BOS or City/Town Council. An explanation of the source of the requested funding must be provided.
- When submitting an application with anticipation of other funding sources, the applicant is committing to covering such funds if they are not provided to the project. The applicant must provide documentation of other requested funds, such as resolutions of support, letters, applications, etc. An explanation of the source of the requested funding must be provided.

SMART SCALE Request

Provide the total amount of funding requested through the SMART SCALE grant programs. This should reflect the difference between the total project cost estimate (to include all phases) and the sum of SYIP and other committed. Projects selected for funding under SMART SCALE that are Federally eligible, will be developed as Federal projects.

4.6 SUPPORTING DOCUMENTS

The following checklist will help you prepare and compile supporting documentation that can be uploaded into the web-based application.

Required

- Project Improvement Sketch
- Resolution of Support from Responsible Entity (MPO, PDC, NVTA) {by public transit agencies and localities on CoSS}
- Resolution of Support from Relevant Entity (MPO, PDC , NVTA) {by public transit agencies and localities on CoSS}
- Detailed Project Cost Estimate
- Documentation of Source of Other Committed Funds (Resolution, Letter, Application)
- Local Comprehensive Plan, if applicable
- Local/Regional Economic Development Strategy, if applicable
- Site Development References per Economic Development Responses, if applicable
- Existing traffic counts. For non-state roadways, applicants should submit 2025 traffic volumes.

Optional – Strongly Recommended

- Previous Studies