

This help information is not a comprehensive description of each required input field in this form. For more details on inputs that are not described below, please reference the SMART SCALE Technical Guide (<http://SmartScale.org/>).

## ① Short Project Description

- Provide a brief description of the project. This field has a 250 character maximum. This description will be used on the project scorecard.

## ② Detailed Project Description

- Provide specific details of the proposed project and associated improvements. Describe the specific improvements and their location. This field has a 2,000 character maximum. This detailed description is used to understand the project specifics in order to develop measures.

## ③ VTrans Need

- Describe how the project addresses a need in VTrans on the CoSS, Regional Networks, or UDAs. To identify safety needs refer to the Virginia Multimodal Transportation Plan (VMTP) Needs Assessment as the source of this information. This field has a 1,300 character maximum.

## ④ Project Features

- Describe the selected improvements in as much detail as possible using 350 characters or less. For example, if a sidewalk is proposed, provide the limits of construction and its location (e.g., one side of the roadway or both sides). Please be sure to describe any special landscaping, architectural or aesthetic features related to this project.

## Project Delivery Information

### ⑤ Project Planning Status

- Select all that reference the project and provide information to assess project readiness.
- NEPA does not have to be complete, however, the project must be sufficiently developed such that benefits can be calculated. For projects that require evaluation of multiple alternatives (e.g., new facility on new location), the applicant must identify the alternative to be evaluated, such as the NEPA Preferred Alternative if applicable.

## Cost Estimate and Schedule

Estimates and schedules should reflect that all work that is federally eligible will be performed following the federal process. Existing SMART SCALE projects may not be submitted for consideration in subsequent rounds to address estimate increases or release of other funds.

### ⑥ PE Phase

- Select phase status from drop down box (not needed, not started, underway or complete).
- For existing underway phases, % complete indicates level of completion to date for all required tasks or milestones identified as a part of the phase; this will be used to provide information to the CTB regarding project efforts to date (e.g., NEPA complete, PFI level plans, RW level plans, etc).
- For future planned phases, % complete should be "0".
- 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. To the extent possible, PE phase costs should attempt to exclude planning level activities unless directly assigned to the project's budget. If planning level activities are included as a part of the 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 date should reflect the date in which the state or applicant received federal authorization, or state equivalent, to begin the PE phase (or planning efforts if those efforts are being included in the estimate/funding) or applicant began substantial preliminary engineering activities such as survey, environmental, or design related activities such as initiating in-house or consultant procured design.
- For a future planned PE phase, the applicant should assume a start date of no earlier than August 1, 2023. Actual dates will depend on actions required to obtain federal and/or state authorization to begin the phase (e.g., TIP/STIP action, locally administered project agreement, etc.).
- Phase end date is not required for the PE phase as it is understood that the PE phase may run concurrently with future planned phases of work.

## ⑦ RW Phase

- Select phase status from drop down box (not needed, not started, underway or complete).
- 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 future planned phases, % complete should be “0”.
- 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. To the extent possible, RW phase costs should attempt to exclude the value of donated land or easements or other RW phase related in-kind contributions. 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 described below.
- For existing underway phases, phase start date should reflect the date in which the state or applicant received federal authorization or state equivalent to begin the RW phase or the date in which the applicant issued notice to proceed to in house or consultant staff to proceed with 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.
- For a future planned RW phase where PE phase work has already begun, the applicant should provide the planned date in which the project is expected to receive federal authorization or state equivalent to proceed with RW phase work or the planned date in which the applicant plans to issue notice to proceed to in house or consultant staff to proceed with RW acquisitions or Utility Relocations.
- For a future planned RW phase where PE phase work has not yet begun, the applicant should provide the planned date in which the project is expected to receive federal authorization or state equivalent to proceed with RW phase work based on current day estimates.
- **Cost estimates will be escalated by VDOT or DRPT pursuant to the scheduled phase start date included in the application.**

## ⑧ CN Phase

- Select phase status from drop down box (not needed, not started, underway or complete). It is assumed that the CN phase status should be “not started” – this program is to fund projects for construction and while a PE and RW phase may or may not be required or has already been completed, the CN phase is required.
- % 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 to include the expected cost of construction, appropriate construction engineering and inspection costs, appropriate contingencies, and any appropriate non-contract specific costs (such as state or local police costs, etc). 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.
- For CN phases, the applicant should provide a planned start date that reflects the anticipated date that the state and/or applicant is expecting to advertise the construction phase to industry. **The construction phase estimate should not be inflated to the planned construction start date, VDOT or DRPT will escalate the estimate.** For a future planned CN phase where PE and RW work has already begun, the applicant should provide the planned date in which the project is expected to receive federal authorization or state equivalent to proceed with CN phase work. For a future planned CN phase where PE and/or RW phase work has not yet begun, the applicant should provide the planned date in which the project is expected to receive federal authorization or state equivalent to proceed with CN phase work.
- The applicant should provide a planned end date that reflects the anticipated date of 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.

## Cost Estimate and Schedule (continued)

### 9 Other Phase

- Provide a title and description of the activities covered in other phase that are not covered by PE, RW, or CN phases.
- Select phase status from drop down box (not needed, not started, underway or complete).
- 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 future planned phases, % complete should be “0”.
- 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.
- For existing underway phases, phase start date should reflect the date in which the state or applicant received authorization to begin this phase.
- For a future planned phase, the applicant should assume a start date of August 1, 2023. Actual dates will depend on actions required to obtain federal and/or state authorization to begin the phase.
- **Cost estimates will be escalated by VDOT or DRPT pursuant to the scheduled phase start date included in the application.**
- The applicant should provide a planned end date that reflects the anticipated date of completion for this phase.

### 10 Project UPC(s)/DRPT Project Number(s) and SYIP Allocations

- Please identify projects that are currently included in the Six-Year Improvement Program that will be used as a funding source(s) for the proposed project. For each VDOT UPC and/or DRPT project number listed, briefly describe its relationship to the project in the application. For example, if funding from UPC 12345 is to be used as leverage and reduce the SMART SCALE request, UPC 12345 should be identified in this section with an explanation that funds are to be transferred and used as leverage. The amount of funds being used to leverage and reduce the SMART SCALE request should be shown as SYIP Allocations.

### 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, including allocations provided in previous fiscal years, regardless of the type of funding. 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 Description 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 UPC/Project Number Description Section.
- SYIP allocations should include all allocations from the SYIP. 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.

### 11 Other Project Funding Sources

- If there are anticipated funds used to leverage and reduce the SMART SCALE request (that are not included in the SYIP), such anticipated funds should be identified as Other Committed Funds. Applicants must have an approved or pending application for other sources of committed funds, such as local/regional or other federal funds at the time of the SMART SCALE application submission. The cost of proffers, in-kind contributions, in-plan utility betterments, etc. should be identified here as other committed funds and if included in the cost estimate. For each fund source provide an explanation of the source of committed funds. If submitting an application with other committed funds that have not yet been approved, then the applicant must provide documentation such as a resolution of support, letter of support, grant application, etc. Each source of other committed funds must be identified.

## **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 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.
- Future applications for State of Good Repair, Transportation Alternatives, Safety, Revenue Sharing, CMAQ, RSTP, NVTC, HRTAC, FTA New Starts, etc. cannot be considered other committed funds.
- 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.

## **12 SMART SCALE Request**

- Provide the total amount of funding requested through the SMART SCALE grant programs. If funds are being requested from both grant programs, the total request should be entered. This should reflect the difference between the total project cost estimate (to include all phases) and the sum of SYIP and committed fund sources. The Total Project Funding must equal the Total Cost Estimate.