Summary of Round 3 Policy Changes

SMART SCALE
SMART Portal Training
2/13/18
CTB Policy Changes

• Biennial schedule

• Number of applications allowed per applicant

• Project readiness

• Project eligibility
Schedule for Rounds 1 and 2

Application Intake

- 2-month application intake period
- Limited time to work with applicants to refine scopes of work to maximize project benefits
- Applicant concern over time completing applications for projects that do not meet a need or which are ineligible
Schedule for Rounds 1 and 2

Validation and Screening

- Limited application intake period, resulted in most of the validation and screening occurring post-submission

**Validation**
Is project eligible for SMART SCALE?
Is information in application reasonable and accurate?

**Screening**
Does project meet an identified need in VTrans on a Corridor of Statewide Significance, Regional Network, UDA, and/or safety need?
Schedule for Rounds 1 and 2

Project Evaluation and Scoring

- 3-month project evaluation and scoring period
- Available time reduced due to validation and screening
- Project scoring can be interdependent - eg. Access to Jobs cannot be calculated until congestion analysis is complete
- Scoring is complex and time consuming - consistency is a high priority
Round 3 Schedule

5 month application intake window - 3 more months than previous rounds

5 month project evaluation and scoring window - 2 more months than previous rounds
Number of Applications

<table>
<thead>
<tr>
<th></th>
<th>Round 1</th>
<th>Round 2</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # Submitted</td>
<td>321</td>
<td>436</td>
<td>36%</td>
</tr>
<tr>
<td>Total # Scored</td>
<td>287</td>
<td>404</td>
<td>41%</td>
</tr>
<tr>
<td>Average # Application</td>
<td>2.2</td>
<td>2.8</td>
<td>27%</td>
</tr>
<tr>
<td>Max # of Applications</td>
<td>12</td>
<td>33</td>
<td>175%</td>
</tr>
</tbody>
</table>
## Approved Limits on Number of Applications

<table>
<thead>
<tr>
<th>Tier</th>
<th>Localities</th>
<th>MPOs/PDCs/Transit Agencies</th>
<th>Maximum Number of Applications</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Less than 200K</td>
<td>Less than 500K</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Greater than 200K</td>
<td>Greater than 500K</td>
<td>10</td>
</tr>
</tbody>
</table>

- CTB may submit up to 2 applications per application cycle
- NEW

A Board member may allow one additional application from one county within their district if (i) the project is located within a town that is ineligible to submit projects and (ii) the county in which the town is located submitted the maximum number of applications allowed. Only one such additional application is allowed per district.
## Eligibility to Submit

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Regional Entity</th>
<th>Locality* (Counties, Cities, and Towns)</th>
<th>Public Transit Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corridor of Statewide Significance</td>
<td>Yes</td>
<td>Yes, with a resolution of support from relevant regional entity</td>
<td>Yes, with resolution of support from relevant regional entity</td>
</tr>
<tr>
<td>Regional Network</td>
<td>Yes</td>
<td>Yes, with a resolution of support from the MPO*</td>
<td>Yes, with resolution of support from relevant entity</td>
</tr>
<tr>
<td>Urban Development Area</td>
<td>No</td>
<td>Yes, with a resolution of support from the MPO*</td>
<td>No</td>
</tr>
<tr>
<td>Safety</td>
<td>No</td>
<td>Yes, with a resolution of support from the MPO*</td>
<td>No</td>
</tr>
</tbody>
</table>

**Note**: Projects within established MPO study areas that are not identified in or consistent with the regionally adopted Constrained Long Range Plan (CLRP) must include a resolution of support from the respective MPO Policy Board.
Project Readiness

- Formalize and strengthen policy on required level of project planning
  - *New interchange on limited access facility*
    - IJR with preferred alternative
  - *Modification to existing interchange*
    - Traffic and safety assessment/study
  - *New signal*
    - Spacing standards/Signal warrants have been met and signal justified
  - *Grade separation of at-grade intersection*
    - At-grade improvement options have been assessed
  - *Major widening*
    - Corridor optimization and alternatives to new lanes have been evaluated

- **Demonstrate** that a project has *public support*, requiring resolution of support from governing body
Project Eligibility

● Clarify the ineligibility of maintenance and State of Good Repair (SGR) projects
● If project scope is mostly the repair or replacement of existing assets then it is not eligible for SMART SCALE - Examples include:
  ○ Signal system replacement (mast arms, signal heads)
  ○ Bridge replacement with wider lane widths and/or ped accommodations
● Examples that are eligible
  ○ Construction of turn-lanes and shared use path - these require upgrade of signal system (control, heads, and mast arm)
  ○ Bridge replacement funded through SGR - SMART SCALE request to add sidewalk as part of replacement
Funding and Related Elements

● **Full Funding Policy**
  ○ Program not intended to replace committed local/regional funding sources, proffers, and/or other committed state/federal funding sources
    ■ The CTB may waive this requirement for projects that:
      ● have an anticipated total cost in excess of $1 billion; and
      ● were not eligible for submission in the previous round of SMART SCALE due to readiness considerations, but initiated procurement prior to award of the current round of SMART SCALE.
  ○ If $ request is to add components to existing fully funded project then requested components will be analyzed independently

● **Relationship of Major Project Elements**
  ○ Project elements must be associated (contiguous or same improvement type)
Relationship of Major Project Elements

Examples (not real projects)

- Bus pull-outs and bus shelters
- Auxiliary lane between two interchanges and construction of P&R 9 miles away

Eligible

Not Eligible
Measures

- **Congestion**
  - Change from 10 year horizon to current day

- **Safety**
  - Remove DUI crashes and use blended rate for fatal and severe injury crashes

- **Accessibility – A.1 and A.2 - Access to Jobs**
  - No Changes

- **Land Use**
  - New methodology - Accessibility to key non-work destinations such as grocery, healthcare, education, etc - Non-work Accessibility
Measures

- **Economic Development - ED.1 - Site Development**
  - Remove 0.5 points for consistent with local and regional plans - project specifically referenced in local comp plan or regional economic development strategy = 0.5 points
  - Project within economically distressed areas get up to 0.5 points
  - Zoned properties must get primary/direct access from project
  - Conceptual (0.5, 1) vs detailed site plans (2, 4 points) – points based on whether submitted or approved
  - Reduce buffer to max of 3 miles
  - 10,000,000 square foot cap - if exceeded applicant will be required to provide additional documentation

- **Economic Development - ED.2 - Intermodal Access**
  - Scale freight tonnage-based measure by the length of the improvement
SMART Portal
Organization Administrator Role
How to Manage Users
In order to manage users within your organization, you must have the Organization Administration Role assigned to you.

If you do not have this role, contact your District or DRPT point of contact.

In the examples provided, the Organization Administrator’s name is UAT VDOT.
From the “Users” tab on the Organization Administration screen you can view and edit existing users in your organization. You can also add a new user by selecting “Add a New User.”
After selecting “Add a New User” complete the required information and select the applicable program role for the user. Select “Create User.” The new user will be added to organization. An email will be sent to the new user to verify the account.
To edit an existing user, select the user from the list on the users tab. Information about that user will display. From this screen you can view the users current roles by selecting “Expand all Roles.” Select “Edit this User” to edit permissions or information.
When editing permissions, you will only see permissions for programs assigned to your organization. Select “Save User” when edits are complete. *Users no longer with the organization should be archived to restrict access.*

**Viewer** – can see applications  
**Editor** – can create and edit applications  
**Submitter** – can view, create, edit and submit final application.
Important Notes

- Pre-Application replaces Notice of Intent
- 3 months to complete and submit pre-application
- **Pre-Application submission deadline - June 1st**
- **After June 1st - No new applications can be created**
- Pre-Application designed to assess risk for project eligibility and project readiness
- Not limited to # of pre-applications you can create and submit
- Once pre-application submitted - all subsequent edits occur on full application - cannot edit pre-application that has been submitted
Important Notes

- Applicants have the ability to request pre-screening assessment for VTrans needs, project eligibility, and project readiness.
- Requesting pre-screening is optional.
- Pre-screening is an initial assessment based on project details in the submitted pre-application.
- Final official screening decision occurs after August 1, 2018, and new information or significant changes to the project’s location or scope could result in a different screening decision.
- Application caps set by CTB affect the number of projects you can request pre-screening and number of applications for final submission.
Questions
Portal Demo
Screenshots for Reference
SMART SCALE is about investing limited tax dollars in the right projects that meet the most critical transportation needs in Virginia.

WHAT'S NEW

Fiscal Year 2018 SMART SCALE Projects - Update
The CTB approved SMART SCALE 2017 Technical Guide is available. Also available is a final SMART SCALE 2017 Policy Guide and Application Limits documents on the Resources page.

The SMART SCALE team has provided Responses to Comments received through the public comment process. Responses to comments are also available on the Resources page.

Upcoming Events
- Feb. 13, 2018 - Organization Administrator Refresher and Pre-Application Training, Webex 10:00 a.m. - 12:00 p.m.
- Feb. 27, 2018 - Pre-Application Refresher and Full Application Training, Webex, time TBD
- March 1, 2018 - SMART Portal Open
- May 30, 2018 - Full Application Refresher
Welcome to SMART Portal

All submitted project applications will be subject to requirements of the Freedom of Information Act (FOIA).

If you need assistance with this site, send your requests to SmartPortal@CTB.Virginia.gov.
START NEW APPLICATION

Continue working on existing applications/pre-applications
- Pre-application replaces Notice of Intent used last year
- May clone from previous applications
General Pearl
- General pearl is used to provide basic information about project and project descriptions.
- Reminder - Detailed project description should focus on the project’s features and components - providing detail on location and quantities.
- Application Program will populate based on eligibility once VTrans needs are identified on the Location pearl.
- Bottom of each pearl is button to save application
- Save application often
- Click “Next” to navigate to next pearl
- Comment functionality improved - can now tag/filter comments by pearl
Project Eligibility Pearl

- Designed to help assess project eligibility risks
- Based on CTB adopted policies
- Certain responses prompt follow up questions
- Certain responses may trigger risk warning - this will not prevent pre-app submission
Check applicable project features

- Certain responses prompt follow-up questions
- Certain responses may trigger follow-up question(s) and/or risk warning - this will not prevent pre-app submission
Project Readiness

Based on the project features selected on the Project Eligibility section, please respond to any selected readiness questions below. **If no categories are selected below please proceed to the next section of the application.**

- New grade-separated interchange on an existing limited access facility
- Grade separation of at-grade intersection on a non-limited access roadway
- Modifications to an existing grade-separated interchange
- New Traffic Signal

**Project Readiness Pearl**
- Designed to help assess project readiness risks
- Based on CTB adopted policies
- Certain features checked on Project Eligibility pearl will prompt follow up questions in Project Readiness pearl
- Certain responses may trigger follow-up question(s) and/or risk warning - this will not prevent pre-app submission
Based on the project features selected on the Project Eligibility section, please respond to any selected readiness questions below. If no categories are selected below please proceed to the next section of the application.
Location

VTRANS Needs Categories:
- Corridor of Statewide Significance
- Regional Network
- Urban Development Area
- Safety

Use the mapping tool below to locate your project area(s).

Drawing Project Area...
The first step in mapping your application is to draw one or more project areas.
To draw a project area, single click on the map to drop each corner of your shape. To finish drawing your shape, double click on the last corner and the shape will close.
You can add multiple shapes if your project affects multiple areas.

Enable Full Screen Mode
Select Base Map
Search Place or Address
Zoom to Project Area

New Map Wizard Interface

VTRANS Need Site
VTRANS Needs Categories:
- Corridor of Statewide Significance
- Regional Network
- Urban Development Area
- Safety

Use the mapping tool below to locate your project area(s).

Drawing Project Area...
The first step in mapping your application is to draw one or more project areas.
To draw a project area, single click on the map to drop each corner of your shape. To finish drawing your shape, double click on the last corner and the shape will close.
You can add multiple shapes if your project affects multiple areas.

[Start Drawing]

Location Pearl
- VTrans needs boxes selected will activate need wizards, but you must geo-locate your project first.
- Click “Start Drawing” to locate your project on the map.
- Draw polygon around project location
- Please zoom in far enough to ensure polygon(s) are as close to the project extent and termini as possible
- More than one polygon can be added by clicking the “Add Area” button
- You can edit or remove polygons already drawn
- Click “Next Step” button to proceed to VTrans need identification

Location!

VTRANS Needs Categories:
- Corridor of Statewide Significance
- Regional Network
- Urban Development Area
- Safety

Use the mapping tool below to locate your project area(s).

Project Areas

- Add Area
- Next Step

- ID
- Edit
- Remove
- Zoom To

Area 2

VITAS, Esri, HERE, Garmin, INCREMENT P, NGA, USGS
VTRANS Needs Categories:
- Corridor of Statewide Significance
- Regional Network
- Urban Development Area
- Safety

Use the mapping tool below to locate your project area(s).

**Corridors of Statewide Significance**

Select the affected corridors by checking the boxes in the list below or clicking on the shapes on the map.

<table>
<thead>
<tr>
<th>Id</th>
<th>Area Identifier</th>
<th>Distance to Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>J1T</td>
<td>Southside Corridor (Route 58) - Congestion</td>
<td>0.00</td>
</tr>
<tr>
<td>B1N</td>
<td>Crescent Corridor (I-81) - Mode Choice</td>
<td>0.00</td>
</tr>
<tr>
<td>J1H</td>
<td>Southside Corridor (Route 58) - Mode Choice</td>
<td>0.00</td>
</tr>
<tr>
<td>B1O</td>
<td>Crescent Corridor (I-81) - Congestion</td>
<td>0.00</td>
</tr>
<tr>
<td>J1P</td>
<td>Southside Corridor (Route 58) - Congestion</td>
<td>0.00</td>
</tr>
<tr>
<td>B1M</td>
<td>Crescent Corridor (I-81) - Redundancy</td>
<td>0.00</td>
</tr>
<tr>
<td>B1F</td>
<td>Crescent Corridor (I-81) - Safety</td>
<td>0.00</td>
</tr>
<tr>
<td>B1B</td>
<td>Crescent Corridor (I-81) -</td>
<td>0.00</td>
</tr>
</tbody>
</table>

- Select applicable need(s)
- Needs sorted by distance from polygon(s) you provided in earlier step
Once need is selected wizard opens windows with need details and provides box to provide justification

Justification is required

You can return to list or click next to go to next need in the list
VTRANS Needs Categories:

- Corridor of Statewide Significance
- Regional Network
- Urban Development Area
- Safety

Use the mapping tool below to locate your project area(s).

Clicking “Next Step” will take you to the next VTrans need category you selected - is this example Regional Network needs
As before, corresponding need is selected and justification provided
Clicking “Next Step” will take you to the next VTrans need category you selected - is this example Urban Development Area needs. As before, corresponding need is selected and justification provided.
If applicable, identify safety needs and provide justification.
If you have an identified safety need, supported by a safety study that is not shown on the map - you now have ability to identify an additional safety need. If you check this box you will be required to provide a justification and Planning/Safety Study will become a required document upload.
The needs you have associated with your project are summarized on the map, and.....
Areas Served

Based on project area the geographic information below will populate:

<table>
<thead>
<tr>
<th>MPOs Served</th>
<th>Jurisdictions Served</th>
<th>PDCs Served</th>
<th>Districts Served</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Bristol Metropolitan Planning Organization</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Washington County</td>
<td></td>
<td>Mount Rogers</td>
</tr>
<tr>
<td></td>
<td>Abingdon Town</td>
<td></td>
<td>Bristol</td>
</tr>
</tbody>
</table>

Need Justifications

**Corridors of Statewide Significance**

| B:10 | Crescent Corridor (I-81) - Congestion | Your description of how the proposed project addresses the VTrans need |

**Regional Network**

| B_A | I-81/US 11 Corridor Reliability - Corridor Reliability, Network Connectivity | Your description of how the proposed project addresses the VTrans need |

**Safety**

| Overlap Rte, Lee Hwy PR (Washington Only), US-11N, US-55E | Your description of how the proposed project addresses the VTrans need |
| I-81S | | Your description of how the proposed project addresses the VTrans need |
| I-81S | | Your description of how the proposed project addresses the VTrans need |

Additional Safety Needs

- Do you have any Safety VTRANS needs that are not represented on the map?
Remaining Required Document Uploads

Please upload a Project Sketch for your project
Please upload a Safety Study for your project

Supporting Documents Pearl

- Dedicated pearl to manage document uploads
- Click “Add New Attachment” button to upload document - be sure to give it the correct Document Type
- Portal provides prompts/warnings for required uploads
- New document filter and download functionality
- "Review Submission Readiness" button will assess completeness of your application. This button must be clicked in order to Submit your pre-application.
- You can request your application to be pre-screened.
- Once you verify application you can submit the pre-application.
- Once submitted, pre-application data will be cloned into the full application - you will be redirected to the full application where you can continue working.