



2019 SACOG Funding Round Guidelines: 2018 Partial Projects Program Category

APPLICATION AND GUIDELINES RELEASE DATE: May 7, 2019

APPLICATIONS DUE: 5:00 p.m., Monday, June 10, 2019

This document contains the guidelines for the Sacramento Area Council of Governments (SACOG) '2018 Partial Projects' program category of the 2019 SACOG Funding Round. The program grants funding from a variety of sources to local government agencies and their partners to projects that meet performance outcomes, overall policy, and selection considerations identified by the SACOG Board.

Please note: This funding program applies to the counties of Sacramento, Sutter, Yolo, and Yuba only. Projects must be located within the four-county portion of the region. Placer and El Dorado counties have their own programming process through a Memorandum of Understanding with SACOG.

Section 1 contains the guidelines for the '2018 Partial Projects' program of the 2019 funding round.

Section 2 contains application instructions for the '2018 Partial Projects' program. Please note the program application itself is a separate document.

Section 3 contains evaluation guidance on addressing the program's performance outcomes.

Check for program updates for the 2019 SACOG Funding Round at the program website:
<https://www.sacog.org/2019-funding-round>

Table of Contents

Reference Information	3
Section 1: Program Guidelines.....	4
Overview of Program.....	4
Goals of Program and 2019 Funding Round.....	4
Emphasize Cost-Effective Programming Decisions	4
Leverage Regional Funds for Near-Term Project Development.....	4
Target Projects with Demonstrated Performance Benefits	4
Manage Assets and Maintain a State of Good Repair.....	4
Target Active Transportation Investments.....	5
Focus on Small or Medium-Sized Projects	5
Support the Region’s Greenhouse Gas (GHG) Reduction Target	5
Funding	5
Project Eligibility	5
Screening Projects Out	6
Project Selection Process.....	7
Implementation	7
Section 2. Application Instructions.....	9
Application Submittal	9
Application Contents	9
Project Application Instructions	10
Section 3. Evaluation Guidance	12

Reference Information

Schedule

Please note all dates are subject to change. To view the most recent information, go to:
<https://www.sacog.org/2019-funding-round>

April 18, 2019 SACOG Board approves 2019 Funding Round Policy Framework

May 7, 2019 Applications available
 Process begins

June 10, 2019 Project applications due by 5:00 p.m.

During the review period that follows, the applications will be evaluated and programming recommendations made.

July 26, 2019 Anticipated release of staff recommendation

August 1, 2019 Staff presents recommended funding list to SACOG Transportation Committee

August 15, 2019 SACOG Board takes final action on recommended projects and determines final program funding amount

Program Contact

Please direct any questions regarding the 2019 SACOG Funding Round or the application process to the SACOG Funding Round Manager:

Garett Ballard-Rosa, Senior Planner

Phone: (916) 319-5183

E-mail: gballard-rosa@sacog.org

Section 1: Program Guidelines

This section addresses the policy and processes to be utilized for the '2018 Partial Projects' program of the 2019 SACOG funding round. Application instructions are found in Section 2.

Overview of Program

This funding category provides an opportunity to receive additional funds for a project that was partially funded during the 2018 funding round. The emphasis of the program is to fund cost-effective transportation projects that realize the performance benefits of the Metropolitan Transportation Plan/Sustainable Communities Strategy (MTP/SCS). The program seeks to promote effective and efficient use of limited state and federal funding resources to both develop and maintain the regional transportation network and provide regional benefits. This is accomplished through the funding of capital and lump-sum category projects included in the 2016 MTP/SCS. The policy framework adopted by the SACOG Board on April 18, 2019, provides the policy foundation for this program.

Goals of Program and 2019 Funding Round

The 2019 funding round continues the foundational elements of the 2018 funding round while incorporating board, project sponsor, and stakeholder feedback. The durable goals and priorities that guided last year's funding round are still relevant for the 2019 funding round:

Emphasize Cost-Effective Programming Decisions

Selection criteria aim to fund projects that maximize performance outcomes while minimizing costs.

Leverage Regional Funds for Near-Term Project Development

A category of new funding offers member agencies an opportunity to accelerate planning and project development efforts, so they can later pursue construction funding from SACOG, or alternative federal or state grant programs.

Target Projects with Demonstrated Performance Benefits

The selection criteria use the same performance outcomes adopted by the board in 2018. These outcomes also align with the guiding principles for the MTP/SCS.

Manage Assets and Maintain a State of Good Repair

A category of new funding is available to support transit vehicle replacements and road rehabilitation projects with complete streets elements.

Target Active Transportation Investments

The funding for State of Good Repair includes selection criteria to prioritize road rehabilitation projects that also offer benefits for active transportation.

Focus on Small or Medium-Sized Projects

The funding caps for new projects helps address the challenge that a very limited amount of funding is available in 2019.

Support the Region's Greenhouse Gas (GHG) Reduction Target

This performance outcome is supported by reaffirming the selection criteria of the 2018 funding round and providing funding for a transportation demand management (TDM)/innovative mobility program that helps reduce GHG emissions.

Funding

Financial support for this and other SACOG programs will come primarily from federal and state funding sources available to the region. The fund estimate for the full 2019 Funding Round is \$54,500,000 with up to a ten percent increase possible. Additional background on the funding target for the 2018/2019 funding cycle is [found here](#). The SACOG Board did not adopt a funding target within the individual 2019 programs but expects awards in each of the three competitive program categories. The overall selection of projects, across programs, is dependent on the funding and fund sources available.

Most of the projects selected for this and other SACOG programs must qualify for the federal and state funding sources available to SACOG. Unless otherwise noted, federal funding requirements are applicable. For capital projects, federal funds may be used for the preliminary engineering phase, which includes environmental work and design, as well as for right-of-way and construction phases.

SACOG reserves the right to award less than the amount reserved in a given funding cycle. Additionally, SACOG encourages project applicants to seek other sources of funding that may be available, and to demonstrate the ability to absorb any cost overruns and deliver the proposed project with no additional funding from SACOG funding rounds.

Project Eligibility

There are three competitive program categories in the 2019 Funding Round:

(1) 2018 Partial Projects, (2) State of Good Repair, and (3) Planning & Project Development.

- Each program category has unique eligibility, screening, and selection criteria.
- **Applicants may only apply to one of these three funding program categories**
- Regardless of the program category, projects applying to the 2019 Funding Round must fall within the four-county (Sacramento, Sutter, Yolo, Yuba) region, and be listed in the 2016 MTP/SCS or fit within a lump-sum project category.

Criteria specific to the 2018 Partial Projects program category:

- Applications in the '2018 Partial Projects' program category are limited to projects that received a partial award in SACOG's 2018 Regional Program or 2018 Community Design Program.
- **Project sponsors may submit applications for each project partially funded in those two 2018 programs.** SACOG member agencies in the four-county region that had a partially funded 2018 project may instead choose to forego the option to apply for more funding on that project and instead apply in one of the other two 2019 Funding Round program categories (State of Good Repair, Planning & Project Development).
- Special districts and other project sponsors that had a partially funded 2018 project may forego the option to apply for more funding on that project and see if a SACOG member agency will apply on their behalf in one of the other two 2019 Funding Round program categories (State of Good Repair, Planning & Project Development).
- There is no maximum to the amount that can be requested per application in the 2018 Partial Projects category, except that the 2019 funding request cannot exceed the difference between the 2018 funding request and 2018 funding award.
- **To further meet program eligibility, projects must adhere to the standard federal-aid and match requirements from the 2018 program guidelines, and demonstrate they are meeting all other commitments in their original project application.** Eligibility requires they are adhering to the project schedule, fulfilling local match commitments, managing identified risks, and implementing reduced scopes if offered in their 2018 application. Also, eligible projects must demonstrate they are meeting any additional award contingencies included in the final [December 2018 SACOG Board action](#).

Screening Projects Out

All of the following conditions must be met for a project to proceed in the evaluation process. Failure to meet each screening consideration will eliminate the project from further consideration.

- A full application must be submitted to SACOG staff to be considered for funding.
- The project must be currently listed in the MTP/SCS or fit within a lump-sum project category. Non-exempt projects must align with SACOG's air quality conformity and greenhouse gas objectives. Non-exempt refers to any project not listed by the U.S. Environmental Protection Agency (USEPA) as an approved exemption from regional air quality analysis.
- Projects must provide a minimum of 11.47% match in non-federal funds towards the project cost, as is required for all federal aid funding projects. In other words, for every \$100,000 of total project cost (grant and match combined), the program will pay up to \$88,530 for every \$11,470 of match provided by the project applicant. State program funds that are supported by federal revenues (e.g., Highway Safety Improvement Program, Highway Bridge Program, etc.) may also be used to meet the matching requirements.
- The project must be eligible for appropriate funding sources (i.e., Congestion Mitigation and Air Quality [CMAQ], Regional Surface Transportation Program [RSTP], State Transportation Improvement Program [STIP]).
- The project must be scheduled to begin construction no later than April 2025, with

preliminary engineering and environmental analysis scheduled within three years.

- A request for construction funding must demonstrate that environmental, engineering, and right-of-way will be ready by the time funds are requested, and that the agency has the financial capacity for ongoing operations and maintenance and to cover cost overruns.

Applications meeting all screening criteria for the 2019 Funding Round will advance to the project selection phase.

Project Selection Process

The 2019 Funding Round will convene a working group comprised of internal and external agency staff to evaluate applications across the three programs using a series of related performance assessments. After individually reviewing and evaluating applications, the working group will meet to evaluate submitted projects by using the selection criteria in the program guidelines. SACOG staff and management will then review working group recommendations across the three program categories to recommend a full project list for funding awards to the board.

Working group evaluates the projects

The working group evaluates the projects through a process that uses both quantitative and qualitative methods. The working group will evaluate projects against both the criteria listed in these guidelines and a comparative review of the application pool. To evaluate project performance, the working group considers the project's cost effectiveness, deliverability, and context sensitivity, along with the project performance assessment outcomes, narrative responses, and application as a whole. Project costs and schedule estimates for environmental, engineering, right-of-way, and start-up construction must be believable, based on standards for similar projects. The project applicant must have a track record that demonstrates technical capacity and reliability for similar projects.

Section 3 defines the evaluation criteria used by the working group. Applicants should use Section 3 to understand the approach that the working group will take when considering the proposed project against the performance outcomes. Applicants should also consider this when selecting competitive projects.

The compilation of projects recommended by the working group must meet the intentions of the board-approved goals and priorities for the 2019 funding round. The working group recommendation, upon completion, will be provided to SACOG management staff for use in development of the final draft recommendations of funding awards to the SACOG Board of projects across the various funding programs. Selection and funding of projects is limited to the state and federal funding available at the time of programming action.

Implementation

Successful applicants who are awarded a grant will be asked to:

- Amend their project into the Metropolitan Transportation Improvement Program (MTIP) via SACTrak.
- Follow SACOG's delivery policy at the time of the award for obligating and spending the grant

funds. The policy requires that project applicants honor the MTIP schedule and/or delivery commitment schedules for obtaining funds and implementing the phases of the project.

- Comply with the California Transportation Commission's State Transportation Improvement Program Guidelines; the Caltrans' Local Assistance Procedures Manual; and Caltrans' Local Assistance Program Guidelines.
- Comply with SACOG's delivery guidelines at the time of the award. SACOG makes RSTP, CMAQ, and SACOG Managed Funds available on a first-come, first-served basis. STIP funds may not be as available. Some STIP funds may not be available until SFY 2024-25.

When a project is programmed in the MTIP and is ready for implementation, the lead agency requests a federal authorization (E-76) from Caltrans. Only after the project is authorized, can the sponsor incur expenses that will then be reimbursed from the grant.

Many projects selected for funding through the 2019 Funding Round will receive STIP funding. Projects receiving this funding will be included in the SACOG Regional Transportation Improvement Program (RTIP) that is submitted to the California Transportation Commission for approval. These projects will require supplemental information prior to STIP programming and allocation.

Section 2. Application Instructions

This section outlines the requirements for applying to the ‘2018 Partial Projects’ program. Please read the instructions in this section along with the information in Section 1 above and the evaluation guidance in Section 3 below when preparing your grant request. Check for any program updates under the 2019 SACOG Funding Round website: <https://www.sacog.org/2019-funding-round>

Application Submittal

Applications are due by 5:00 p.m. PST on Monday, June 10, 2019. Submit your completed application via email (i.e., no paper applications are required) to SACOG’s Funding Round Manager:

Garett Ballard-Rosa
gballard-rosa@sacog.org

The subject line of your submittal email should use the following structure:

2019 application submittal: Project Sponsor, Project Title, 2019 Program Category
 (use ‘Partials’ for the 2018 Partial Projects category, ‘SGR’ for the State of Good Repair category, or ‘PPD’ for the Planning & Project Development’ category)

Example submittal email subject lines:

2019 application submittal: City of Hope, Main Street Rehabilitation, SGR
 2019 application submittal: County of Kalamazoo, Westside Mobility Study, PPD

All submittals will receive a confirmation of receipt email.

Application Contents

Responding to SACOG Board direction to streamline the application period, the ‘2018 Partial Projects’ program category consists of two required components: (1) Project Application and (2) Project Programming Request. For these elements, applicants must use the templates provided on the SACOG website. All other material is optional.

Application Content	Template provided on SACOG website?	Submit as
1. Project Application	Yes	PDF
2. Project Programming Request	Yes	Excel

Applicant Reminders

1. Check eligibility: Only projects that received partial funding through the 2018 Regional or Community Design programs are eligible to apply to this program.
2. Use the right templates: All SACOG-provided templates are available on the 2019 Funding Program website: <https://www.sacog.org/2019-funding-round>
3. Submittal Deadline: By no later than **5:00 p.m. on Monday, June 10, 2019**, please submit one electronic (email) version of the application and corresponding attachments, to:
 Garett Ballard-Rosa, SACOG Funding Round Manager
gballard-rosa@sacog.org

Project Application Instructions

Fill out the project application per the following guidelines. The application provides suggested lengths for question responses but does not require a minimum or maximum length. If necessary, you may expand any of the application text boxes to fully answer the question, including carrying the response or formatting over to the next page, or creating a new page.

For the project description, provide a one to two sentence description of your project, using the following structure-

Location, facility, limits: improvement (Repeat for multiple locations or limits).

Example Project Descriptions

- In Rancho Cordova, on Folsom Blvd., from Bradshaw Rd. to Horn Rd.: Streetscape improvements, including sidewalk gap closure, new bifurcated sidewalks (on south side of Folsom Blvd.), new Class II bike lanes, and landscaped medians.
- In Elk Grove, along the south side of Elk Grove Creek from Laguna Springs Drive to Oneto Park: Construct a separate Class I (off-street) bicycle/pedestrian trail. Along Laguna Springs Drive, from Elk Grove Boulevard to Laguna Palms Way: Construct Class II (on-street) bike lanes.

Project Programming Request

The second required component of the 2019 funding round application is the Project Programming Request (PPR). Projects must submit a new PPR in 2019 reflecting the 2018 funding award. Project development projects need to include an estimated full project cost, including for construction.

For the regional funding round SACOG has simplified the standard PPR used for state purposes. As such, projects that are recommended for funding in SACOG's round and programmed with STIP funds will be asked to update the PPR with the information required by the California Transportation Commission. SACOG expects a sizable portion of the 2019 awards to receive STIP funds.

How to fill out the simplified PPR?

Begin with the 'Project Info' tab. Input the requested information in the white text boxes. Any cell that is grey is either a header or will auto populate as you complete the form (i.e., don't input into any grey field, just white text boxes). The red triangles in the top right of the header cells provide reference for each input.

For the 'Project Milestone' table: for each phase of the project fill in either the 'Completed' column (date when milestone was completed) or the 'Planned' column (date when you expect the milestone to be completed). For example, a project that is currently in the design phase would use the 'Completed' column for all phases up to begin design, and then used the 'Planned' column for all subsequent phases. Transit vehicle replacement projects should have the vehicle purchase occur in the 'construction' phase of the PPR and need not fill out project milestones not applicable to transit.

Once the 'Project Info' tab is complete, move to the 'Funding Info' tab. All cells in rows 1 through 6 will have automatically populated with material from the project info tab, except the SacTrak project ID cell. If your project does not yet have a SacTrak project ID, you may leave this cell blank.

Next, fill in the various funding sources that comprise your project. The 'Total Project Cost' table (rows 8-16) will auto-populate as you add in fund sources, so do not input any data into this grey table. Instead, begin with Fund No. 1 (rows 18-27). Fund No. 1 is the request you are making on the 2019 SACOG funding round. Input your funding request (in \$1,000s), split by project phase and requested year of the funding.

Then input all additional funding sources for your project (in \$1,000s). Reference the source of each fund in the cell next to its fund number. For many projects this could include funding not yet secured. In the 'note funding status here' cell of each fund table identify whether the funds are committed/already programmed on the project, being competed through a separate funding source, or a different status.

In the case that you have more than eight funding sources, you may copy the 'funding info' table or tab with as many additional funding sources as you need. You would need to update the 'Total Project Cost' table if adding additional funding source tables.

Section 3. 2018 Partial Projects Evaluation Guidance

This section provides guidance on how the working group will evaluate project performance based on the selection criteria established in the program’s policy framework. Each project that passes the screening criteria will be scored on a 50-point scale divided between three selection criteria: Project Benefit, Project Leverage, and Project Readiness/Deliverability.

All project evaluation scores will be derived from the application material and relative comparisons between the applicant pool.

Project Benefit (up to 25 points possible)

The working group will use the project’s 2018 Project Performance Assessment (PPA) quantitative results (Transit Asset Management data for transit maintenance projects, SACOG data tool for all other projects) and 2018 project selection working group performance outcomes evaluation to assess project benefit. The working group will also look for evidence that the project is meeting any project-level contingencies, conditions, or risks identified in the 2018 evaluation. Attachment B of the [final December 2018 SACOG Board action](#) summarizes the 2018 application review comments, including any conditions/contingencies.

Project Benefit Scoring Template	
The project received high scores (quantitative and qualitative) and fully addresses any risk/conditions identified by the 2018 working group.	High (17 to 25)
The project received medium scores, and satisfactorily addresses any risk/conditions identified by the 2018 working group.	Medium (9 to 16)
The project received lower scores relative to the pool of candidate projects, and/or the application does not adequately respond to any risk/conditions identified by the 2018 working group.	Low (0 to 8)

Project Leverage (up to 10 points possible)

In its evaluation of project leverage the working group will consider both the applicant’s narrative response and Project Programming Request. In the Project Programming Request the reviewer will look for evidence of leverage and any additional local funding secured to accelerate the implementation of the original project or provide a logical expansion of scope.

Project Leverage Scoring Template (construction)	
The project has a large committed local match, and/or clear evidence that additional local funding will be secured by December 2020 to accelerate project implementation. Likewise, the application makes a compelling case that additional funding is very likely to support related capital investments in the immediate project area.	High (7 to 10)
The project’s local match is about average and the application shows evidence that additional local funding likely will be secured by December 2020 to accelerate project implementation. The material provided in the narrative suggests additional funding is somewhat likely to support related capital investment in the immediate project area.	Medium (4 to 6)

The project has a low local match and little evidence of additional local funding likely by December 2020 for the project. The application does not provide sufficient evidence that additional funding is likely to support related capital investment in the immediate project area.	Low (0 to 3)
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Project Leverage Scoring Template (project development)	
The project has a large committed local match, and clear evidence that additional local funding will be secured by December 2020 to accelerate project implementation. Likewise, the application clearly identifies how a project development award enhances the project's competitiveness in a federal or state grant program.	High (7 to 10)
The project's match is about average and the application has some evidence that additional local funding likely will be secured by December 2020 to accelerate project implementation. The application somewhat identifies how a project development award enhances the project's competitiveness in a federal or state grant program.	Medium (4 to 6)
The project has a low local match and little evidence of additional local funding likely by December 2020 for the project. The application does not adequately account for how a project development award enhances the project's competitiveness in a federal or state grant program.	Low (0 to 3)

Project Readiness/Deliverability (up to 15 points possible)

The working group will evaluate the project sponsor's ability to deliver a logical phase of the project, its approach to maintain the investment once built, and agency delivery history. SACOG's Programming & Project Delivery team will supply the delivery history information to the working group, including if the project sponsor has failed to deliver a SACOG funded project commitment or lost any federal/state funding within the last three years.

Project Readiness & Delivery Scoring Template	
The funding request results in a logical and usable scope with little delivery risks. The application demonstrates a strong financial plan for ongoing operations and maintenance, and the project sponsor has fully delivered on all federal/state funded project commitments within the last three years.	High (11 to 15)
The funding request results in a logical and usable scope. The application shows adequate evidence of a financial plan for ongoing operations and maintenance. The project sponsor has fully delivered on all federal/state funded project commitments within the last three years, but the working group identifies minor delivery risks on the project.	Medium (6 to 10)
The requested funding would not lead to an implementable project, or the application does not provide sufficient evidence of a financial plan to maintain the project once built or launched. The project has key delivery risks, and/or the project sponsor has failed to deliver on a federal/state funded project commitment within the last three years.	Low (0 to 5)