



2019 SACOG Funding Round Guidelines: Planning & Project Development Program

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) Planning & Project Development 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 Planning & Project Development program category of the 2019 SACOG Funding Round.

Section 2 contains application instructions for the 2019 Planning & Project Development program. Please note the program application itself is a separate document.

Section 3 contains program evaluation guidance on addressing 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.....	5
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	11
Supplemental Section:.....	13

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 Planning & Project Development program category of the 2019 funding round. Application instructions may be found in Section 2.

Overview of Program

This funding category provides up to \$250,000 for transportation planning studies or technical work towards a specified project development phase (e.g., environmental analysis, preliminary engineering, etc.) on a capital project that supports the implementation of the Metropolitan Transportation Plan/Sustainable Communities Strategy (MTP/SCS) priorities.

Project sponsors with eligible work activities are guaranteed to receive some funding from the program, though the total award (up to \$250,000) will be determined by the project's score on the project selection criteria.

The emphasis of the program is to fund cost-effective transportation projects that realize the performance benefits of the 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. 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 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 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 for each funding program 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.

- Applicants may only apply to one of these three funding program categories.
- Each program category has unique eligibility, screening, and selection criteria.

- 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.
- Eligible applicants can only submit a single application in this program category, and that application cannot exceed \$250,000 in requested funding.
- Applications to the Planning & Project Development program category are limited to SACOG member agencies in the four-county region.
- The Planning & Project Development program category will fund transportation planning studies or technical work on a specified project development phase (e.g., environmental analysis, preliminary engineering, etc.).
- Work activities do not need to be entirely federal aid eligible, but sponsors should note that there will be very limited non-federal funding available in the 2019 round.

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. Transportation planning is a lump sum project category (i.e., if your project is a planning project it automatically meets the MTP eligibility requirement). Other lump sum categories include road maintenance and reconstruction, transit vehicle replacements, operational improvements, Intelligent Transportation Systems, and bicycle and pedestrian investments. If your project development request falls within any of these project categories it meets the MTP eligibility screening criteria. Otherwise, the project must be listed in the 2016 MTP project list (i.e., have a specific project ID number). 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 include a minimum of 11.47% match in non-federal funds towards total project cost, a requirement for projects funded through federal aid. 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 participating match provided by the project sponsor towards eligible features. 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 exception to this match requirement is projects located in a disadvantaged community. Projects that demonstrate they serve a disadvantaged community do not need to include a minimum 11.47% match. Projects requesting to waive the match requirement must answer the supplemental section found at the end of the application.
- The project must be able to fully expend the SACOG grant award by April 2025.
- 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.

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 applications, the working group will meet to evaluate submitted projects by following 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 the 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).
- 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 Regional

Surface Transportation Program, Congestion Mitigation and Air Quality, and SACOG Managed Funds available on a first-come, first-served basis. State Transportation Improvement Program (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. These projects will require supplemental information prior to STIP programming and allocation.

Section 2. Application Instructions

This section outlines the requirements for applying for a 2019 Planning & Project Development grant. 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 2019 Planning & Project Development consists of two components: (1) Project Application and (2) Project Programming Request (PPR). For these elements, applicants must use the templates provided on the SACOG website. **The PPR is optional for planning studies.** All other additional material is optional.

Application Content	Template provided on SACOG website?	Submit as
Project Application	Yes	PDF
Project Programming Request (optional for planning studies)	Yes	Excel

Applicant Reminders

1. Check eligibility: For non-SACOG members please coordinate early with the city or county in which the project area lies to establish a partnership/sponsorship.
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.

Project Programming Request

The second required component of the 2019 funding round application is the Project Programming Request (PPR). This component is required for all projects **except for transportation planning studies** (i.e., planning studies do not need to submit a PPR). Project development projects do need to include an estimated full project cost, including for construction.

For the SACOG 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. 2019 Planning & Project Development Program

Category: 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 20-point scale.

Applications that pass the eligibility and screening review are guaranteed to receive some funding from the program, but the total award (up to \$250,00) will be determined by the project's score on the project selection criteria.

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

Both Transportation Planning and Project Development projects are asked to demonstrate how they support implementation of MTP/SCS priorities. These MTP/SCS priorities are:

- **Smart Land Use:** Design a transportation system to support good growth patterns, including increased housing and transportation options, focusing more growth inward and improving the economic viability of rural areas.
- **Environmental Quality and Sustainability:** Minimize direct and indirect transportation impacts on the environment for cleaner air and natural resource protection.
- **Financial Stewardship:** Manage resources for a transportation system that delivers cost-effective results and is feasible to construct and maintain.
- **Economic Vitality:** Efficiently connect people to jobs and get goods to market.
- **Access and Mobility:** Improve opportunities for businesses and citizens to easily access goods, jobs, services and housing.
- **Equity and Choice:** Provide real, viable travel choices for all people throughout our diverse region.

Responses should reference at least one of these MTP/SCS priorities by name. The working group will favor a more complete discussion on a single or few priorities over a broad discussion with little detail of all the priority areas. The Project Development selection criteria weigh all priorities equally. The Transportation Planning selection criteria give more weight to projects that aim to improve access to destinations and provide mobility choices for disadvantaged communities.

The working group will also reference how much of a project's proposed work activities are federal-aid eligible. Proposed activities that are federal-aid eligible will be relatively more competitive, as there is very limited non-federal funding available in the 2019 funding round.

Finally, each project category has unique performance outcomes. For Transportation Planning projects, the working group will be looking for evidence that the proposal recognizes the unique local context of the area (which could be demonstrated by other active or recently completed efforts) and responds to a clear community need. For the Project Development category, the working group will be looking for evidence that the project will help complete a phase of technical work and that a SACOG award will enhance the competitiveness of the project in receiving construction funding.

Transportation Planning Proposal Category

MTP Implementation Scoring Template (up to 9 points possible)	
The proposal demonstrates how an ultimate project would support implementation of multiple 2016 MTP/SCS priority areas including Equity & Choice (improve accessibility to destinations and/or mobility for disadvantaged communities)	High (7 to 9)
The proposal demonstrates how an ultimate project would fully support implementation of at least one of the 2016 MTP/SCS priority areas.	Medium (4 to 6)
The proposal does not sufficiently demonstrate how an ultimate project would fully support implementation of at least one of the 2016 MTP/SCS priority areas.	Low (0 to 3)

Project Need Scoring Template (up to 9 points possible)	
The proposal clearly recognizes local context and responds to a compelling community need.	High (7 to 9)
The proposal is appropriate for the local context and evidences moderate community need.	Medium (4 to 6)
The proposal is not appropriate for the local context or does not evidence how the investment would ultimately improve the local community.	Low (0 to 3)

Project Development Proposal Category

MTP Implementation Scoring Template (up to 9 points possible)	
The proposal demonstrates how an ultimate project clearly supports implementation of at least two of the 2016 MTP/SCS priority areas.	High (7 to 9)
The proposal demonstrates how an ultimate project would fully support implementation of one of the 2016 MTP/SCS priorities, or moderately supports multiple priority areas.	Medium (4 to 6)
The proposal does not sufficiently demonstrate how an ultimate project would fully support implementation of at least one of the 2016 MTP/SCS priority areas.	Low (0 to 3)

Usable Phase Scoring Template (up to 9 points possible)	
The application clearly identifies how a project development award completes a logical phase of work and enhances the project's competitiveness for construction funding.	High (7 to 9)
The application somewhat identifies how an award completes a logical phase of work and enhances the project's competitiveness for construction funding.	Medium (4 to 6)
The application does not adequately demonstrate how the project completes a logical phase of work or account for how a project development award enhances the project's competitiveness for construction funding.	Low (0 to 3)

Both Proposal Categories

Federal-Aid Eligible Scoring Template (up to 2 points possible)	
The project is fully federal-aid eligible.	2 points
The project is partially federal-aid eligible.	1 point
The project is not federal-aid eligible.	0 points

Supplemental Section for Local Match Waiver

If you have requested to waive the program's local match requirement you must fill out the supplemental section on how your project serves a disadvantaged or vulnerable community. If you are providing at least 11.47% match you may leave this section blank.

Projects requesting to waive the program's local match requirement must fall within a federal Opportunity Zone or SACOG's Environmental Justice geography. SACOG has created the online [Environmental Justice/Opportunity Zone map](#) to help project sponsors with this determination. The icons in the top left of the map provide a legend, the ability to turn off layers, and definitions. The map displays both Opportunity Zones and Environmental Justice areas. SACOG's Environmental Justice geography consists of four components: low income, minority, minority & low income, and other vulnerabilities. To waive the program match requirement the project must fall within any of these four Environmental Justice areas, or within an Opportunity Zone (or in an Environmental Justice/Opportunity Zone overlap, as often there is overlap between Opportunity Zones and Environmental Justice areas). If your project partially falls within an Opportunity Zone/Environmental Justice area and partially outside, you may contact the SACOG funding round manager for an individual assessment.

Project sponsors requesting to waive the program's local match requirement must also answer the supplemental narrative question on how the project serves a disadvantaged community. The response must demonstrate that the project responds to the needs of and has conducted (or will conduct through the grant award) outreach in the community.

As a resource, SACOG has produced an [outreach webinar](#), and compiled best practices for outreach in disadvantaged communities. SACOG strongly encourages all project sponsors to attend a workshop on May 21, 2019 from 10:00 am to 12:00 pm that discusses community engagement in Environmental Justice communities. For more information about this workshop please contact Rosie Ramos, RRamos@sacog.org.