



User Guidance



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Overview and Workflow

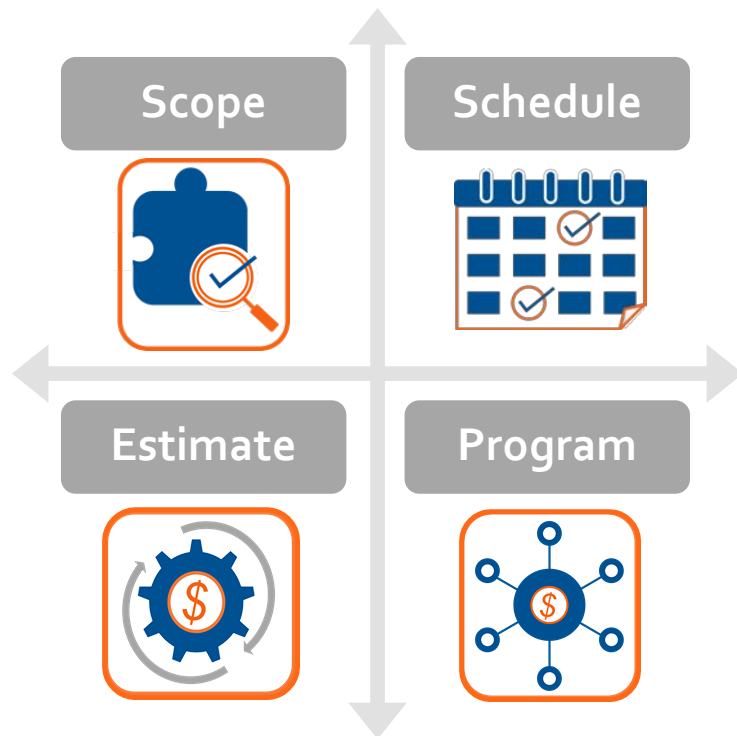
Overview

The Pre-Scoping Module is a resource to assist with project application development prior to creating a project application/funding request within a specific funding program.

Applications that are developed in the Pre-scoping Module should focus on articulating as much detail as possible related to a potential project’s scope, schedule, estimate and preferred funding program. If specific details for these items are not yet known, that should be noted in the Pre-Scoping application.

Workflow

The Pre-Scoping Module process consists of Application Development, District Review, District Validation and Approval/Recommendation. More information about each workflow status can be found in the SMART Portal Pre-Scoping Module Guidance.



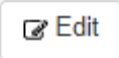
Application Development

Before you start...

The purpose of the Application Development portion of this guidance is to assist applicants in completing and submitting the best possible pre-scoping application. While this guidance focuses on what information should be included in an application; it also includes recommendations on what should be considered when inputting information and what information should be left out.

The Application Development section guidance is structured to follow the pearl structure of the application. The Pre-Scoping Application includes five pearls: General, Eligibility, Location, Delivery/Funding and Supporting Documentation.

Things to consider...

- During development only applicants with appropriate permissions can edit applications.
- Applications must be in Edit mode for editing 
- Applications can only be saved after all required fields (red highlight, see pearl headings) are completed: point of contact name, email, and phone number; principle improvement type; project description; and project title (at application creation).
- Applications can only be submitted after all required fields are completed: all of the above fields, as well as project mapping in the location pearl.

Pearls

- 

General

 - Point of Contact Information
 - Basic Project Identification
- 

Eligibility

 - Ineligible projects review
 - Specific Project scope features
- 

Location

 - Project Location Mapping
 - VTrans Needs (not required for pre-scoping)
- 

Funding and Delivery

 - Planning documentation
 - Cost Estimate and schedule by phase
 - Additional project funding
- 

Supporting Documentation

 - Information that supports the application that can be uploaded for review

General

Point of Contact Information

Point of Contact

Add Point of Contact

Point of Contact Remove

Name * ⓘ

Email * ⓘ

Telephone * ⓘ

REQUIRED FIELD: Provide full name of main point of contact

REQUIRED FIELDS: Provide email address and phone number for main point of contact

Add/remove point of contacts. Use this to keep project communication up to date. Also multiple POCs can be included on one application.

General

Project Information

Name the project. This will be asked prior to application opening but can be revised. Provide a name that is descriptive of the project's location.

Project Title *

TRAINING TEST

REQUIRED FIELD:
Select the core improvement type.

Principal Improvement *

-- Select Principal Improvement Type --

Project Short Description *

REQUIRED FIELD: Describe the key scope features of the project. Avoid any information that is not specific to the scope of the project.

Does this project include any improvements to non-VDOT maintained roadways?

Check this box only if the project is located in a locality that maintains its own roads.

Application Program Requested

- Congestion Mitigation and Air Quality
- Highway Safety Improvement Program (HSIP)
- Interstate Operations and Enhancement
- Other
- Regional Funding
- Regional Surface Transportation Block Grant
- Revenue Sharing
- SMART Scale
- State of Good Repair Bridge
- State of Good Repair Pavement
- TA Set-Aside

Select potential sources of funding for project. Recommend coordinating with appropriate VDOT District or DRPT point of contact to ensure project scope and funding program requirements are compatible.

VDOT District

Select option

Select the VDOT District where project is located

Eligibility

Project Eligibility

- Is the project a study?
- Is the project a capacity enhancement, operational improvement, ITS or technology improvement, or safety project?
- Does the project include major features that are either contiguous, proximate, or of the same improvement type? For the purpose of this question and the CTB policy contiguous means adjacent or together in a sequence. Transit stops or stations along a transit route or intersections or spot improvements along a corridor meet the definition of contiguous for the purposes of the project eligibility policy.
- Is project currently fully funded and included in a Capital Improvement Program, MPO Transportation Improvement Program (TIP), or the VDOT, DRPT, or NVTA Six-Year Improvement Program(s)?
- Does the project include a commitment by a developer through a local zoning approval process (proffered condition)?
- Is any part of your project within an established MPO study area?

For informational purposes only. This question originates from the SMART SCALE Pre-Application. The information provided helps with project readiness assessment during Pre-Scoping application review.

Eligibility

Project Features

- + Highway Improvements
- + Bicycle and Pedestrian Improvements
- + Bus Transit Improvements
- + Rail Transit Improvements
- + Intercity Passenger Rail
- + Freight Rail
- + Travel Demand Management (TDM) Improvement(s)
- + Right-of-Way and Utilities

Select specific features that correspond to the project's scope.. Click on plus sign to see options.

NOTE: In the Pre-Scoping Module applicants are only required to select specific project features. In program-specific applications selected Project Features may require further description.

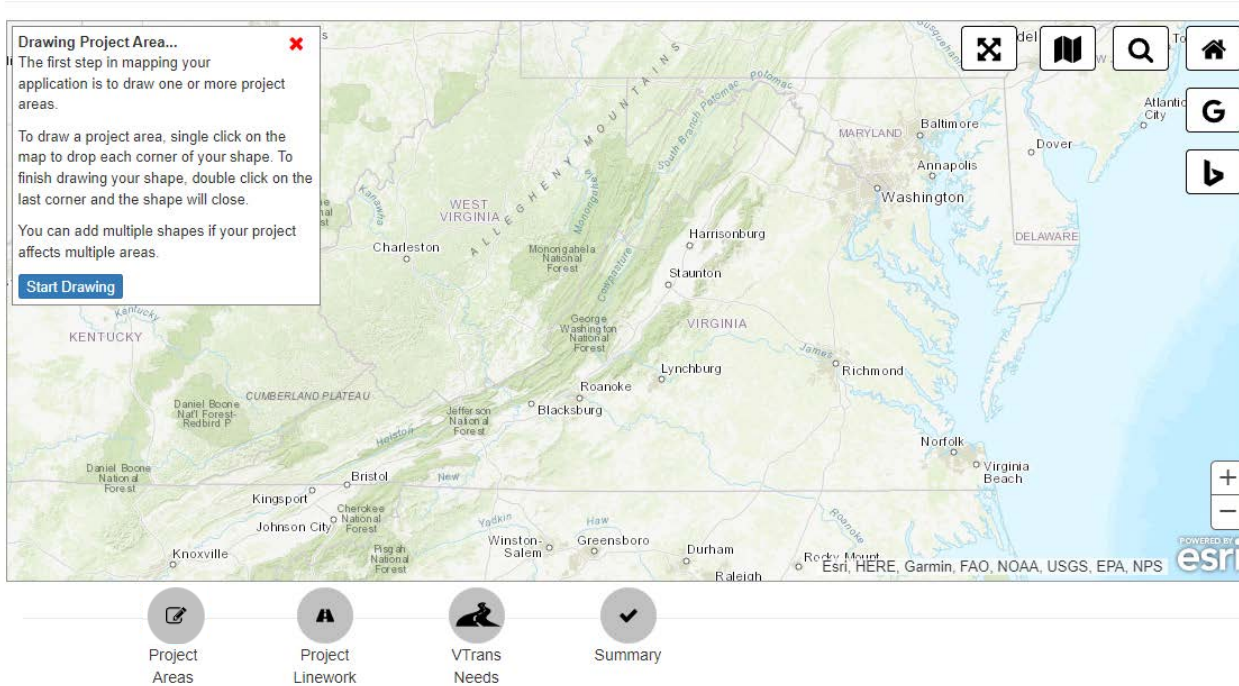
Project Features

- + Highway Improvements
- Bicycle and Pedestrian Improvements
 - Add/Construct Bike Lane ⓘ
 - Construct Shared-Use Path ⓘ
 - Construct Sidewalk ⓘ
 - Improve Bike/Pedestrian Crossing (At Grade) ⓘ
 - Improve Bike/Pedestrian Crossing (Grade Separated) ⓘ
 - Bike/Pedestrian Other ⓘ
- + Bus Transit Improvements
- + Rail Transit Improvements
- + Intercity Passenger Rail
- + Freight Rail
- + Travel Demand Management (TDM) Improvement(s)
- + Right-of-Way and Utilities

Check this box if your project includes improvements to bike and/or pedestrian crossing at an existing at-grade intersection.

Use tool tip to see definition of specific project feature.

Location



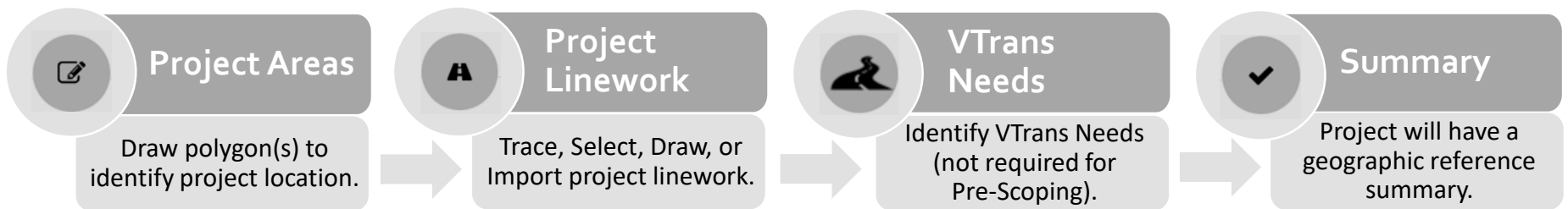
Mapping Process

Within the Pre-Scoping Module the goal of the map is to accurately locate the project and select all impacted segments.

The mapping process requires the identification of a project area, then the identification of specific segments that will be within the project scope, next the identification of a VTrans Need (if required), finally all the information will be summarized.

Please review the mapping training video for more details.

NOTE: In Delivery/Funding Pearl, phase and total estimates will not inflate unless the project has been mapped.



Location

The information in this section of the report will automatically populate based on the results from the completed mapping.

Areas Served

Based on project area the geographic information below will populate.

Districts Served

- Culpeper

MPOs Served

PDCs Served

- Thomas Jefferson

Jurisdictions Served

- Albemarle County

Functional Classifications

- Minor Collector

Need Justifications

Location Id	Location Name	Need Category	Market	Justification
93728	Rt. 712E (Albemarle County)	Roadway Safety	Safety	Project would address safety issues...
93746	Rt. 712W (Albemarle County)	Roadway Safety	Safety	Project would improve safety...

Delivery/Funding

Project Delivery Information

- Project Planning Status** ⓘ
- Constrained Long Range Plan (MPO)
 - NEPA Study
 - Other Regional Plan
 - Planning/Safety Study
 - Preferred Alternative (NEPA or Planning Level)
 - Rural Long Range Plans
 - State Transportation Plan
 - Transit Development Plan (TDP)
 - Transportation Element of Local Comprehensive Plan
 - Vision Long Range Plan (MPO)

Select all planning documentation that references the project. Upload this documentation in the Supporting Documents section of the application.

Project's located with the boundaries of an MPO are required to be included in or consistent with a that MPO's CLRP. If the project does not meet those requirements a resolution from the MPO supporting the project application is required.

Delivery/Funding

Enter the project phase cost estimate in current year dollars including allowances.

Enter the risk/contingency/unknown costs associated with each phase of the project. This amount can be entered as a percentage of the phase base estimate or a specific dollar amount. Applicants can toggle between entering a percentage or dollar amount.

Additional phases can be added and removed. The pearl will maintain a minimum of three phases. If less than three phases are needed mark the other phases as "Not Needed."

Phase Estimate and Schedule

Please provide project phase schedule and cost estimate information.

Please provide project phase schedule and cost estimate information. ⓘ

+ Add Project Phase

Phase Milestone
PE (Survey, Environmental, Design)

Phase Status ⓘ

Not Started

Base Estimate ⓘ

0 \$

Risks/Contingency/Unknowns ⓘ

% % \$

Start Date ⓘ

📅

Enter the requested date for the phase in YYYY-MM-DD format.

NOTE: Phase and total estimates will not inflate unless the project has been mapped.

Phase Milestone

RW (Right of Way and Easement Acquisition, Utility Relocation)

Phase Status ⓘ

Not Started

Base Estimate ⓘ

0 \$

Risks/Contingency/Unknowns ⓘ

% % \$

Start Date ⓘ

📅

Select the phase status of the specific project phase. Once a phase is selected other fields will open.

Phase Milestone

CN (Construction, Oversight, Contingencies)

Phase Status ⓘ

Not Started

Base Estimate ⓘ

0 \$

Risks/Contingency ⓘ

% % \$

Start Date ⓘ

📅

End Date ⓘ

📅

This will sum the total cost of the project including inflation.

Enter the estimated costs for Construction Engineering Inspection (CEI). This amount can be entered as a percentage of the Construction phase base estimate or a specific dollar amount.

CEI ⓘ

% % \$

Total Cost Estimate ⓘ

\$0

Delivery/Funding

For an existing project in the SYIP. Project could be the project as described in the application OR a donor project from which funding is being transferred.

Provide project UPC.

Select UPC type. Is this project the project in the application or a donor project from which funding will be transferred?

Provide the project description as shown in the approved Six Year Improvement Program (SYIP).

Create unique SYIP Allocation boxes for each associated. Boxes can be removed as well.

SYIP Allocation

Provide Existing Project VDOT UPC(s) or DRPT Project Number(s), if applicable

Project UPC/DRPT/ID	UPC Type	UPC Description	VDOT / DRPT (\$)
<input type="text"/>	Select option	<div style="border: 1px solid #ccc; height: 40px;"></div>	\$ <input type="text"/>

Remove

Total SYIP Allocations

Total SYIP Allocations will be summed and the value will be shown here.

For a project UPC provide the existing dollar amount on the project. For a donor UPC provide the intended transfer amount.

Delivery/Funding

For funding not shown in the SYIP.

Create unique boxes for each type of Other Committed Funds. Boxes can be removed as well.

Add Other Committed Funds

Remove

Other Committed Funds

Other Committed Funds

Other Funds Committed to Project ?	Description of Fund Type ?	Amount ?
<input type="text" value="Select option"/>	<input type="text"/>	<input type="text" value="\$"/>

Select the source of non-SYIP funding.

Provide approval status of others funds (Applied for, Approved, etc..). Also provide, any other relevant information or program impacts.

Provide total amount of funding intended for project from identified source

Total Other Committed Funds ?

Total Other Committed Funds will be summed and the value will be shown here.

Delivery/Funding

The information in this section of the portal will automatically calculate based on the information provided in other portions of the Delivery/Funding portal.

Project Financial Information

The Project Financial Information section includes the sum of all SYIP Allocations and Other Committed Funds Amounts. The amount of Requested Funds is automatically calculated based on the formula of Total Cost Estimate - SYIP Allocations - Other Committed Funds Amount. The remainder needed to complete and fully fund the project is identified as the Requested Funds.

Total SYIP Allocations

Total Other Committed Funds

Total Requested Funds

Total Project Funding

Total Cost Estimate

Supporting Documentation

1) Click upload box, file explorer upload box will open, select file to upload.

2) File description will appear as filename, BUT can be revised.

3) Select attachment type from list (Required).

4) Select green box to upload pending attachment. Select red box to delete it.

Upload an Attachment

Pending Uploads:

Description	Attachment Type	File Name	
10-29-2019 At-Risk Preser	Attachment Type Required	10-29-2019 At-Risk Presentation CTB.pdf	<input type="button" value="Upload"/> <input type="button" value="Delete"/>

Description/File Name:

Attachment Type:

No Attachments

Supporting Documentation

+ Upload an Attachment

Once uploaded files can be searched by description or attachment type.

Description/File Name:

Attachment Type:

- Access Management Plan or Zoning Overlay
- Accident/Safety Analysis/ Crash Report at Bridge Site
- Applicant Concurrence with Change
- Approval Document for Site Development Plan
- Attachment A - Local Traffic Volumes
- Capital Improvement Plan
- CLRP Document
- Concurrency Change Form for Scoring
- Cost Estimates Estimate Workbook and Support Documentation
- Crash Report
- Detailed Cost Estimate
- Development Project Zoning/Proffer Reference
- District Validation Form
- Elevation Section of Proposed Bridge
- Existing and Proposed Cross Section of Deck
- Existing and Proposed Cross Section of Immediate Approach Roadway
- Existing Typical Approach Roadway Section
- Governing Body Resolution of Support
- Interchange Justification Report (IJR)

Submission

Ready to submit...

When a Pre-Scoping Application is ready for submittal, click on the Review Submission Readiness button located at the bottom of each Pearl when in Edit mode. Once the Review Submission Readiness is turned on, the Save and Submit Application button will appear. If the application is missing required information the Save and Submit button will be visible but not clickable.

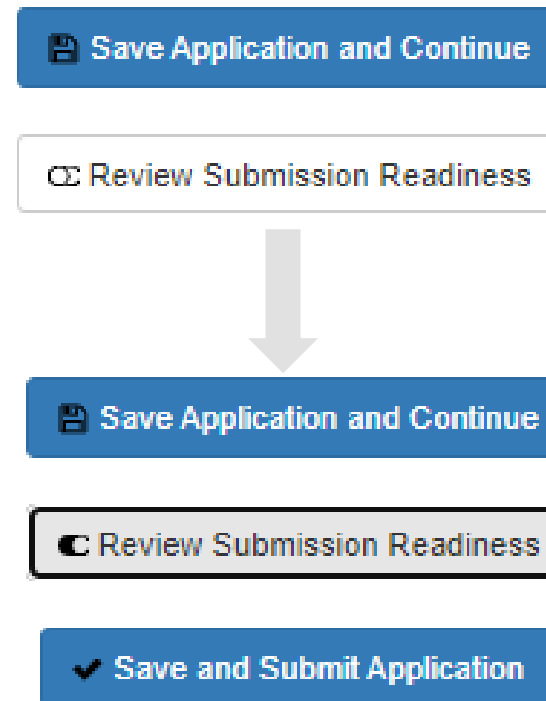
Once submitted the project identification at the top of each Pearl will change from Pending to Submitted.



Things to consider...

The purpose of the Pre-Scoping Module is to help elevate project concepts to level that is Application Ready. Prior to submitting a project in the Pre-Scoping Module be sure to fully articulate the scope, schedule, and estimate. Provide as much information as possible so the project's application weaknesses can be fully assessed in the District Review and District Validation process.

Review Submission Readiness



District Review

Application Review

The purpose of the District Review process to assess the readiness of an application, based on the provided scope, schedule, and estimate information.

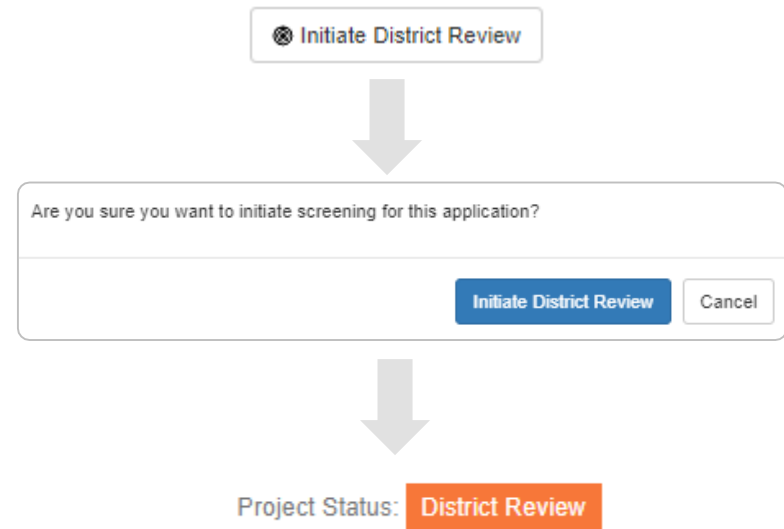
First, District Review must be initiated (see right). Once opened District Reviewers will be assessing the completed Pre-Scoping Application for risk. It is important to note that District Reviewers are assessing the risk of an application being screened out or incomplete when submitted to a specific funding program. District Reviewers ARE NOT assessing the project risk.

Risk Assessment

During District Review applications will be assessed for risk based on completeness of the information provided for scope, schedule, estimate and desired funding program. Applications can be classified as Low, Moderate, or High Risk. Again this assessment is of the application and its readiness to be considered for funding. Risk is not being assessed on the project.



Initiate District Review



District Review

Question 1

Does the record have sufficient information to develop OR evaluate the scope, schedule, and estimate?

- Yes - there is sufficient information provided in the application or by other means for staff to further develop or evaluate the scope, schedule, and/or estimate.
- No - there is insufficient information provided and/or known about the proposed project for staff to provide further assistance at this time; follow up with creator is required

If YES, continue District Review process. If NO, application should be Rolled Back for additional information.

[Rollback App](#)

Question 2

Is the project likely eligible for one or more available funding programs?

- Yes - based on an initial review, the proposed project would likely be eligible for one or more available funding programs
- No - one or more characteristics of the proposed project would make it ineligible for available funding programs at this time

If YES, continue District Review process. If NO, application should be Rolled Back and program information should be provided to applicant for consideration.

[Rollback App](#)

District Review

Question 3

What level of risk is being assigned to this project proposal?

- High Risk
- Moderate Risk
- Low Risk

If Risk is assessed as High or Moderate project can either advance to District Validation for additional review or be Rolled Back for additional information from the applicant. If Risk is assessed as Low project will advance to Approval (bypassing District Validation) and be ready to be cloned into a program application.

Question 4

Should the project proceed?

- Yes
- No - Rejected

If YES, provide a justification and complete District Review process. If NO, application should be Rolled Back for additional information or Rejected. **NOTE: Rejecting an application will make the application PERMINANTLY INACCESSIBLE and CANNOT be undone.**

District Review

District Reviewers are required to complete the screening questions below to complete District Review.

Perform **District Review**

Does the record have sufficient information to develop OR evaluate the scope, schedule, and estimate?

- Yes - there is sufficient information provided in the application or by other means for staff to further develop or evaluate the scope, schedule, and/or estimate.
- No - there is insufficient information provided and/or known about the proposed project for staff to provide further assistance at this time; follow up with creator is required

Is the project likely eligible for one or more available funding programs?

- Yes - based on an initial review, the proposed project would likely be eligible for one or more available funding programs
- No - one or more characteristics of the proposed project would make it ineligible for available funding programs at this time

What level of risk is being assigned to this project proposal?

- High Risk
- Moderate Risk
- Low Risk

Should the project proceed?

- Yes
- No - Rejected

Justification/Comments

District Review can be Saved while underway OR submitted. Submit will either advance the project to Approved or District Validation depending on assigned risk.

NOTE: Warning Box will appear if project is assigned Low Risk.

This application has been assessed as Low Risk. In clicking yes below this application will bypass validation and advance to approved status. Do you wish to complete this action?

District Validation

Validation

The purpose of the District Validation in the Pre-Scoping Module is to make note of any issues that need to be addressed if/when an application advances into a specific program for funding consideration.

District Validation is triggered when District Review responses are submitted and assessed risk has been designated High or Moderate.

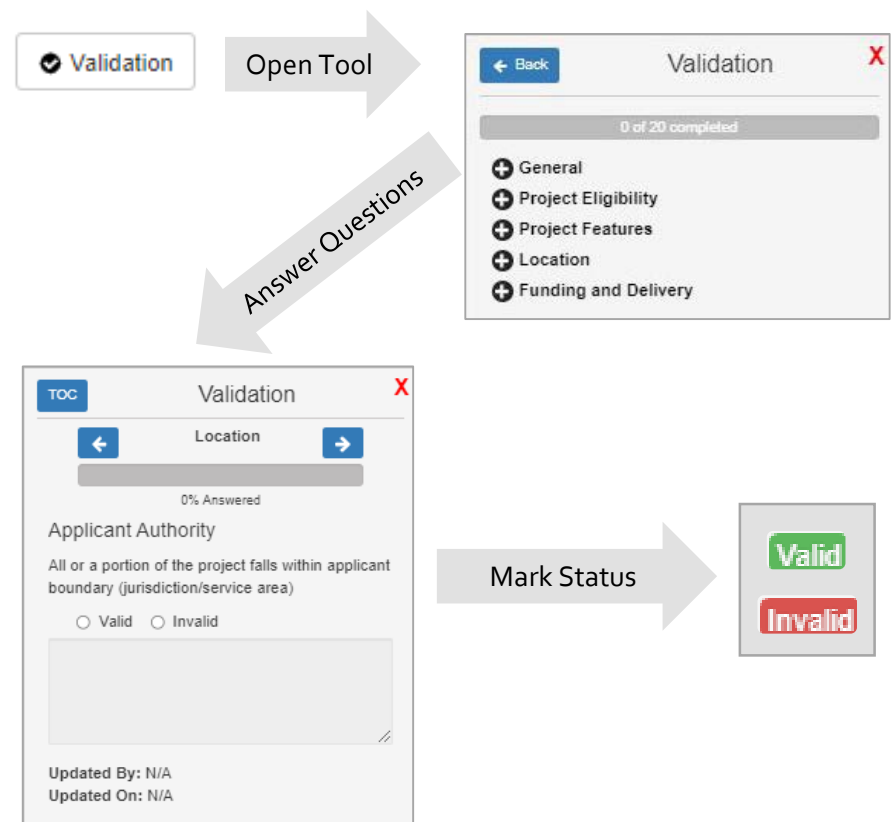


The Validation portion of the application includes two main components; 1) The inputting of notes in the Validation Tool (see right) and 2) the completion of the District Validation questions.

Things to Consider...

- The Validation Tool should be used to note any concerns or edits to the application.
- All questions in the Validation need to be addressed as either Valid or Invalid.
- The Pre-Scoping application can advance to approval status with invalid answer. Validation comments and notes should be used as reference for identifying issues. Basically the validation tool shows a punch list for application issues that can be addressed in the Pre-Scoping Module or a program-specific application.

Validation Tool



NOTE: Application cannot advance if Validation Tool is incomplete

This application has not been fully validated through the Validation Tool. Complete all Validation questions before submitting this screening decision.

Cancel

District Validation

Question 1

Has the review sufficiently completed development or evaluation of the scope, schedule, and estimate?

- Yes - a well defined scope, schedule, and estimate has been confirmed for this proposed project
- No - the review has not been sufficiently completed and/or there is missing information preventing this review from being complete

If YES, continue District Validation process. If NO, application should be Rolled Back for additional information.

[Rollback App](#)

Question 2

Is the propose project clear of any major deficiencies that would prevent an applicant from submitting this project for one or more available funding programs?

- Yes - project can be submitted for one or more available funding programs; each funding program may have additional requirements not yet confirmed at this level of review
- No - there are major deficiencies noted on the proposed project that would prevent near term submission of the project through one or more available funding programs; follow up with creator is required

If YES, continue District Validation process. If NO, application should be Rolled Back and program information should be provided to applicant for consideration.

[Rollback App](#)

Question 3

Should the project proceed?

- Yes - Approved
- No - Rejected

If YES, provide a justification and complete District Validation process. If NO, application should be Rolled Back for additional information or Rejected. **NOTE: Rejecting an application will make the application PERMINANTLY INACCESSIBLE and CANNOT be undone.**

District Validation

District Validators are required to complete the screening questions below to complete District Validation

Perform **District Validation**

Has the review sufficiently completed development or evaluation of the scope, schedule, and estimate?

- Yes - a well defined scope, schedule, and estimate has been confirmed for this proposed project
- No - the review has not been sufficiently completed and/or there is missing information preventing this review from being complete

Is the propose project clear of any major deficiencies that would prevent an applicant from submitting this project for one or more available funding programs?

- Yes - project can be submitted for one or more available funding programs; each funding program may have additional requirements not yet confirmed at this level of review
- No - there are major deficiencies noted on the proposed project that would prevent near term submission of the project through one or more available funding programs; follow up with creator is required

Should the project proceed?

- Yes - Approved
- No - Rejected

Justification/Comments

District Validation can be Saved while underway OR submitted. Submit will advance the project to Approved.

Approved

Approved

A Pre-Scoping Application is Approved when a District Validation is submitted.



Once a Pre-Scoping Application has made it through the process it can be cloned into a program-specific application and edited according to that program's application requirements.

The Pre-Scoping Application can remain a resource for application development and tweaking as a project application is submitted and, potentially, re-submitted for funding. Once a project has been funded or an application is no longer necessary the application should be archived.

Things to Consider...

An "Approved" Pre-Scoping Application DOES NOT mean the project is approved or will be funded. This status in the Pre-Scoping Module simply means that the project application is reasonably ready to progress to a funding program application.