

HRTPO Guidance

On



**SMART
SCALE**

*Funding the Right
Transportation Projects
in Virginia*

HAMPTON ROADS TRANSPORTATION PLANNING ORGANIZATION

Robert A. Crum
Executive Director

VOTING MEMBERS

CHESAPEAKE

Alan P. Krasnoff

GLOUCESTER COUNTY

Phillip Bazzani

HAMPTON

Donnie Tuck

ISLE OF WIGHT COUNTY

Rex Alphin

JAMES CITY COUNTY

Michael Hipple

NEWPORT NEWS

McKinley Price

NORFOLK

Kenneth Alexander

MEMBERS OF THE VIRGINIA SENATE

The Honorable Mamie E. Locke

The Honorable Frank W. Wagner

MEMBERS OF THE VIRGINIA HOUSE OF DELEGATES

The Honorable Christopher P. Stolle

The Honorable David E. Yancey

TRANSPORTATION DISTRICT COMMISSION OF HAMPTON ROADS

William E. Harrell, President/Chief Executive Officer

WILLIAMSBURG AREA TRANSIT AUTHORITY

Todd Tyree, Executive Director

VIRGINIA DEPARTMENT OF TRANSPORTATION

James Utterback, District Administrator – Hampton Roads District

VIRGINIA DEPARTMENT OF RAIL AND PUBLIC TRANSPORTATION

Jennifer Mitchell, Director

VIRGINIA PORT AUTHORITY

John Reinhart, CEO/ Executive Director

POQUOSON

W. Eugene Hunt, Jr.

PORTSMOUTH

Kenneth I. Wright

SUFFOLK

Linda T. Johnson

VIRGINIA BEACH

William D. Sessoms, Jr.

WILLIAMSBURG

Paul Freiling

YORK COUNTY

Thomas G. Shepperd, Jr.

HAMPTON ROADS TRANSPORTATION PLANNING ORGANIZATION

NON-VOTING MEMBERS

CHESAPEAKE

James E. Baker

GLOUCESTER COUNTY

J. Brent Fedors

HAMPTON

Mary Bunting

ISLE OF WIGHT

Sanford B. Wanner

JAMES CITY COUNTY

Bryan Hill

NEWPORT NEWS

Jim Bourey

NORFOLK

Marcus Jones

POQUOSON

J. Randall Wheeler

PORTSMOUTH

Lydia Pettis Patton

SUFFOLK

Patrick Roberts

VIRGINIA BEACH

David Hansen

WILLIAMSBURG

Marvin Collins

YORK COUNTY

Neil Morgan

FEDERAL HIGHWAY ADMINISTRATION

Wayne Fedora, Acting Division Administrator – Virginia Division

FEDERAL TRANSIT ADMINISTRATION

Terry Garcia-Crews, Regional Administrator, Region 3

FEDERAL AVIATION ADMINISTRATION

Jeffrey W. Breeden, Airport Planner, Washington Airports District Office

VIRGINIA DEPARTMENT OF AVIATION

Randall P. Burdette, Director

PENINSULA AIRPORT COMMISSION

Ken Spirito, Executive Director

NORFOLK AIRPORT AUTHORITY

Robert S. Bowen, Executive Director

CHAIR – CITIZEN TRANSPORTATION ADVISORY COMMITTEE

Gregory Edwards

CO-CHAIR – FREIGHT TRANSPORTATION ADVISORY COMMITTEE

Arthur Moye Jr., Co-Chair (Non-Voting Board Member)

Delegate Christopher Stolle, Co-Chair (Voting Board Member)

MILITARY LIAISONS

Richard Wester, Captain – U.S. Coast Guard

William S. Galbraith, Colonel – Langley Eustis

VACANT – U.S. Navy

INVITED PARTICIPANT

John Malbon – Commonwealth Transportation Board

PROJECT STAFF

Robert A. Crum

Camelia Ravanbakht, Ph.D.

Michael S. Kimbrel

Executive Director

Deputy Executive Director

Principal Transportation Engineer

REPORT DOCUMENTATION

TITLE

HRTPO Guidance on SMART SCALE

REPORT DATE

July 2015 (Updated August 2016)

AUTHOR

Michael S. Kimbrel

ORGANIZATION CONTACT INFORMATION

Hampton Roads Transportation Planning Organization
723 Woodlake Drive
Chesapeake, Virginia 23320
(757) 420-8300
www.hrtpo.org

ABSTRACT

This document provides information on the process used by the Hampton Roads Transportation Planning Organization (HRTPO) to determine whether to provide a resolution of support for applicable projects to be submitted under the SMART SCALE (formerly called House Bill 2 or HB2) statewide project prioritization process or to submit project applications in response to requests by other entities.

ACKNOWLEDGMENTS

This document was prepared by the Hampton Roads Transportation Planning Organization (HRTPO) in cooperation with the U.S. Department of Transportation (USDOT), Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Virginia Department of Transportation (VDOT), Virginia Department of Rail and Public Transportation (DRPT), Transportation District Commission of Hampton Roads (TDCHR), and Williamsburg Area Transit Authority (WATA). The contents of this report reflect the views of the HRTPO. The HRTPO staff is responsible for the facts and the accuracy of the data presented herein. The contents do not necessarily reflect the official views or policies of the FHWA, FTA, VDOT or DRPT. This report does not constitute a standard, specification, or regulation. FHWA, FTA, VDOT or DRPT acceptance of this report as evidence of fulfillment of the objectives of this program does not constitute endorsement/approval of the need for any recommended improvements nor does it constitute approval of their location and design or a commitment to fund any such improvements. Additional project level environmental impact assessments and/or studies of alternatives may be necessary.

NON-DISCRIMINATION

The HRTPO assures that no person shall, on the ground of race, color, national origin, handicap, sex, age, or income status as provided by Title VI of the Civil Rights Act of 1964 and subsequent authorities, be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under any program or activity. The HRTPO Title VI Plan provides this assurance, information about HRTPO responsibilities, and a Discrimination Complaint Form.

TABLE OF CONTENTS

Overview..... 1

- What Is SMART SCALE? 1
- SMART SCALE Exclusions..... 2
- SMART SCALE Project Screening..... 2
- SMART SCALE Evaluation Measures 2
- SMART SCALE Weighting Frameworks..... 3
- Applicant Eligibility..... 4
- Relevant Regional Entities 5
- SMART SCALE Application Process Overview 6

HRTPO Guidance on SMART SCALE 7

- When HRTPO is the Applicant..... 7
- When HRTPO is requested to Support the Application of a Locality or Transit Agency..... 8
- When HRPDC is requested to Support the Application of a Locality or Transit Agency..... 8

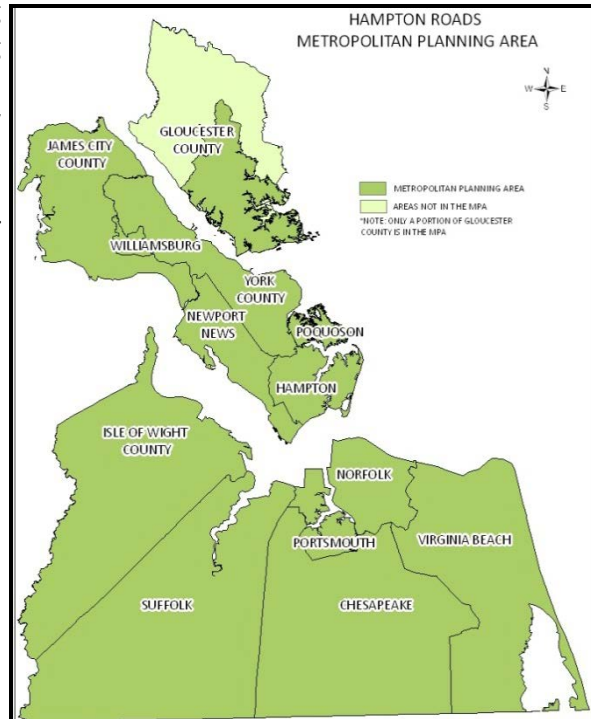
Appendix..... 9

OVERVIEW

The Hampton Roads Transportation Planning Organization (HRTPO) is the metropolitan planning organization (MPO) for the Hampton Roads area. As such, it is a federally mandated transportation policy board comprised of representatives from local, state, and federal governments, transit agencies, and other stakeholders and is responsible for transportation planning and programming for the Hampton Roads metropolitan planning area (MPA).

The MPA is comprised of the cities of Chesapeake, Hampton, Newport News, Norfolk, Poquoson, Portsmouth, Suffolk, Virginia Beach, and Williamsburg, and the counties of Isle of Wight, James City, York, as well as a portion of Gloucester County.

The purpose of this document is to provide guidance regarding the SMART SCALE (formerly called House Bill 2 or HB2) statewide project prioritization process.



WHAT IS SMART SCALE?

House Bill 2 (HB2), adopted by the General Assembly and signed into law by the Governor in 2014, required the Commonwealth Transportation Board (CTB) to develop a statewide prioritization process for capacity expansion projects based on a comparison of a project's relative benefit to its cost. Following nearly a year of development, the HB2 process was approved by the CTB on June 17, 2015. The legislation set the requirement that the HB2 process be used to develop the Six-Year Improvement Program (SYIP) starting with the FY 2017 – FY 2022 SYIP to be approved by the CTB in June 2016. On June 14, 2016, the new name for the prioritization process was announced – SMART SCALE. SMART stands for System for the Management and Allocation of Resources for Transportation. SCALE refers to the six evaluation factors – Safety, Congestion mitigation, Accessibility, Land use, and Economic development and the environment.

The key goals of SMART SCALE are:

- To promote performance in the selection of projects for the SYIP
- To provide stability to the SYIP
- To establish a project pipeline that links planning to programming

This document provides an overview of the SMART SCALE statewide prioritization process for the purposes of addressing HRTPO Guidance on SMART SCALE. Complete information on SMART SCALE may be accessed on the web at: www.vasmartscale.org.

SMART SCALE EXCLUSIONS

The SMART SCALE process excludes the following project types and funding sources:

- Pavement and bridge rehabilitation projects
- Fully-funded projects
- Projects for which National Environmental Policy Act (NEPA) documentation is complete
- Revenue sharing projects
- Hampton Roads and Northern Virginia regional funds
- Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds
- Regional Surface Transportation Program (RSTP) funds
- Highway safety federal funds
- Transportation Alternatives Program federal funds

SMART SCALE PROJECT SCREENING

Only projects that meet a capacity or operational need identified under the following categories in the **VTrans2040 Multimodal Transportation Plan** will move forward in the HB2 prioritization process:

- Corridors of Statewide Significance
- Regional Networks
- Improvements to promote Urban Development Areas
- Transportation Safety

The **Appendix** includes a map of the Corridors of Statewide Significance. For the most up-to-date information on VTrans2040, visit the VTrans2040 page on the website of the Virginia Office of Intermodal Planning and Investment at: www.vtrans.org/vtrans2040.asp.

SMART SCALE EVALUATION MEASURES

The legislation that resulted in SMART SCALE requires that measures used to evaluate projects be quantifiable and objective, that the analysis result in a measure of a project's benefits relative to its cost (essentially a benefit-cost analysis using the SMART SCALE factors), and that the CTB consider all modes of transportation. The law requires that the measures fall into the following six factor areas:

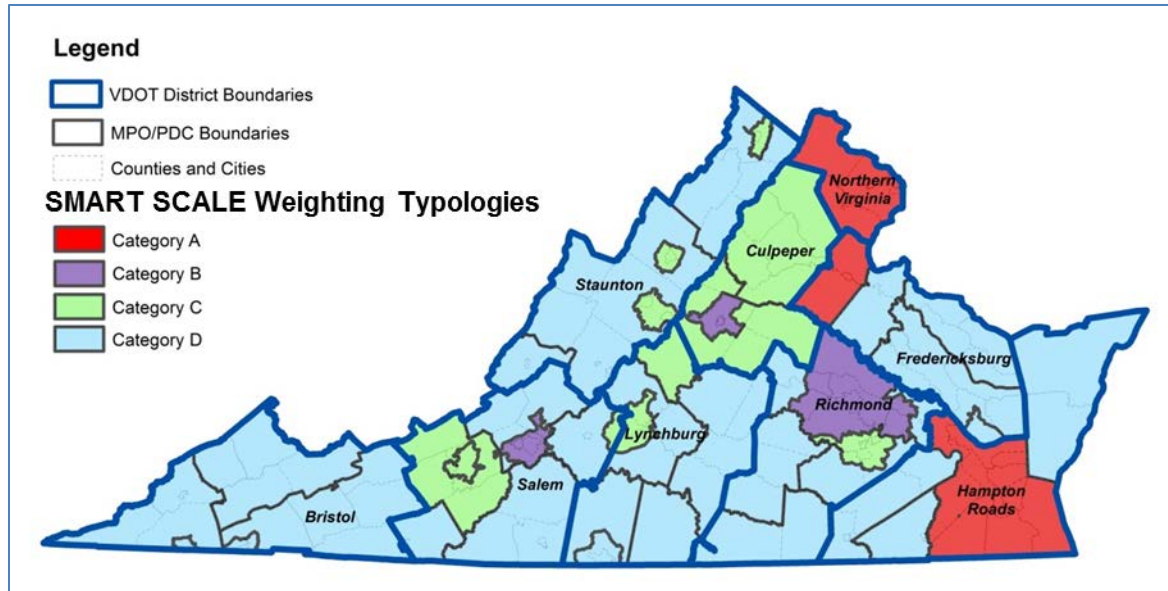
- Congestion Mitigation
- Accessibility
- Safety
- Environmental Quality
- Economic Development
- Land Use Coordination (for areas with over 200,000 population)

For details on the measures and measure weights for each of the factors listed above, visit the SMART SCALE website at: www.vasmartscale.org.

SMART SCALE WEIGHTING FRAMEWORKS

The legislation that resulted in SMART SCALE specifies that the CTB shall weight the evaluation factors for each of the state’s nine VDOT Construction Districts, assigning different weights to the factors based on the unique needs and qualities of each District. **Figure 1** indicates the SMART SCALE weighting typologies, or frameworks, for the nine construction districts. As shown in Figure 1, several of the construction districts have more than one SMART SCALE weighting typology.

Figure 1 – SMART SCALE Weighting Typologies



As shown in Figure 1, the localities within the Hampton Roads MPA, excluding Gloucester County (which is included in the Fredericksburg Construction District), are in the Category A weighting framework. Localities within the VDOT Hampton Roads Construction District, but outside of the Hampton Roads MPA, are in the Category D weighting framework.

Table 1 shows the weights to be applied to each of the evaluation factors for each weighting framework category.

Table 1 – SMART SCALE Weighting Frameworks

| Factor | Congestion Mitigation | Economic Development | Accessibility | Safety | Environmental Quality | Land Use |
|------------|-----------------------|----------------------|---------------|--------|-----------------------|----------|
| Category A | 45% | 5% | 15% | 5% | 10% | 20% |
| Category B | 15% | 20% | 25% | 20% | 10% | 10% |
| Category C | 15% | 25% | 25% | 25% | 10% | NA |
| Category D | 10% | 35% | 15% | 30% | 10% | NA |

APPLICANT ELIGIBILITY

Entities eligible to submit projects under SMART SCALE are:

- Regional Entities – specifically Metropolitan Planning Organizations (MPOs), Planning District Commissions (PDCs), and the Northern Virginia Transportation Authority
- Non-profit public transit agencies
- Cities, counties, and those towns that maintain their own infrastructure

Table 2 summarizes the entities eligible to submit projects under SMART SCALE by project type.

Table 2 – Eligibility to Submit Projects

| Project Type | Regional Entities (MPOs, PDCs) | Local Governments (Cities, Counties, Towns) | Transit Agencies |
|-------------------------------------|--------------------------------|---|---|
| Corridors of Statewide Significance | Yes | Yes, with a resolution of support from relevant regional entity | Yes, with resolution of support from relevant regional entity |
| Regional Networks | Yes | Yes | Yes, with resolution of support from relevant entity |
| Urban Development Areas | No | Yes | No |

RELEVANT REGIONAL ENTITIES

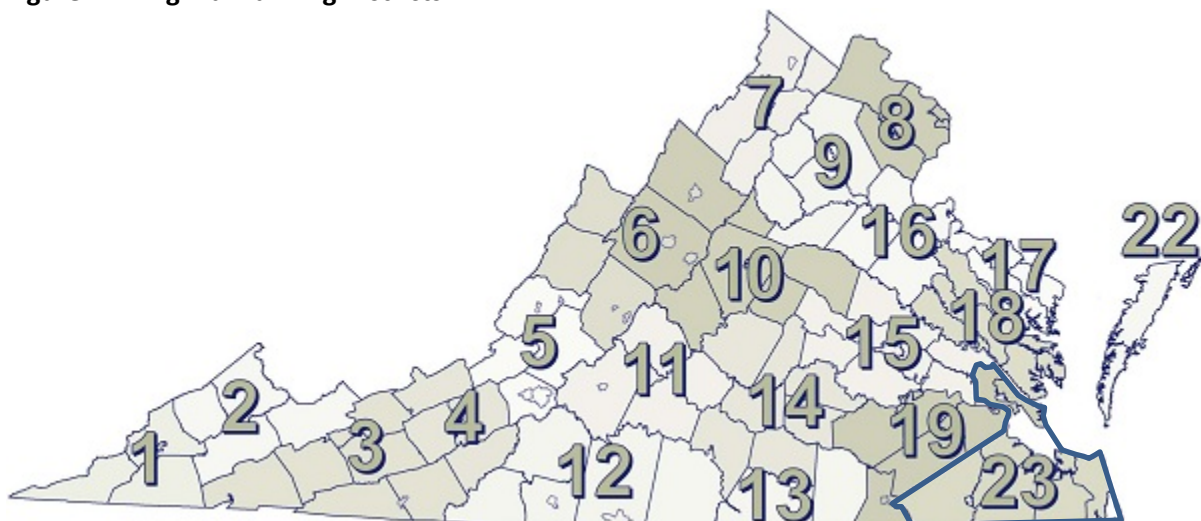
As shown in Table 2, certain applicants must receive a resolution of support for certain project types to be submitted under SMART SCALE. **Table 3** identifies the relevant regional entities for localities and transit agencies within the Hampton Roads Construction District.

Table 3 – Relevant Regional Entities

| Local Governments (Cities, Counties, Towns) Transit Agencies | Relevant Regional Entity |
|---|--|
| Localities and Transit Agencies within the Hampton Roads MPA (Excluding Gloucester County) | HRTPO |
| Localities and Transit Agencies outside of the Hampton Roads MPA, but within Planning District 23 | Hampton Roads Planning District Commission |
| Localities and Transit Agencies outside of Planning District 23, but within the Hampton Roads Construction District | <p>For Eastern Shore Localities: Accomack-Northampton Planning District Commission (PD 22)</p> <p>For Sussex, Surry, & Greensville Counties: Crater Planning District Commission (PD 19)</p> |
| Gloucester County | Middle Peninsula Planning District Commission (PD 18) |

Figure 2 shows the Virginia Planning Districts (PDs) with the boundary of PD 23 indicated by a bold blue line.

Figure 2 – Virginia Planning Districts



Source: Virginia Association of Planning District Commissions

SMART SCALE APPLICATION PROCESS OVERVIEW

In accordance with the SMART SCALE guidance document, in order to support the success of the evaluation process, project sponsors will need to coordinate with VDOT and DRPT early in the process to share information on prospective applications. This coordination phase will allow project descriptions and scopes of work, cost estimates, and potential benefits to be developed and refined and will facilitate the application and evaluation process. SMART SCALE submittals are encouraged to include sufficient information to be evaluated and also need to meet specific application requirements.

SMART SCALE project applications must include the following information:

- **Scope** – At a minimum, the scope should define the limits of the project, its physical and operational characteristics, and physical and/or operational footprint.
- **Schedule** – At a minimum, the schedule should clearly define the expected process for further project development including key milestones, work activities, related activities, approvals/approval timelines. The schedule should be realistic and reflect the complexity of the project and identify durations for project phases (PE, RW, CN).
- **Cost** – At a minimum, the cost estimate should be as realistic as possible and should account for applicable risk and contingencies based on the size and complexity of the project. Projects incurring one-time and ongoing operations and non-construction costs (i.e., purchase of transit vehicles) should clearly identify those costs.

It should be noted that, as part of the application process, each applicant will be asked to rank its submitted projects in order of priority. VDOT/DRPT will evaluate projects in order of priority.

HRTPO GUIDANCE ON SMART SCALE

This section describes the HRTPO guidance with respect to the SMART SCALE statewide prioritization process when:

1. HRTPO is the Applicant
2. HRTPO is requested to support projects submitted by Localities or Transit Agency

WHEN HRTPO IS THE APPLICANT

As shown in Table 2, the HRTPO is an eligible applicant for projects that fall under the **Corridors of Statewide Significance (CoSS)** and **Regional Networks** project types. The HRTPO may submit projects at its discretion or at the request of another entity, such as the Hampton Roads Transportation Accountability Commission (HRTAC), the Virginia Port Authority (VPA), etc.

Guidance Regarding Project Submissions by the HRTPO

1. It is the prerogative of the HRTPO Board whether to apply for projects at the request of other entities. To assist in this decision, HRTPO staff will:
 - a. Review proposed projects to ensure they are consistent with the current, fiscally-constrained Long-Range Transportation Plan and the fiscally-constrained Transportation Improvement Program, as applicable.
 - b. Review proposed projects with respect to SMART SCALE evaluation factors and measures.
 - c. Provide a recommendation to the HRTPO Board on each project proposed for submission by the HRTPO.
2. As required by the SMART SCALE process, the HRTPO Board will specify the priority order of the projects the HRTPO submits. To assist in this decision, HRTPO staff will:
 - a. Review HRTPO prioritization scores for each proposed project.
 - b. Review proposed projects with respect to SMART SCALE evaluation factors and measures.
 - c. Provide a recommendation to the HRTPO Board on the priority order for projects proposed for submission by the HRTPO.

WHEN HRTPO IS REQUESTED TO SUPPORT THE APPLICATION OF A LOCALITY OR TRANSIT AGENCY

As shown in Table 2, for localities that wish to submit projects under the Corridors of Statewide Significance (CoSS) project type and for transit agencies that wish to submit projects under the CoSS and Regional Networks project types, a resolution of support from the relevant regional entity is required. Table 3 identifies the relevant regional entities for the Hampton Roads Construction District.

Guidance Regarding Project Submissions by Localities and Transit Agencies

1. In response to a request for HRTPO support of project applications, HRTPO staff will review the proposed projects to ensure they are consistent with the current, fiscally-constrained Long-Range Transportation Plan (LRTP) and the fiscally-constrained Transportation Improvement Program (TIP), as applicable.
2. For projects found to be consistent with the fiscally-constrained LRTP and fiscally-constrained TIP, an HRTPO resolution of support will be provided to the Applicant. If the applicant submits more than one project, the resolution will specify each project supported by the HRTPO.
3. It is the responsibility of the Locality or Transit Agency to specify the priority order of the projects they submit for evaluation under SMART SCALE.

WHEN HRPDC IS REQUESTED TO SUPPORT THE APPLICATION OF A LOCALITY OR TRANSIT AGENCY

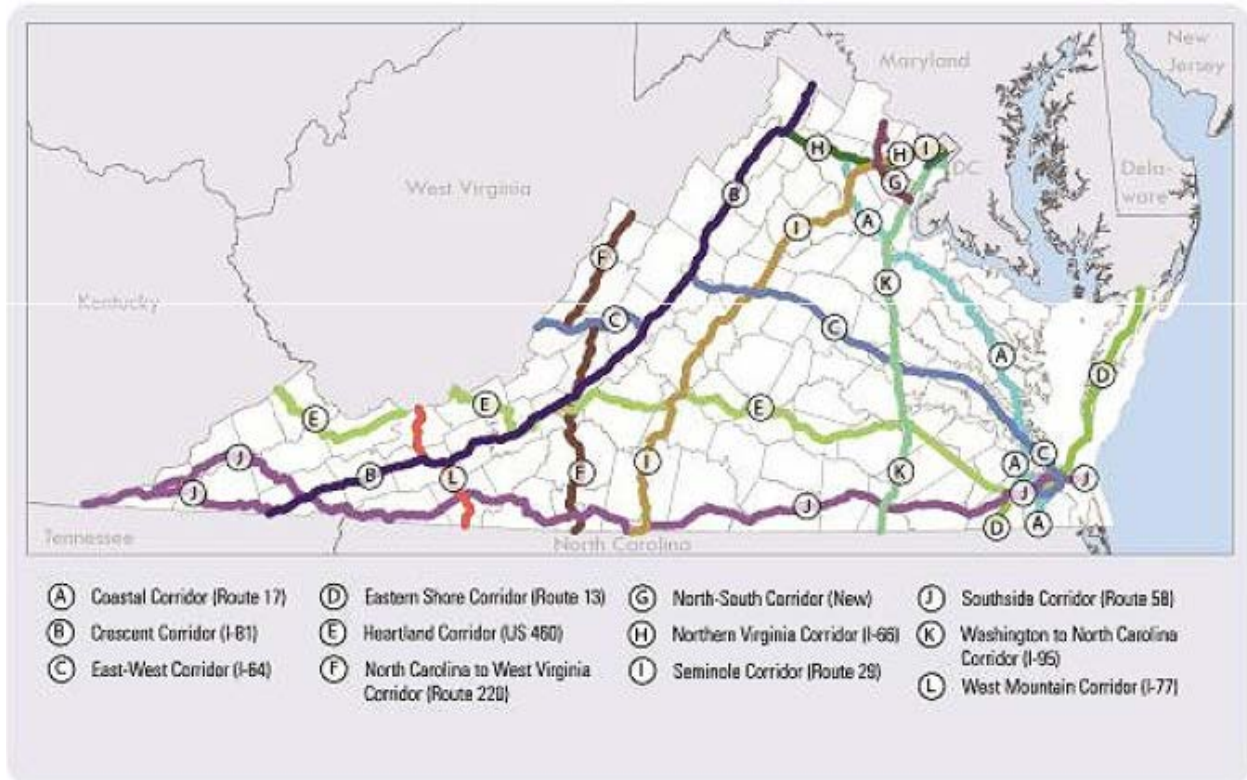
As shown in Table 3, for localities and transit agencies outside of the Hampton Roads MPA, but within Planning District 23, the relevant regional entity is the Hampton Roads Planning District Commission (HRPDC). For such localities that wish to submit projects under the Corridors of Statewide Significance (CoSS) project type and for such transit agencies that wish to submit projects under the CoSS and Regional Networks project types, a resolution of support from the HRPDC is required.

Guidance Regarding Project Submissions by Localities and Transit Agencies

1. In response to a request for HRPDC support of project applications, HRTPO staff will review the proposed projects to ensure they are consistent with the current, fiscally-constrained HRTPO Long-Range Transportation Plan (LRTP), fiscally-constrained Transportation Improvement Program (TIP), and/or the Rural Long-Range Transportation Plan (RLRTP), as applicable.
2. For projects found to be consistent with the fiscally-constrained LRTP, fiscally-constrained TIP, and/or RLRTP, an HRPDC resolution of support will be provided to the Applicant. If the applicant submits more than one project, the resolution will specify each project supported by the HRPDC.
3. It is the responsibility of the Locality or Transit Agency to specify the priority order of the projects they submit for evaluation under SMART SCALE.

APPENDIX

Corridors of Statewide Significance



Source: VTrans 2040 Presentation to the Commonwealth Transportation Board by the Office of the Secretary of Transportation, March 19, 2014.

In the Hampton Roads area, the Corridors of Statewide Significance include:

- Interstate 64 in its entirety
- A portion of I-264 in Portsmouth through the Downtown Tunnel
- Portions of US 13, from the North Carolina line through the Eastern Shore
- US 17, from the North Carolina line through Gloucester County
- US 58, from the western boundary of Hampton Roads to the Atlantic Ocean
- US 460, from the western boundary of Hampton Roads to the Chesapeake Bay