



401 B Street, Suite 800 • San Diego, CA 92101 • (619) 699-1900

TransNet
SMART GROWTH INCENTIVE PROGRAM

**CALL FOR PROJECTS
FOR THIRD CYCLE OF FUNDING**

Release Date: December 19, 2014
Applications Due: March 20, 2015
Electronic Application Submittal Period: March 6 – March 20, 2015

OVERVIEW

CALL FOR PROJECTS AT-A-GLANCE

WHO CAN APPLY?

Smart Growth Incentive Program (SGIP) Grants will be awarded on a competitive basis. Only cities and the County of San Diego are eligible recipients of the grant funds. Nonprofit and community-based organizations may collaborate with cities or the County, but cannot apply directly for the funds.

HOW MUCH FUNDING IS AVAILABLE?

There are approximately \$12 million in SGIP funds to award this cycle. The funds will be allocated to Capital and Planning Projects as follows:

- **Capital Projects** - 80 percent of total funding available (approximately \$9.6 million)
- **Planning Projects** - 20 percent of total funding available (approximately \$2.4 million), plus any rollover from the Capital Grant allocation.

WHAT ARE THE FUNDING LIMITS?

Capital Projects: Each individual grant request amount cannot exceed \$2 million. There is no minimum grant amount request. Applicants requesting more than \$1 million are required to submit a phasing plan that prioritizes project elements. The combined total amount of funding requested by each jurisdiction for Capital Projects cannot exceed the total available for Capital Grants (\$9.6 million).

Planning Projects: Each individual grant request amount cannot exceed \$400,000. There is no minimum grant amount request. The combined total amount of funding requested by each jurisdiction for Planning Projects cannot exceed the total available for Planning Grants (\$2.4 million).

NOTE: SANDAG reserves the right to partially fund grants, and to fund less than the amount available for each funding category in a given funding cycle.

HOW WILL THE PROJECTS BE SELECTED FOR FUNDING?

Projects will be ranked based on the point structure included in the Scoring Criteria Matrix. The SANDAG Regional Planning and Transportation Committees will make recommendations to the SANDAG Board of Directors (Board) on project awards based on the project rankings and available funding. The SANDAG Board will approve the final list of projects that are awarded funding.

APPLICATION PROCESS AND PROGRAM SCHEDULE

December 19, 2014	Call For Projects
January 8, 2015	Application Workshop
March 6-20, 2015	Electronic Submittal Period
March 20, 2015	Applications Due
August 2015*	Board of Directors Approve Funding Recommendations

* Approximate

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APPLICATION SUBMITTAL INSTRUCTIONS

Applicants can apply for **Capital Grants** or **Planning Grants**. This “Call for Projects” package includes information common to both grant programs, as well as information relevant to the individual grant programs. The application consists of:

- An application form for either a **Capital Grant** or a **Planning Grant**
- Project attachments

The application form and all related application materials can be downloaded from the SANDAG website at: sandag.org/cycle3grants.

Applications must be received by SANDAG no later than **4 p.m. on Friday, March 20, 2015**. SANDAG is making arrangements for electronic submittals. Submittal instructions will be posted on the SANDAG website two weeks before applications are due. The electronic submittal period will be from March 5 to March 20, 2015. Late submittals will not be accepted.

RESOLUTION

~~When the application is submitted, it~~Applications must include a signed copy of a Resolution by the city council for incorporated cities or by the Board of Supervisors for the unincorporated areas, authorizing submission of the application, committing to provide matching funds, detailing the source(s) of matching funds, and authorizing staff to accept grant funds and execute the Grant Agreement, if awarded. **Applications that are not accompanied by a resolution will be deemed ineligible.** ~~SANDAG prefers to receive the Resolutions with the applications, but, in order to facilitate the electronic submittal process, will accept applications separate from the signed Resolutions if the city council or Board of Supervisors adopts the Resolution on or before March 20, 2015. In this case, applications will be accepted anytime during the electronic submittal period (between March 5 and March 20), and Resolutions can be e-mailed to Carolina Gregor by March 27, 2015, showing that they were adopted on or before March 20, 2015.~~ The [Sample Resolution](#) may be tailored for each jurisdiction, but all statements from the Sample Resolution are required.

PRE-APPLICATION WORKSHOP

SANDAG will conduct a pre-application workshop for prospective applicants to provide an overview of the program and the application process and answer any questions. Applicants are strongly encouraged to attend this workshop. The workshop will take place on **Thursday, January 8, 2015, from 10 a.m. to 1 p.m.** in the Seventh Floor Board Room at the SANDAG offices.

REFERENCE DOCUMENTS

This “Call for Projects” package refers to a number of documents that will help applicants prepare an application. Those documents can be found on the SANDAG website at: sandag.org/cycle3grants.

QUESTIONS

If you have any questions regarding the application process, please contact:

Carolina Gregor at
carolina.gregor@sandag.org
or (619) 699-1989

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PROGRAM OBJECTIVES

The Smart Growth Incentive Program (SGIP) provides funding for transportation-related infrastructure improvements and planning efforts that support smart growth development. The program funds two types of grants: **Capital Projects** and **Planning Projects**.

The goals are to encourage comprehensive public infrastructure projects and planning activities that facilitate compact, mixed-use development focused around public transit, and that aim to increase housing and transportation choices, reduce greenhouse gas emissions, and improve public health. The SGIP seeks to fund projects that can serve as models around the region and attract private development.

Projects funded by the SGIP must support these goals, and specifically, create great places in the San Diego region. The following outlines the overarching Program Objectives.

PROGRAM OBJECTIVES:

- Implement a comprehensive approach to influence land development by improving the public realm and encouraging private smart growth projects that, in combination, create great places.
- Serve as model examples for smart growth in a variety of settings throughout the region.
- Contribute to the reduction in greenhouse gas emissions and vehicle miles travelled, and improve public health by encouraging travel by means other than single-occupant vehicle. In particular, proposed projects should support public transit usage by improving access to transit and be located in areas served by transit.
- Support future housing development.
- Fund proposed Capital Projects that are “ready to go” and serve as catalysts for further smart growth development.

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ELIGIBILITY

ELIGIBLE APPLICANTS

Only cities and the County of San Diego are eligible recipients of the grant funds. Nonprofit and community-based organizations may collaborate with the local jurisdictions, but cannot apply directly for the funds. Local jurisdictions that are awarded funds may not assign the Grant Agreement to a third party.

ELIGIBILITY CRITERIA

Applicants must meet the following eligibility criteria. Applications that do not meet the following criteria will be deemed ineligible for funding and will not be scored.

1. Consistency with the *TransNet* Extension Ordinance

The proposed project must be eligible under the *TransNet* program. The *TransNet* Extension Ordinance defines the SGIP broadly. Proposed projects can include a “broad array of transportation-related infrastructure improvements that will assist local agencies in better integrating transportation and land use, such as enhancements to streets and public places, funding of infrastructure needed to support development in smart growth opportunity areas consistent with the Regional Comprehensive Plan, and community planning efforts related to smart growth and improved land use/transportation coordination.”

2. Smart Growth Opportunity Area Designation

Projects must be located in a Smart Growth Opportunity Area (SGOA) on the SANDAG Smart Growth Concept Map. Refer to the Smart Growth Concept Map site descriptions ([Smart Growth Concept Map](#)) to determine SGOA locations.

- **Planning projects** can be located in either “Existing/Planned” or “Potential” SGOAs.
- **Capital projects** can only be located in “Existing/Planned” SGOAs. (*Note: Projects located in “Potential” SGOAs are not eligible for Capital grant funds.*)

3. Local Funding Commitment and Authorization

All applications must include a copy of the Resolution passed by the local city council or governing board. The Resolution must authorize the submittal of the application, authorize the local jurisdiction staff to execute the Grant Agreement, and commit to allocate the resources necessary to implement and complete the proposed activities and outcomes within the schedule identified in the project application. The resolution must also detail the source(s) of matching funds. Please refer to the [Sample Resolution](#) for necessary statements. If the project abuts other jurisdictions, it must be shown on the adopted plans of the adjacent communities, or a letter must be submitted from the abutting jurisdiction showing that cooperative efforts are underway.

4. SANDAG Board Policy No. 031, Rule 21 (*TransNet* Ordinance and Expenditure Plan Rules)

Projects already funded by *TransNet* are not eligible, and are governed by the Routine Accommodation Provisions outlined in [SANDAG Board Policy No. 031, Rule 21](#). Grant funds cannot be used to fulfill routine accommodation requirements.

5. Minimum Design Standards and Guidelines (Capital Grant Applications Only)

Proposed projects must meet the minimum geometric standards set forth in the Caltrans Highway Design Manual (Chapter 1000: Bicycle Transportation Design), the California Manual on Uniform Traffic Control Devices (MUTCD), and/or design guidance established by a national association of public transportation officials such as National Association of City Transportation Officials. Projects must also meet the Public Rights-of-Way Accessibility Guidelines. Proposed projects must also be consistent with the guidelines outlined in the Planning and Designing for Pedestrians: Model Guidelines for the San Diego Region and the *Designing for Smart Growth: Creating Great Places in the San Diego Region*.

6. Project Readiness (Capital Grant Applications Only)

Applicants must have completed a feasibility study or an equivalent evaluation of project feasibility. The feasibility study or equivalent evaluation must include the following:

- Agency staff field evaluation
- Concept drawings
- Horizontal alignment
- Identification of potential challenges (such as drainage)
- Identification of right-of-way
- Cost estimate
- Preliminary community input
- Identification of environmental requirements/constraints

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ELIGIBLE EXPENSES, INELIGIBLE EXPENSES, AND MATCHING FUNDS

ELIGIBLE EXPENSES

The following expenses are eligible under the SGIP. Projects that are already underway are eligible to apply **only** if the application proposes to expand the Scope of Work.

Direct Costs, including Local Agency Staff Expenses Salaries, Professional Services, and Other Expenses Incurred on Behalf of the Project: Grant funds may be used toward local agency ~~staff expenses (salaries and benefits)~~, professional services, preliminary engineering (design and environmental), right-of-way acquisition, construction, ~~and~~ project management costs as required by the proposed capital or planning project activities, and other direct expenses incurred on behalf of the project.

Indirect Costs: Grant funds may be used toward indirect costs (~~ie including~~ overhead) ~~directly if they are~~ related to the project. If the budget includes indirect costs, Grantees will be required to submit an "Indirect Cost Allocation Plan" prior to the Grant Agreement execution. (Indirect costs typically include rent, insurance, copying expenses, fringe benefits, and other costs not directly charged to the grant project, and are typically supported by the local jurisdiction's general fund.)

Contingency: Grant funds may be used toward contingency.

SANDAG will reimburse expenses up to the amount awarded in the Grant Agreement and actually expended for the project. In the event of project cost overruns, SANDAG will not pay more than the original amount specified in the Grant Agreement.

INELIGIBLE EXPENSES (FOR CAPITAL GRANTS RELATED TO BICYCLE/PEDESTRIAN PROJECTS)

Certain costs associated with bicycle and pedestrian projects are **NOT** eligible when the benefit is not exclusively provided to bicyclists or pedestrians. These instances include:

Curb and Gutter Improvements. As part of the roadway drainage system, newly installed curb and gutter are not considered an exclusive benefit to the sidewalk or bike lane and are not an eligible expense.

Driveway Ramps Installed Across Sidewalks. Driveways that interrupt segments of sidewalk do not benefit pedestrians, and in fact degrade the pedestrian environment. Driveway ramps are not an eligible expense, however, the distance across the driveway may be included when computing the per-square-foot cost of the sidewalk.

Roadway Shoulder. If local roadway design standards require a roadway shoulder to be the standard bike lane width of five feet or wider, the cost of the shoulder construction will not be eligible. Projects including roadway shoulder construction that do not exclusively and explicitly provide bicycle or pedestrian infrastructure are ineligible.

Existing Requirements. Projects that are a required element of a larger capital improvement project are not eligible for funding.

Applicants should consult with SANDAG staff in advance of submitting a grant application to identify possible ineligible expenses. If the removal and/or replacement of curb and gutter, driveway ramps, drainage facilities and other existing improvements will be necessary in order to construct a bikeway or sidewalk, the cost of this work is likely eligible; however, applicants will be required to justify the necessary inclusion of such improvements prior to submitting the grant application.

MATCHING FUNDS

Matching funds can consist of in-kind funds from local agencies and/or matching funds from outside sources, such as developer contributions, non-profit contributions, Local Street and Road Program *TransNet* funds¹, other state or federal funds (Ex. Caltrans planning grants), or other quantifiable sources. With respect to in-kind contributions, direct costs including local agency ~~salaries staff expenses (salary and benefits)~~ and other expenses directly related to the project are eligible for use as matching funds. ~~Overhead or indirect costs (including overhead)~~ cannot count as match.

All matching fund amounts and their sources must be reflected in the Resolution signed by the local jurisdiction's governing body.

¹ All *TransNet* funds are subject to SANDAG Board Policy No. 031, Rule 21. Local Street and Road Program *TransNet* funds are an acceptable source of match as long as *TransNet* grant funding will not be used to fulfill routine accommodations that are already required under the Extension Ordinance and/or supplant *TransNet* funds that are already committed to a project that is programed into the currently adopted Regional Transportation Improvement Program.

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SCORING AND SELECTION PROCESS

After applications have been received and reviewed for eligibility, proposed projects will be scored and selected according to the process outlined below.

EVALUATION PANEL

The proposed projects will be scored by an evaluation panel consisting of SANDAG staff, Caltrans, a member(s) of the Regional Planning Technical Working Group (TWG) and/or the Cities/County Transportation Advisory Committee (CTAC), and/or an academic with expertise in a related field. Panel members must not represent local jurisdictions that have submitted applications for funding under the current grant cycle, may not have had prior involvement in any of the submitted projects, nor may they (nor the organizations they represent) receive compensation for work on any of the funded projects in the future. The Scoring Criteria are specified in the Scoring Criteria Matrix for each grant program.

EVALUATION PANEL WORKSHOP

Applicants will be asked to prepare and deliver presentations regarding their proposed projects to the evaluation panel. The workshop is anticipated to take place the week of April 6, 2015. Applicants will be notified of the presentation date.

SCORING APPROACH FOR CATEGORIES OF QUESTIONS

The criteria upon which projects will be scored fall into two general categories:

1. **Objective** criteria that are data-oriented and relate to existing or planned housing units, jobs, transit services, bike routes, and other transportation infrastructure within a certain distance of the proposed project or planning area.
2. **Subjective** criteria that relate to the quality of the proposed plan or project.

Objective data-oriented criteria will be based on SANDAG Geographic Information System (GIS), the 2050 Regional Transportation Plan and its Sustainable Communities Strategy, *Riding to 2050: The San Diego Regional Bicycle Plan*, and the 2050 Regional Growth Forecast. For information that is not readily available to SANDAG, Applicants will be asked to provide supplementary data. Points for the objective criteria will be calculated by SANDAG staff in accordance with the point structures delineated in the scoring criteria, and are marked with an asterisk (*) in the Scoring Criteria Matrix of each program.

For subjective criteria related to the quality of the proposed project, applicants will need to provide responses. Points for subjective criteria will be awarded by the members of the Evaluation Panel.

PROJECT RANKINGS

Project rankings will be produced using a "Sum of Ranks" approach. Using this approach, projects will receive two scores: **objective** formula-based points that are calculated by SANDAG staff and **subjective** quality-based points that are awarded by members of the Evaluation Panel. The **objective** points earned will be added to the **subjective** points awarded by each evaluator on the panel, and will then be translated into project rankings for each evaluator. For example, the project awarded the most points from a single evaluator will rank number one; the project awarded the second most points will rank number two; and so on (one being the best rank a project can receive). The rankings from each individual evaluator will then be summed for each project to produce an overall project ranking (sum of ranks). Therefore, projects with the lowest overall numerical rank will have performed the best.

The list of overall project rankings will be used to recommend funding allocations in order of rank. The top ranking projects (or the projects with the lowest overall numerical rank) will be recommended for funding in descending rank until funding is exhausted.

SELECTION PROCESS

SANDAG staff will present the list of overall project rankings and corresponding funding recommendations to the Regional Planning Committee and the Transportation Committee for recommendation to the SANDAG Board of Directors. The SANDAG Board will review and approve the final list of projects to receive SGIP grant funding. SANDAG reserves the right to partially fund grants, and to fund less than the amount available for each funding category in a given funding cycle.

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PROJECT IMPLEMENTATION AND OVERSIGHT REQUIREMENTS

The following is a summary of the project implementation and oversight requirements for applications that are awarded grant funding. The [Grant Agreement](#) template contains more detail and breaks out the specific requirements.

Contact Information. The Grantee will be asked to provide SANDAG with contact information for the Project Manager and keep this information up-to-date with SANDAG.

Design Development and Community Meetings. The Grantee will be asked to provide SANDAG with advance notice and agendas of all design development or community meetings, and a meeting summary following the meeting.

Quarterly Reports and Invoices. The Grantee will be required to submit quarterly reports and invoices.

Performance Monitoring. SANDAG will have the authority to measure grant performance against the stated project goals and deliverables. The Grantee will be expected to meet with SANDAG staff to identify relevant performance measures and data sources, and assist in data collection.

Communications. The Grantee will be asked to assist SANDAG with communications, events, and media related to the grant-funded project, such as ground breakings, ribbon cuttings, community workshops, before and after photos, signage, and social media.

SANDAG Board Policy No. 035: Competitive Grant Program Procedures. To ensure fairness in the competitive process and to encourage grantees to implement their projects in a timely manner, SANDAG adopted [Board Policy No. 035, Competitive Grant Program Procedures](#) which includes “use it or lose it” milestones. The Grantee will be required to abide by Board Policy No. 035.

Grant Agreement Execution. The Grantee will be expected to execute the grant agreement within **45 days** from the date SANDAG presents the Grant Agreement to the prospective grantee.

For Capital Grants Only:

Plan Review. The Grantee must submit project design drawings to SANDAG for review and comment at 30 percent, 60 percent, 90 percent, and 100 percent. SANDAG may comment on submitted plans regarding consistency with the original project proposal and accepted bicycle/pedestrian facility and smart growth design standards.

Baseline Data Collection. Before the construction of grant-funded improvements, the Grantee will be required to develop a baseline data collection plan with SANDAG to gather information on pedestrian and bicyclist activity. Once the data collection plan is approved, the Grantee will be responsible for carrying out the plan and returning collected data to SANDAG as a deliverable. Standardized forms will be provided.