

DMMC STP Workshop **IDOT Project Fund Management**

OCTOBER 24, 2019

By:

Temí Latinwo

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Sarah Hasan



Outline

Federal Guidelines

IDOT Project Administration

Project Program Information Form

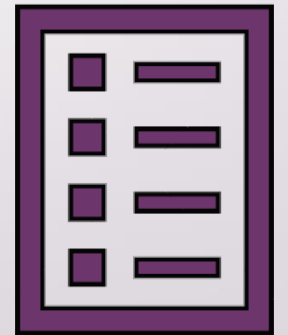
Quality Based Selection (QBS)

Local Agency Agreement

Invoicing/Reimbursements

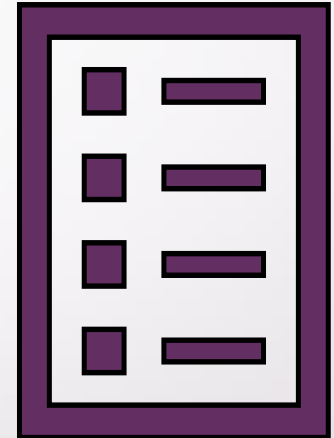
Final Invoicing

Project Close-out



Federal Guidelines

- FHWA – IDOT Stewardship and Oversight Agreement
- Program Management Requirements
 - ✓ Agreements
 - ✓ Authorization
 - ✓ Advancement
 - ✓ Reimbursement
- 2 CFR 200 Uniform Guidance est. 12/26/2014
 - ✓ Period of Performance
 - ✓ Final Invoice
 - ✓ Closeout



Federal-aid Essentials for LPAs

- Program Management
- Project Development
- Environment
- Civil Rights
- Right-of-Way
- Project Construction and Contract Administration
- Financial Controls and Accounting Procedures

Resources



U.S. Department of Transportation
Federal Highway Administration

Federal-aid Essentials for Local Public Agencies

The Federal Highway Administration offers an online library of dynamic videos and related materials specifically designed for local public agencies. This resource highlights key components of the Federal-aid Highway Program, offering valuable and helpful information to manage Federally funded transportation projects. The materials are featured on a Web site called **Federal-aid Simplified**.

Federal-aid Simplified.
UNDERSTANDING THE ESSENTIALS

Federal-aid Essentials for Local Public Agencies is a gateway to up-to-date materials, and an extensive directory of State resources and Federal contacts. It is an online library of informational video modules, designed to help local public agencies answer the important questions about Federally funded projects.

Available 24 hours a day on most devices with Internet access, Federal-aid Essentials for Local Public Agencies is easily accessible and available when you want an answer. Each module addresses a single topic presented in plain language—condensing the complex regulations and requirements of the Federal-aid Highway Program into easy-to-understand language and illustrated examples. Brief, concise and to the point—each video is less than 10 minutes long and highlights an important topic essential to the successful delivery of a Federally funded project. Videos can be viewed online in any order and at any time. Companion resources accompany each presentation, along with links to additional resources.

Start here: for help managing your next Federal-aid transportation project, go to www.fhwa.dot.gov/federal-aidessentials

Want more information on the Federal-aid Essentials for Local Public Agencies Web site?
E-mail: LPA-feedback@dot.gov

Federal-aid Essentials for Local Public Agencies is organized around main categories:

- Federal-aid Program
- Right-of-Way
- Environment
- Project Development
- Civil Rights
- Project Construction & Contract Administration
- Environment
- Finance

The Web site allows you to indicate areas of interest and receive alerts when new material becomes available. You also can give feedback that will help FHWA continue to provide useful assistance through this Web site.

Federal-aid Essentials for Local Public Agencies presents what you need to know about the Federal-aid Highway Program. It is designed to help local agency staff navigate the Federal-aid Highway Program and to further understand the benefits of the program, procedures and practices. Your State department of transportation—your DOT—is very knowledgeable about Federal-aid projects and continues to be your primary resource for complying with Federal requirements. The Federal-aid Essentials Web site also includes a comprehensive listing of State Resources, references, local technical assistance programs, and local program coordinators.

New Videos are Now Available!

Title VI Program

- Implementation Plans
- Nondiscrimination Assurances
- Compliance and Enforcement

Operations

- Purchasing Intelligent Tracking Systems (ITS) and Traffic Technology
- Scoping and Conducting a Traffic Study to meet Community Needs

Project Development

- Applying the M/TC to Aid Safety and Reliability

Planning Ahead for Progress in the 21st Century (MAP-21)

...and others are coming soon in the areas of Safety, Emergency Relief, Planning, and more!

For Transportation Projects:

- Documentation and the Environmental Process
- NEPA Compliance and Class of Actions
- Categorical Exclusion
- Environmental Impact Statement
- Environmental Assessment
- Purpose & Need and Alternatives
- Public Involvement

Contract or Force Account:

- Project Advertisement, Bid Review, and Request for Concurrence in Award

Project Construction and Contract Administration

- Introduction to Project Construction and Contract Administration
- Supervising Agency Requirements
- Construction Quality Assurance
- Design-Build Procurement

<https://www.fhwa.dot.gov/federal-aidessentials/>

Questions????






PPI (Project Program Information)

By:

Sarah Hasan

PPI (Project Program Information):

- Initiates the project.
- Provides a synopsis of the project.
- Filled out by the LPA/consultants & reviewed by the Planning Liaison.
- Once approved by D1 can the draft agreements & amendments be submitted for review to the IDOT.

 **Illinois Department of Transportation** **FRONT** **Project Program Information**

Federally Funded: ☐ Yes ☐ No Amendment/Supplement: # for FY Cost Increase: \$

Local Agency / Project Information

Detailed Project Description:

County: ☐ Kane ☐ Lake ☐ Cook ☐ Regional Council
☐ DuPage ☐ McHenry ☐ Will ☐ Various

Federal Congressional District(s): Illinois Representative District(s): GATA Registration:

Local Agency: Local Agency TIN: DUNS: SAM Cage Code:

MFT Section Number: Design Approval Date: Construction Contract No.:

Estimate of Const. Cost: Target Letting Date: State Let: ☐ Local Let: ☐

Non-Participating Cost: Non-Participating Items:

Contact / General Information

IDOT MFT Engineer: Subregional Council:

Bridge Project PM: Bridge PM Email:

Program Administrator: Administrator Email:

Local Agency Official: Title: Local Agency Phone:

Local Agency Email: Local Agency Address:

Local Agency Project Contact:

Consultant Company Name: Phase: IDOT Design Engineer:

Consultant Company TIN: Consultant Contact Person:

Consultant Contact Email: Consultant Phone Number:

TIP ID Number: ITEP Number: HPP Bill Number: SRTS Number:

Funding Type(s)

Fund	Percent	Fund	Percent
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Project Location(s)

Key Route Designation	Functional Classification	Street Name		List termini west or north limit, followed by the east or south limit. Provide GIS Station in decimal miles Getting Around Illinois			
		Project Length: (miles): <input type="text"/>	from/at	Station 0.00	to	Station 0.00	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
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Programming of Projects for Add Lanes and Resurfacing improvement types

Improvement Type	Length (miles)	Street Name	from/at	Station 0.00	to	Station 0.00
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Use current/updated version

PPI (continued):

- Job Authorization - state job numbers and federal project numbers.
- The funding information provided is used to enter into programming.
- Any changes to the project require a PPI approval.
- PPI (D1 P10004)- Under district 1 tab.
- DOT.D1.BLRS@illinois.gov

Transportation Asset				n - Bridge Information	
Bridge Improvement Type		Improvement			
Facility Carried		Facility Crossed		Existing Structure #	Proposed Structure #

Work Type Classification Codes			
Program Classification Codes (PCL)		Maintenance Type for PCL J18 & J23	
Fund Type Code(s)	Improvement Type(s)	Fund Type Code(s)	Improvement Type(s)

Project Funding Table							
State Job Number	Federal Project Number	Federal Fiscal Year	State Fiscal Year	Est. Total Cost	Federal Participation	Local Participation	State Participation *
<input type="checkbox"/> P 91 - -							
<input type="checkbox"/> D 91 - -							
<input type="checkbox"/> R 91 - -							
<input type="checkbox"/> C 91 - -							
Construction Engineering							
Multi-Phase Agreement		<input type="checkbox"/> Yes <input type="checkbox"/> No	Type: <input type="checkbox"/> Bi-Phase <input type="checkbox"/> Tri-Phase				

Maintenance / Jurisdiction Information			
Construction only - Check box for all that apply			
Work on IDOT Right of Way <input type="checkbox"/> Yes <input type="checkbox"/> No			
If 'Yes' select Type of work on IDOT or other LPA ROW			
Emergency Vehicle Preemption (EVP) <input type="checkbox"/>			
Traffic Signal <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/> combination poles		
Street Lights <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/> ornamental		
Sidewalks <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/> decorative		
Bike Path <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/> decorative		
Retaining wall <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/> decorative		
Other <input type="checkbox"/>	<input type="checkbox"/> New <input type="checkbox"/> modification <input type="checkbox"/>		
Railroad Agreement <input type="checkbox"/> Yes <input type="checkbox"/> No		Intergovernmental Agreement <input type="checkbox"/> Yes <input type="checkbox"/> No	

Division of Cost					
Fund Type	Phase	Federal Participation \$	LPA required match \$	LPA only \$	State Participation \$

Date Submitted: <input type="text"/>	Date Revised: <input type="text"/>	Date Completed: <input type="text"/>
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Comments:

Use current/updated
version

✖ PPI Processing Delays ✖

- Work Type Classification Codes Table. (Available on IDOT website).
- The estimate of construction cost doesn't match the Construction cost in the project funding table.
- PPIs should be submitted by PLs.
- TIP Number or ITEP number (if it's an ITEP project).
- PPI not updated with the district after each phase.
- Incorrect Key Route Designation & GIS station Numbers. (Refer to the website, gettingaroundillinois.com)
- Missing section numbers. (Acquire from your Field Engineer.)
- Missing Project Length in miles.

Incomplete Maintenance & Jurisdiction Section.

Questions????



QUALIFICATION BASED SELECTION **(QBS)**

QBS compliance with Federal regulations:

- Advertisement
- Evaluation
- Selection of Consultant Contracts
- Hire a Consultant using Competitive Negotiation Procedures
- Written Procedure approved by IDOT



AGREEMENTS

By:

Fely Gregorio

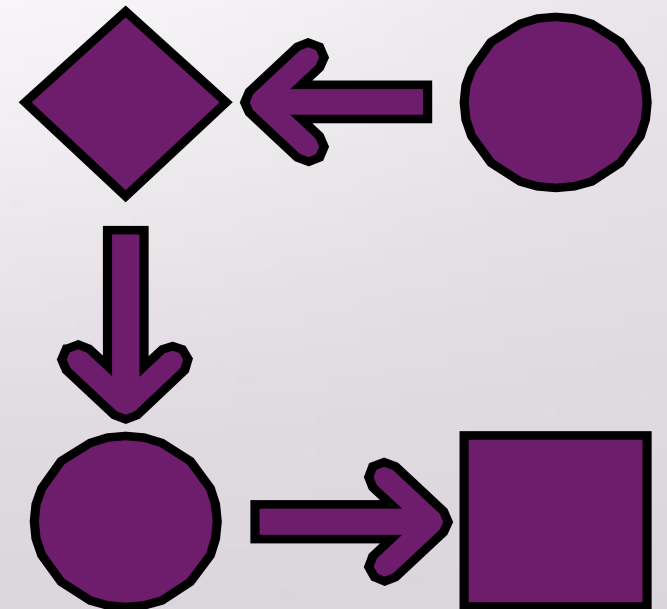


AGREEMENT FORMS

- BLR 05310
STATE Letting & All Federal Funding
- GATA Agreement
LOCAL Let Construction & STATE
Funds Only

AGREEMENT PROCESS

- Long Delays
 - ✓ Programming
 - ✓ Staff Issues
 - ✓ Multi-Year Programming
- Current Process
 - ✓ 4 Months
- Processing Goal
 - ✓ 2 Months





AGREEMENT **ADDENDUMS**

- Address maintenance
- IDOT jurisdiction
- Other LPA's jurisdiction
- Traffic Signals
- Lighting
- Sidewalks, landscaping, bike trails etc.
- Railroad Agreements
- Funding
- JT Agreements

AGREEMENT DELAYS

- Submitted prior to PPI approval
- PPI, Agreement & TIP do not match
- Submitted without Design Approval
- Missing exhibits
- Signed agreements not dated
- Incorrect resolution
- Project scope change
- Fund source changes
- Engineering agreement package

Questions????

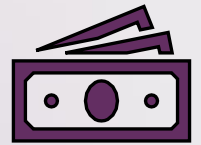




Local Agency Invoices

By:

Sarah Hasan



Invoice Reimbursements

- Invoice submittal to IDOT-
Monthly (30 days).
- Federal guidelines requirement –
Quarterly (90 days)
- Processing and Reimbursement –
45 days.
- Invoices submitted to the
DOT.D1.BLRS



- BLR 05620.
- BLR 05621- Engineering Progress Report.
- BLR 05621- Personnel Summary & Direct costs Summary.
- BLR 05621- Cost Plus Fixed Fee.
- BLR 05613- Final Engineering Payment Report (Final Invoices for PE I, II & CE only)

3/18)



↓ Key Points to Note ↓

- LPAs can start invoicing once the Agreement has been approved by the Central Office.
- Mandatory to submit invoices every 90 days to avoid the FIRE Report, risking the de-obligation of funding.
- Services must be incurred before the state obligation end date.
- Invoices submitted must include all required paperwork.



Invoicing Delays



- Missing BLR 05613 from the Final Invoices.
 - Missing Time Sheets, supporting documents for Personnel Summary.
 - Invoicing/services dates incurred after state obligation expired.
 - Payroll rates exceed the max allowable rate of \$70/hr on the Personnel Summary.
 - Submitting invoices prior to amendment/supplement approval.
- Missing supporting documents for the direct cost summary.



Questions????





Project Close-Out

By:

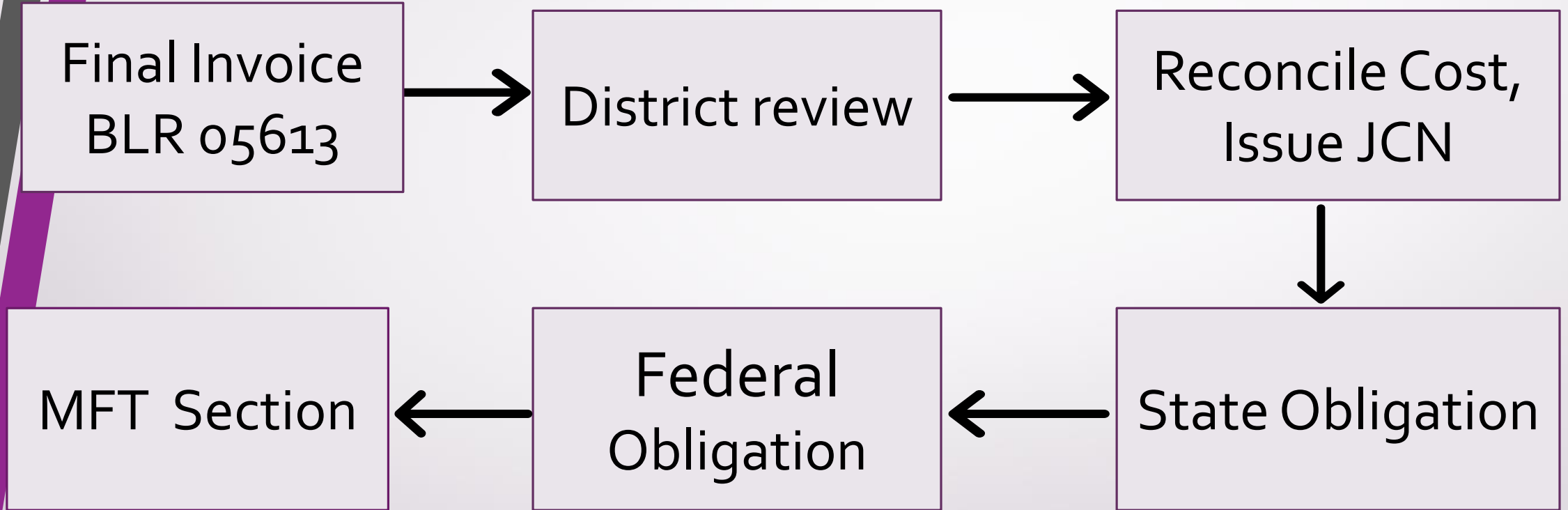
Sarah Hasan

Project Close-Out: FYI

- Phase I closes after Design Approval.
- Phase II closes after Construction is awarded.
- ROW closes after Final Invoice is processed.
- Construction closes once complete.



Close-Out Process



Close-Out Forms

- BLR 05620 - Final Invoice.
- BLR 05621- Local Public Agency Cost Plus Fixed Fee Invoice.
- BLR 05613- Final Engineering Payment Report (Included in the Engineering Agreement).
- BLR 13231 – Engineer's Final Payment Estimate (For Construction Invoices only).
- BLR 13510 – Final Report (For Construction Invoices only).



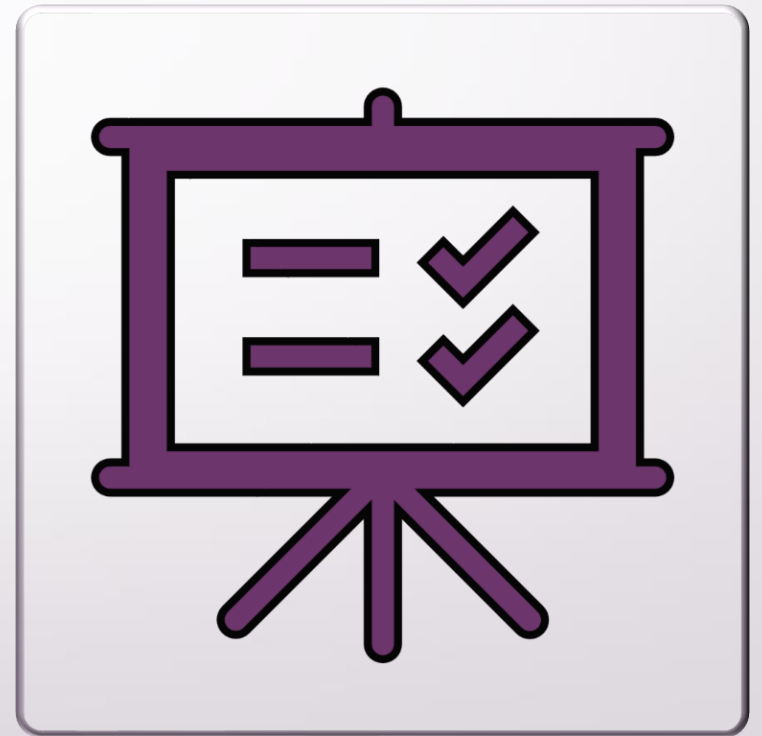
Agreement Provisions for state obligation

- The agreement dates < \$1 million Expires 3 years
- The agreement dates > \$1 Million Expires 5 years



Agreement Provisions for state requirement for close-out

- Final invoice no later than 1 year.
- De-obligation of funds.



Questions????





Summary

Temí Latinwo



Things to Remember

- Letting Schedule
- State & Federal Fiscal Year
- Invoicing (Quarterly)
- State & Federal End Date
- Project Close-out
- Timing is everything

Contact Information

ILLINOIS DEPARTMENT OF TRANSPORTATION DISTRICT ONE STAFF

Anthony Quigley	District Engineer	847/705-4110
Steve Travia	Engineer of Program Implementation	847/705-4117
John Baczek	Engineer of Program Development	847/705-4118

BUREAU OF LOCAL ROADS & STREETS

Charles (Chad) Riddle	Bureau Chief	847/705-4201
Vacant	Program and Office Engineer	847/705-4406

FIELD ENGINEERS (Project Managers)

Zubair Haider	City of Chicago; Cook County Highways	847/705-4206
Alex Househ	North Shore; Northwest; Lake; McHenry	847/705-4410
Kevin Stallworth	Southwest; South; Will	847/705-4408
Marilin Solomon	North Central; Central; DuPage; Kane/Kendall	847/705-4407

AGREEMENT SECTION

Temi Latinwo	Administrative Manager	847/705-4179
Fely Gregorio	QBS/Agreements	847/705-4207
Diana Anderson	Invoicing	847/705-4416
Sarah Hasan	PPI/ Inactive Projects/Close out	847/705-4559

Forward electronic forms, inquiries and project status requests to the following email address:

DOT.D1.BLRS@Illinois.gov.

BUREAU OF LAND ACQUISITION

Joy Gustafson	Local Program Coordinator	847/705-4285
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Standard IDOT e-mail address format is `firstname.lastname@illinois.gov`