DuPage Mayors and Managers Conference

# Surface Transportation Program

## Policies and Procedures of the DuPage Council

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# Table of Contents


**Introduction** **iii**

**Chapter 1- Structure of Federal-Aid Programming in Northeastern Illinois** **1**

Transportation Improvement Program (TIP) Process **2**

**Chapter 2- STP Policies and Procedures of the DuPage Council** **6**

DuPage STP Categories **6**
DuPage STP Eligibility Guidelines **6**
Project Sponsorship **8**
DuPage STP Funding Policies **8**
STP Project Application and Selection Process **10**
Roadway Projects Methodology **12**
Trail Projects Methodology **17**

**Chapter 3- Active Program Management** **23**

Project Management **25**
Cost Increases **31**
Additional Provisions **33**

**Chapter 4- The STP Project Implementation Process** **35**

Project Implementation **36**
Highlights of STP Design/Improvement Standards **42**

**Appendices**

Appendix A: STP Project Development Contacts **44**
Appendix B: Council of Mayors Boundaries **45**
Appendix C: Addition of Streets to the STP (FAU) System **46**

# Introduction

National transportation and air quality legislation have combined to set the course for a comprehensive, multi-modal approach to maintaining and improving our urban transportation system.

The Fixing America's Surface Transportation (FAST) Act enacted on December 4, 2015, allows for the continuation of the federal Surface Transportation Program (STP) for highways, highway safety, and transit. The Act converts the program into the Surface Transportation *Block Grant* Program in recognition of the flexibility of the funds and how they are administered by the FHWA, though no significant programming changes were made. The Act maintains a focus on safety, keeps intact the established structure of the various highway-related programs (including STP), and continues efforts to streamline project delivery.

The Clean Air Act Amendments of 1990 (CAAA90) established stricter clean air standards and specific timetables for achieving emissions reductions for non-attainment areas such as northeastern Illinois. Federal transportation legislation supports and encourages implementation of the Clean Air Act Amendments of 1990. The DuPage Mayors and Managers Conference, the agency responsible for programming STP funds in DuPage County, has incorporated such objectives as decreasing vehicle emissions and congestion through increased use of Transportation Control Measures (TCMs). The DuPage Mayors and Managers Conference has developed the DuPage Surface Transportation Program to help DuPage County and the region achieve compliance with national air quality and transportation objectives.

This manual is intended to assist project sponsors in understanding the policies, procedures and evaluation methodologies of the DuPage Council's STP Program. The manual is periodically updated to reflect current legislation and new Council priorities, as incorporated in the policies of the DuPage STP program.

**Chapter 1**

# Structure of Federal-Aid Programming in Northeastern Illinois

Of the major federal-aid transportation programs in FAST, STP provides the most direct role for local governments. Municipalities, counties, and other local governments are on the frontline not only for project sponsorship, but also in the project selection and programming processes. Several other entities in northeastern Illinois participate in the programming and implementation of local STP projects as well. These agencies are the Chicago Metropolitan Agency for Planning (CMAP), the CMAP Council of Mayors, the DuPage Mayors and Managers Conference, and the Illinois Department of Transportation (IDOT). A list of agency contacts is provided in Appendix A.

***Chicago Metropolitan Agency for Planning (CMAP)***

CMAP is designated by the Governor of Illinois as the Metropolitan Planning Organization (MPO) for the seven-county northeastern Illinois region. CMAP, formed in 2005, integrates planning for land use and transportation in the seven counties. CMAP itself does not sponsor or implement transportation improvement projects – highway, transit, and local agencies participate cooperatively through the CMAP Board, MPO Policy Committee and numerous coordinating and working committees. The MPO Policy Committee, the official MPO-designate, meets quarterly and is comprised of executive level representatives of various agencies and government bodies. More information about CMAP and the committee structure can be found at www.cmap.illinois.gov.

***CMAP Council of Mayors***

Local Surface Transportation Program (STP) projects are selected and programmed by eleven regional Councils of Mayors across the seven-county metropolitan area. The CMAP Council of Mayors is the umbrella organization for all eleven regional Councils (refer to Appendix B for a map of the Council boundaries). Two mayors from each regional Council comprise the Executive Committee of the CMAP Council of Mayors, which meets approximately once per quarter to address STP policy issues, local planning liaison funding and other transportation issues.

***DuPage Mayors and Managers Conference / DuPage Council of Mayors***

Acting as the DuPage Council of Mayors, the DuPage Mayors and Managers Conference is the body designated to select and program local STP projects in the DuPage County region. The Conference's Transportation Technical Committee meets at least five times per year to program, manage and monitor the progress of STP projects in DuPage. Every other year, the Transportation Technical Committee develops and approves a five-year active program of funded STP projects, and a contingency program. DMMC Board of Directors gives final approval to the active and contingency programs prior to its submission to CMAP.

***Illinois Department of Transportation (IDOT)***

IDOT is responsible for processing projects in DuPage's approved STP Program. IDOT's procedures for processing STP projects and other federally funded projects are described in the Bureau of Local Roads and Streets (BLRS) Manual. IDOT BLRS staff from District 1 are assigned to DuPage County to coordinate with municipalities sponsoring STP projects. IDOT Central Office is responsible for the final review and approval of all components of STP projects.

## Transportation Improvement Program (TIP) Process

One of CMAP's major responsibilities is the development of the Transportation Improvement Program (TIP) for northeastern Illinois. The TIP is a fiscally constrained, five-year compilation of all federal-aid and regionally significant, non-federal-aid transportation projects programmed by transportation agencies in the seven-county Chicago metropolitan area, including Surface Transportation Program projects. The relationship between the DuPage Surface Transportation Program development and project implementation structure and the TIP development process is shown on the following page.

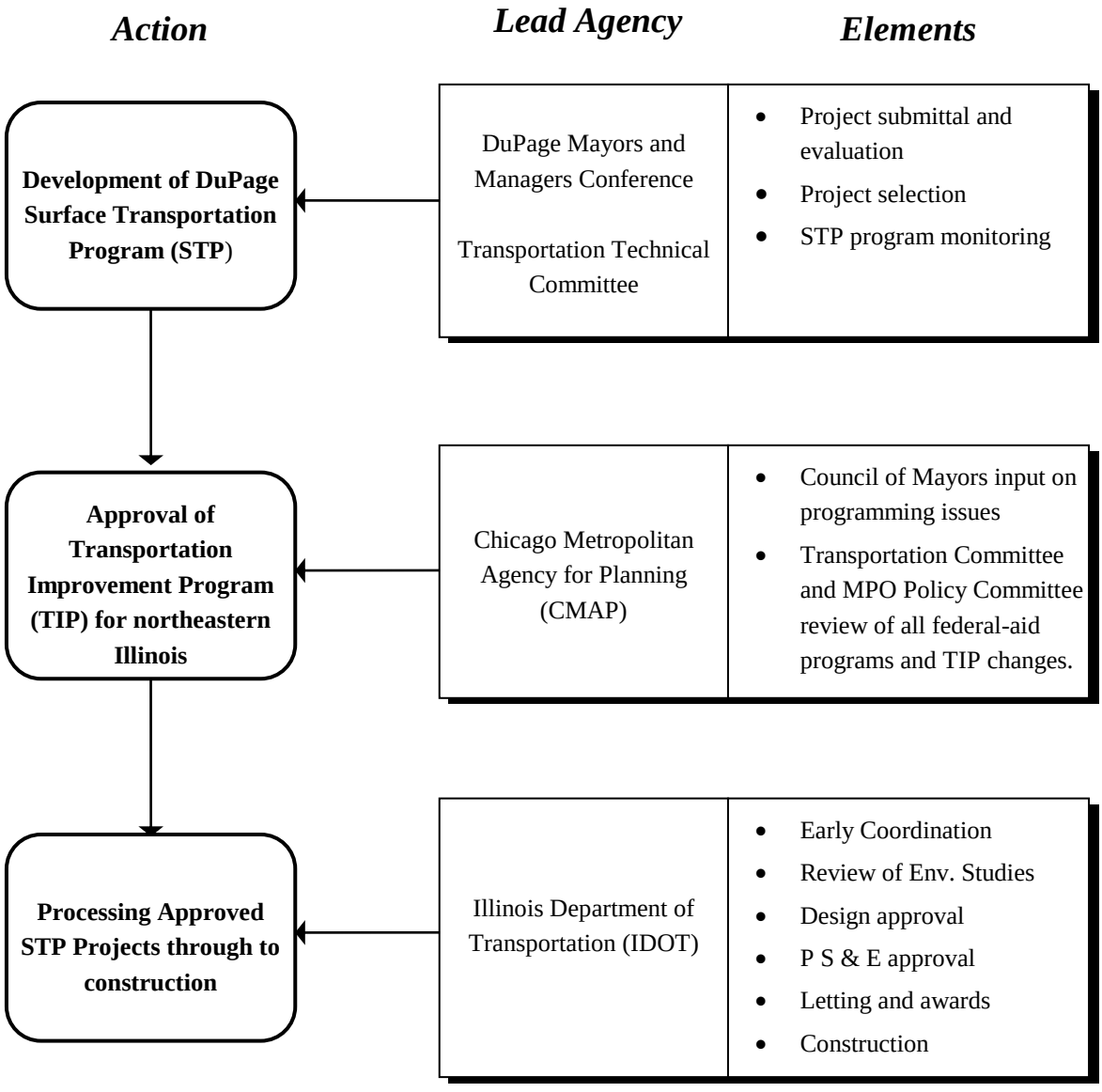
The TIP is structured to include a one-year Annual Element of projects in the current fiscal year and a Multi-Year Program of all funded transit and highway projects for the next five consecutive years. The region's TIP is developed by the CMAP Transportation Committee based upon the programs submitted from each of the individual agencies, with final approval by the CMAP MPO Policy Committee. The entire compilation of transportation improvements are modeled and evaluated for net impact on air quality approximately twice per year, to ensure that the region's air quality goals are being met.

Federal legislation requires submittal of the TIP's Annual Element, the Multi-Year Program and

air quality conformity modeling results to the Illinois Department of Transportation (IDOT) for inclusion in the State Transportation Improvement Program (STIP). Following IDOT approval, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) conduct their review and approval. These approvals are documented on CMAP's eTIP website (etip.cmap.illinois.gov).

Figure 1.

# Surface Transportation Program Development and Implementation Structure



Major changes to projects in DuPage's approved STP are approved by the Board of Directors and submitted to CMAP in the form of notification and/or a request to change the current TIP. Minor changes to projects in DuPage's approved STP program are reviewed and approved by the DMMC Transportation Technical Committee prior to submittal to CMAP. TIP change requests are subject to the procedures currently in place at CMAP and may require approval by the CMAP Transportation Committee and in some cases, the MPO Policy Committee. In addition, projects that may have an impact on regional air quality are submitted by CMAP for inclusion in the State Implementation Plan (SIP), with the consent of the project sponsor. Projects that are included in the SIP must be constructed in compliance with federal law.

**Chapter 2**

# STP Policies and Procedures of the DuPage Council

The DuPage Mayors and Managers Conference has three primary goals for the Surface Transportation Program:

- Fund the most effective projects in each funding cycle;
- Assure broad access to available funds for all members; and
- Utilize all funds available for projects in a timely manner.

## DuPage STP Categories

Two funding components have been established for the DuPage STP program: A Highway component and a Transportation Control Measure (TCM) component. TCM projects are projects that reduce single occupancy automobile travel and/or have a positive net impact on air quality. The TCM component provides funding for stand-alone TCM projects (including Intelligent Transportation Systems) and the Highway component funds traditional highway projects. The maximum funding allocated to TCM projects for a given year is **25%** and is subject to reevaluation before each subsequent Call for Projects.

## DuPage STP Eligibility Guidelines

In 1977, the DuPage Council's Transportation Committee, in cooperation with IDOT, designated a system of federal aid eligible routes for DuPage. Changes to the federal-aid system occur as roadway system characteristics evolve. In order to be eligible for STP Highway Component funding, the route involved must be functionally classified as a collector or arterial and must be included on the Federal Aid Highway System at the time of application for federal funding. An interactive map of functional classification and Federal Aid Route numbers is available online at http://www.gettingaroundillinois.com. Township maps are available (in pdf format) on the IDOT website at http://www.idot.illinois.gov/transportation-system/Network-Overview/highway-system/maps. A process for adding new routes to the Federal Aid System has been established and is provided in Appendix C.

***Eligible Highway Projects***

The following are highway projects eligible for STP funding as part of the Highway Component.

- Resurfacing or rehabilitation
- Roadway reconstruction
- Road widening/Add lanes
- Intersection improvements
- Grade separations

Project applications for a State route will not be considered for funding without prior review and approval by the Transportation Technical Committee (this does not apply to an intersection leg of a State route that is the terminus for a locally sponsored highway project). The project sponsor should appear before the Committee and demonstrate that all other funding mechanisms have been exhausted and document the project's local benefits. Final determination will be made by the Transportation Technical Committee. The Committee and the Conference make it a policy to actively advocate for State funding of State roads in DuPage County.

***Eligible TCM Projects***

The following are TCM projects that are considered eligible for STP funding as part of the TCM Component:

- Signal interconnects*
- On-street pedestrian/bicycle facilities*
- ITS improvements* (must be located on a roadway)
- Trail projects**- *A trail project is defined as a bikeway physically separated from motorized vehicular traffic by an open space or barrier and either within the highway right-of-way or within an independent right-of-way. A trail project must have a transportation purpose.*

  *Signal interconnects, on-street pedestrian/bicycle facilities, and ITS improvement applications are located on a roadway and will be scored using the roadway criteria but are TCM projects and eligible for the TCM funding match.

  **Trail projects will be scored using a separate trail scoring methodology.

## Project Sponsorship

DuPage STP projects must be sponsored by a DuPage municipality, DuPage County, the Forest Preserve District of DuPage County or a township within DuPage County. Projects submitted by DuPage County, the Forest Preserve, or a township must be co-sponsored by municipalities affected by the project. Municipal co-sponsorship should be demonstrated by a letter of support from the municipality and included at the time of application submittal. Regional transit agencies may submit projects for consideration, however, they must be sponsored by a member municipality. Transportation Management Associations (TMAs), employer associations, and other groups may also submit a project in conjunction with one or more municipal sponsors. Projects with other federal and state funding sources are eligible to apply for DMMC STP funding.

## DuPage STP Funding Policies

The FAST Act retained the maximum federal share for local STP projects at 80% of the project cost. However, the DuPage STP provides a lower federal match than legislatively allowed in order to extend DuPage STP funding to a greater number of projects. The two components of the DuPage STP, Highway and TCM, have different federal match ratios and eligibility features.

### *DuPage STP Funding Ratios*

The DuPage STP provides a 70%/30% federal/local match ratio for highway projects and a higher 75%/25% match ratio for TCM projects. Sponsors may elect to request a lower match ratio to increase a project's score in the financial commitment category. Any cost increases requested over the life of project implementation will be subject to the initial requested ratio.

### *Eligible Participating Costs*

STP funds may be used for construction and construction engineering only, including street lighting, sidewalks, storm sewers and other right-of-way appurtenances, as well as wetland enhancements that are an integral part of the project. Right-of-way acquisition costs other and engineering costs are not eligible. If final estimations on a project come in lower than preliminary estimates, the excess funds may be put towards Construction Engineering.

***Non-Participating STP Costs***

Non-participating costs are those which are paid 100% by the sponsoring agency and are not included in the STP (federal) portion of a project's cost. There are two reasons why an item may be considered non-participating: (1) the item is not eligible for STP funding ["required" non-participating], or (2) the item has been voluntarily identified for full funding by the sponsor or other agency ["optional" non-participating].

The following items are considered ineligible for STP funding, and are therefore **"required" non-participating** costs:

- Over-sizing of storm sewers[1]
- Historic or decorative lighting

A project sponsor may choose to designate the following items as "**optional" non-participating** costs:

- Street lights
- Sidewalks
- Traffic signals[2]

[1] FHWA/IDOT will allow only a portion of storm sewer costs to be funded with STP dollars. STP funds will cover the cost of drainage for twice the width of the right-of-way only. The sponsor must pay for the cost of any additional drainage capacity. This additional expense is considered non-participating.

[2] Traffic signals may be funded by the sponsor or the sponsor may negotiate with the county or state for participation.

# STP Project Application and Selection Process

### *Call for Projects*

Projects can only be submitted for consideration when DMMC has issued a Call for Projects. In accordance with the agreement between the CMAP Council of Mayors and the City of Chicago, DMMC will solicit project applications starting in January of even years for the next five federal fiscal years. DMMC will hold an STP Workshop in October or November before the Call for Projects in January. To be considered for STP funding, sponsors must complete an appropriate application form for the current application cycle. Final applications will be due in March and must be submitted by the deadline approved by the Transportation Technical Committee to be considered for funding. Project sponsors are required to attend the STP Workshop in order to be eligible to apply for DMMC STP funding. Anyone associated with a community (staff member, consultant, etc.) is eligible to represent that community at the STP Workshop.

For each Call for Projects, DMMC staff, in conjunction with CMAP staff, will determine how much funding is estimated to be available to keep the five-year active STP program full and to spend the Council's funding mark yearly. Sponsors are strongly encouraged to consider the Project Implementation information in Chapter 4 of this manual when developing project schedules and cost estimates.

### *Program Funding Marks*

A funding mark is the annual amount of STP dollars allocated to the DuPage Council for all projects. CMAP develops the program funding mark for the annual element based upon congressional appropriations and provides an estimate for each year in the active program. Program marks for current and future years may be revised by CMAP at any time. The active program *must* be fiscally constrained to the most recent funding marks provided by CMAP.

It is a key principle of the DuPage Council to fund numerous STP projects each year, rather than to commit all available STP funds to an individual project. As part of the project selection / program development process, no more than **50%** of the Council's STP funds available for new guarantees will be committed to an individual project. However, in any given year, should the

total amount of funding requested by all projects be less than the amount of funding available for new guarantees, this policy will not apply.

***Grandfathering***

For the January 2020 Call for Projects, DMMC will grandfather all previously awarded STP local projects that are not obligated on or before September 30, 2020 into the new Active Program. Project sponsors of grandfathered projects do not need to reapply for funding but will be required to fill out a form requesting to be grandfathered into the new Active Program. DMMC will attempt to honor requests to place grandfathered projects into the requested Federal Fiscal Year but may not be able to do so due to fiscal constraint (i.e. the amount of funding for grandfathered projects requesting to be placed in a Federal Fiscal Years exceeds DMMC's funding for that year). Projects targeting a letting earlier in the Federal Fiscal Year will receive priority when grandfathering projects into a Federal Fiscal Year. Projects grandfathered into the Active Program will become subject to all Active Program Management policies on October 1, 2020.

***Project Evaluation***

Projects are evaluated using the scoring methodologies described below. All roadway and TCM projects located on a roadway (signal interconnects, ITS improvements, and on-street bike and pedestrian facilities) will be evaluated using the roadway methodology. Trail projects will be evaluated using a separate trail methodology.

Applications scored under the roadway and trail methodologies will be combined to produce one ranked list of scored projects for project programming. Projects are scored on a 100-point scale.

## *Roadway Projects Methodology*

Applications scored using this methodology:

- All Highway projects
- Signal interconnects (TCM)
- On-street bicycle and pedestrian facilities (TCM)
- ITS improvements (TCM)

**1. Safety Improvement (10 points)**

This score is based on the improvements of the project and the planning level expected safety benefit (reduction of crashes) after implementing the improvements. The planning level safety improvement score is modeled after the SMART SCALE Safety Factor Evaluation method developed by the Virginia Department of Transportation (VDOT). Similar to VDOT's method, CMAP staff are developing a list of common improvement types (countermeasures) and the accompanying planning level crash reduction factors (CRFs).

DMMC staff will review project details from the application to determine the relevant countermeasure(s) and the assigned planning level CRFs for that countermeasure. If multiple countermeasures are part of the project, DMMC staff will add the expected CRF percentage for each countermeasure together to calculate a cumulative CRF percentage.

| CRF | Points |
|---|---|
| Above 50% | 10 |
| 36%-49% | 7 |
| 26%-35% | 5 |
| 15%-25% | 3 |
| Under 15% | 0 |

*Data Sources: CMAP, Crash Modification Factors Clearinghouse, Project Applicant*

*Link to Crash Modification Factors Clearinghouse:* http://www.cmfclearinghouse.org/

**2. Safety Need (10 points)**

The safety need score is calculated using IDOT's Safer Road Index (SRI) for roadway segments and intersections. The SRI score is based on a location's Potential for Safety Improvement (PSI) score. IDOT developed SRI scores for local and state routes and categorized them by peer group into critical, high, medium, low, or minimal. The proposed project's safety need score will be the highest SRI category along the project location. This will include both segment and intersection locations.

| SRI Category | Points |
|---|---|
| Critical | 10 |
| High | 7 |
| Medium | 5 |
| Low | 3 |
| Minimal | 0 |

*Date Source(s)*: IDOT

**3. Project Readiness (15 points)**

Points will be awarded in this category based on the status of Phase I Engineering and the acquisition of Right-of-Way. Documentation of Phase I Engineering status and Right-of-Way certification will need to be submitted to the Planning Liaison for the project to earn points.

| Phase I Status | Points |
|---|---|
| Phase I Engineering Report Completed/Design Approval Received | 10 |
| Phase I Engineering Report (PDR) Draft Submitted to IDOT | 7 |
| Phase I Kickoff Meeting Held | 3 |

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| ROW Status | Points |
|---|---|
| ROW Not Needed/ROW Acquired | 5 |
| ROW Needed and Not Yet Acquired | 0 |

*Data Source(s):* Project Applicant, IDOT

**4. Annual Average Daily Traffic (10 points)**

This score is based on the Annual Average Daily Traffic (AADT) of the subject roadway. If the project is at an intersection, the higher AADT will be used. If the traffic volume of a project changes within the project's limits, the higher count will be used.

| AADT | Points |
|---|---|
| >20,000 | 10 |
| 10,000-19,999 | 7 |
| 5,000-9,999 | 5 |
| <5,000 | 3 |

*Data Source(s):* IDOT

AADT Data Source: http://www.gettingaroundillinois.com/gai.htm?mt=aadt

**5. Pavement Condition (10 points)**

Points in this category will be awarded based on Pavement Condition Index data provided by CMAP. A project sponsor that has conducted local pavement testing that contains a PCI score can submit that data to CMAP for consideration. For DMMC to use a local community's testing data in place of CMAP data, DMMC would require concurrence from CMAP that they agree with the community's submitted data. If CMAP does not agree with a Community's submitted data or are unable to process the data submittal in time, DMMC will default to using CMAP's PCI data.

| Pavement Condition Index Score | Points |
|---|---|
| 0-24 | 10 |
| 25-49 | 7 |
| 50-69 | 3 |
| 70-100 | 0 |
| New alignment | 5 |

*Data Source(s):* CMAP, Project Applicant

**6. Local Needs (10 points)**

Points will be awarded in this category based on the number of years since a community was awarded an STP project through DMMC.

| Years Since Last DMMC STP Project Awarded | Points |
|---|---|
| 10 years or greater | 10 |
| 8-9 years | 7 |
| 5-7 years | 5 |
| 0-4 years | 0 |

*Data Source(s):* DMMC project application history

**7. Financial Commitment (10 points)**

Points will be awarded in this category based on the amount of non-DMMC STP funds committed to a project. Points will be awarded to projects based on the amount of non-DMMC STP funds committed as a percentage of the federally eligible share of construction and CE costs. Documentation of other federal and state funds secured for the project should be submitted with the application.

| Financial Commitment (Non-DMMC STP) | Points |
|---|---|
| 50% or greater | 10 |
| 40-49% | 7 |
| 30-39% | 5 |
| 25-29% | 3 |

*Data Source(s):* Project applicant

**8. Complete Streets Planning Factor (10 points)**

Points in this category will be awarded based on whether the project sponsor has an adopted complete streets policy and if the project contains one or more complete streets elements. Documentation of an adopted Complete Streets policy must be submitted at the time of application. Complete streets elements include:

- Installation of a new minimum 5-foot sidewalk where no minimum 5-foot sidewalk previously existed.
- Installation of a new conventional or physically protected bike lane where none previously existed
- Installation of a new wide outside lane in accordance with IDOT Local Roads and Streets Manual:
    - Roadway ADT between 2,000-10,000
    - Posted speed limit of 30 MPH or less
    - Shared lane width shall be 14 feet minimum measured from edge of the gutter pan to the center of the lane line)
- Installation of a new side path where none previously existed

| Project Sponsor Has Adopted Complete Streets Policy | Points |
|---|---|
| Yes | 5 |
| No | 0 |

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| Project Contains One or More Complete Streets Elements | Points |
|---|---|
| Yes | 5 |
| No | 0 |

*Data Source(s):* Project applicant

**9. Green Infrastructure Planning Factor (10 points)**

Points in this category will be awarded based on whether the project contains one or more Green Infrastructure elements. 2 points will be awarded per Green Infrastructure element with a maximum of 10 points. Green Infrastructure elements include:

1. A green infrastructure policy (documentation must be submitted with application)
2. Pervious pavements
3. Infiltration trench/bioretention cell/bioswale
4. Vegetated filter strips
5. One or more engineered stormwater Best Management Practices (BMPs)

| Number of Green Infrastructure Elements in Project | Points |
|---|---|
| 5 | 10 |
| 4 | 8 |
| 3 | 6 |
| 2 | 4 |
| 1 | 2 |
| 0 | 0 |

To be awarded points in this category, a project sponsor must commit to keeping the Green Infrastructure elements included as part of the project in place for at least 5 years. Project sponsors should also note that including Green Infrastructure elements may require a maintenance agreement with IDOT.

*Data Source(s):* Project applicant

**10. Freight Planning Factor (5 points)**

Points in this category will be awarded based on the location of the project in relation to an area zoned for industrial land use. The project applicant must provide a zoning map as part of the application documenting the project's location in relation to an area zoned as industrial. The area zoned as industrial does not need to be located in the municipality of the project sponsor.

| Proximity of Zoned Industrial Land Use to Project Location | Points |
|---|---|
| Within ½ mile | 5 |
| Within 1 mile | 2 |

*Data Source(s):* Project applicant

## *Trail Projects Methodology*

Applications scored using this methodology:

- Trail projects

A trail project is defined as a bikeway physically separated from motorized vehicular traffic by an open space or barrier and either within the highway right-of-way or within an independent right-of-way. A trail project must have a transportation purpose.

**1. Project Connectivity (20 points)**

Points would be awarded in this category based on the connectivity of the proposed trail.

| Trail Connectivity | Points |
|---|---|
| Connects two existing trail sections | 20 |
| Extends an existing trail or provides a new connection to an existing trail | 15 |
| Proposed trail does not connect to an existing trail | 5 |

*Data Source(s):* Project applicant

**2. Market for Facility (15 points)**

Points would be awarded in this category based on the population and employment density in the area served by the facility. Points would be assigned by population and employment density quintile in the CMAP northeastern Illinois region.

| Population and Employment Density | Points |
|---|---|
| Top quintile | 15 |
| Second quintile | 10 |
| Third quintile | 7 |
| Fourth quintile | 5 |
| Lowest quintile | 0 |

*Data Source(s):* CMAP

Link to CMAP Market for Facility Map:

https://www.cmap.illinois.gov/documents/10180/965423/PopEmpDensityMap.pdf/fa83b012-1d82-ac0c-dbf5-0bb9ebbbf734

**3. Project Readiness (15 points)**

Points will be awarded in this category based on the status of Phase I Engineering and the acquisition of Right-of-Way. Documentation of Phase I Engineering status and Right-of-Way certification will need to be submitted to the Planning Liaison for the project to earn points.

| Phase I Status | Points |
|---|---|
| Phase I Engineering Report Completed/Design Approval Received | 10 |
| Phase I Engineering Report (PDR) Draft Submitted to IDOT | 7 |
| Phase I Kickoff Meeting Held | 3 |

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| ROW Status | Points |
|---|---|
| ROW Not Needed/ROW Acquired | 5 |
| ROW Needed and Not Yet Acquired | 0 |

*Data Source(s):* Project Applicant, IDOT

**4. Local Needs (10 points)**

Points will be awarded in this category based on the number of years since a community was awarded an STP project through DMMC.

| Years Since Last DMMC STP Project Awarded | Points |
|---|---|
| 10 years or greater | 10 |
| 8-9 years | 7 |
| 5-7 years | 5 |
| 0-4 years | 0 |

*Data Source(s):* DMMC project application history

**5. Financial Commitment (10 points)**

Points will be awarded in this category based on the amount of non-DMMC STP funds committed to a project. Points will be awarded to projects based on the amount of non-DMMC STP funds committed as a percentage of the federally eligible share of construction and CE costs. Documentation of other federal and state funds secured for the project should be submitted with the application.

| Financial Commitment (Non-DMMC STP) | Points |
|---|---|
| 50% or greater | 10 |
| 40-49% | 7 |
| 30-39% | 5 |
| 25-29% | 3 |

*Data Source(s):* Project applicant

**6. Consistency with Adopted Plans (5 points)**

Points in this category will be awarded based on the proposed project's inclusion in an adopted plan. An adopted plan could be statewide, regional, or local. Evidence of the project's inclusion in an adopted plan would need to be submitted to the Planning Liaison for consideration.

| Project Included in Adopted Plan | Points |
|---|---|
| Yes | 5 |
| No | 0 |

*Data Source(s):* Project applicant

**7. Complete Streets Planning Factor (5 points)**

Points in this category will be awarded based on whether the project sponsor has an adopted complete streets policy. Documentation of an adopted Complete Streets policy must be submitted at the time of application.

| Project Sponsor Has Adopted Complete Streets Policy | Points |
|---|---|
| Yes | 5 |
| No | 0 |

*Data Source(s):* Project applicant

**8. Green Infrastructure Planning Factor (10 points)**

Points in this category will be awarded based on whether the project contains one or more Green Infrastructure elements. 2 points will be awarded per Green Infrastructure element with a maximum of 10 points. Green Infrastructure elements include:

1. A green infrastructure policy (documentation must be submitted with application)
2. Pervious pavements
3. Infiltration trench/bioretention cell/bioswale
4. Vegetated filter strips
5. One or more engineered stormwater Best Management Practices (BMPs)

| Number of Green Infrastructure Elements in Project | Points |
|---|---|
| 5 | 10 |
| 4 | 8 |
| 3 | 6 |
| 2 | 4 |
| 1 | 2 |
| 0 | 0 |

To be awarded points in this category, a project sponsor must commit to keeping the Green Infrastructure elements included as part of the project in place for at least 5 years. Project sponsors should also note that including Green Infrastructure elements may require a maintenance agreement with IDOT.

*Data Source(s):* Project applicant

**9. Inclusive Growth Planning Factor (5 points)**

Points in this category would be awarded based on the percentage of low to moderate income residents in the Block Group where the project is located. If the project spans multiple Block Groups, the higher percentage will be used. Data for this category comes from the DuPage County Low to Moderate Income Block Groups GIS webpage.

| Percentage Low to Moderate Income in Block Group- Project Location | Points |
|---|---|
| 50% or higher | 5 |
| 40-49.9% | 4 |
| 30-39.9 % | 3 |
| 20-29.9 % | 2 |
| 10-19.9 % | 1 |
| 0-9.9 % | 0 |

*Data Source(s):* DuPage County GIS webpage
Link to GIS webpage: https://gis.dupageco.org/dupage-lmibg/

**10. Transit Supportive Land Use (5 points)**

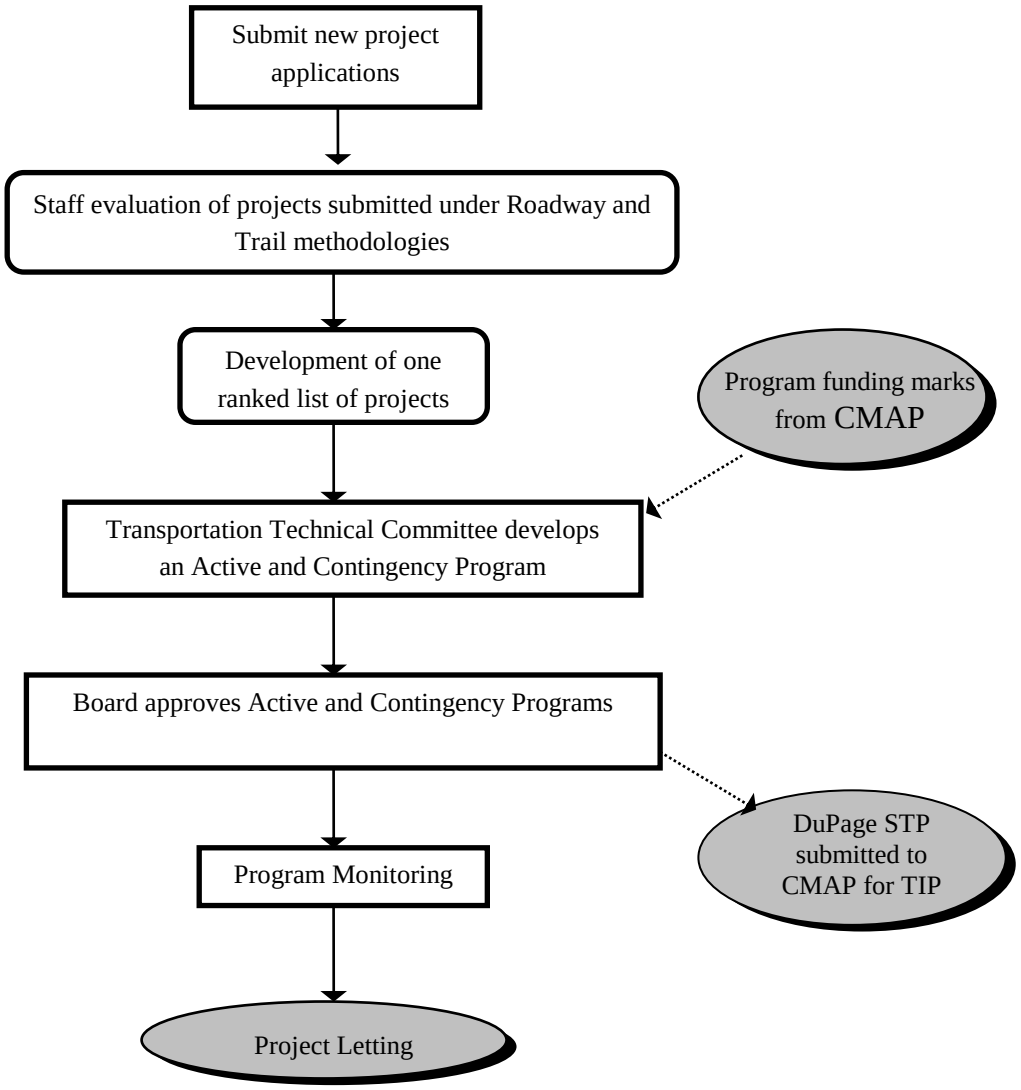
Points in this category would be awarded based on the area of the project location and the proximity to transit. Proximity to transit will be measured by proximity to a Metra Station or Pace Bus stop. Projects will be awarded 5 points if they are located within a ½ mile of a Metra Station or Pace Bus stop, and 2 points if they are located within 1 mile of a Metra Station or Pace Bus stop.

| Proximity to Transit | Points |
|---|---|
| Within ½ mile | 5 |
| Within 1 mile | 2 |

*Data Source(s):* Project applicant

Figure 2.

# Surface Transportation Program Development and Management Process



**Chapter 3**

# Active Program Management (APM)

Active Program Management (APM) provides both a mechanism for ensuring timely obligations to protect the region's funding from lapse and rescission, and to provide flexibility for moving forward projects that are "ready" in favor of those that are "delayed." APM is achieved through strong project and program management with active monitoring of project implementation status from project selection through obligation of federal funds. Active Program Management begins with the development of a program of projects. To facilitate active program management, the DMMC program of projects will be made up of two distinct programs: an active five-year, fiscally constrained program, and a contingency program of projects that can move forward into the active program if additional funds become available. The steps for program development are below:

1. DMMC will solicit for project applications starting in January of even years for the next five federal fiscal years (FFYs). Final applications will be due in March.
2. From April through July evaluations, development of recommended programs, review by the DMMC Transportation Technical Committee, and public comment will occur.
3. The DMMC Board of Directors will review the recommended programs and take final action.
4. CMAP TIP Amendments to incorporate the recommended program will be prepared in the fall for CMAP Transportation Committee consideration.
5. The CMAP Transportation Committee will be asked to recommend approval of the program(s) and the TIP amendment(s) to the MPO Policy Committee.
6. Final approval of the program(s) will occur when the MPO Policy Committee acts on TIP Amendments in October.

***Active Program***

The result of each Call for Projects will be the development of a fiscally constrained multi-year program of projects to be completed, in whole or in part, with STP funds. Active Programs will be included in the region's TIP and are therefore subject to fiscal constraint. The first year of the

active program will be considered the “current year” and will be subject to obligation deadlines described in the “Obligation Deadlines” section of this document. The next four years will be considered the “out years.” Project phases programmed in out years are not subject to obligation deadlines and can be actively reprogrammed in other out years at any time, subject to each year of the multi-year Active Program maintaining fiscal constraint at all times.

Since the Active Program contains projects selected through a performance-based ranking process, funding is awarded to a specific project and cannot be reallocated from the awarded project to another project. Additionally, sponsors of project phases that are programmed in out years should reaffirm their commitment to the scheduled implementation in subsequent calls by submitting a letter from the Mayor or Manager.

***Contingency Program***

It is anticipated that during each call for projects there will be more applications than can be programmed within the years of the call cycle. To facilitate the region's goal of obligating 100% of available funding each year, DMMC can effectively over-program by developing a Contingency Program of projects during each call cycle. The Contingency Program should include, in rank order, the next highest ranked projects that were unable to be funded in the call for projects due to fiscal constraint. Sponsors of contingency projects must be committed to keeping projects active and moving forward toward obligation of federal funding in the two years between calls for projects. If sponsors of potential Contingency Program projects are not committed to moving forward, for example because funding was requested in an out year, those projects should not be included in the Contingency Program. Projects requiring a conformity determination that are not already included in the current conformed TIP, may be included in Contingency Programs, but cannot be reprogrammed into the current year of the Active Program after the TIP change submittal deadline for the spring semi-annual conformity analysis. These projects can be reprogrammed into an out year of the Active Program. Projects, or phases of projects, that did not apply for funding during a call for projects cannot be added to a Contingency Program until the next applicable call for projects.

Inclusion of a project in a Contingency Program is not a guarantee of future federal funding for any phase of a project. The Contingency Program will expire with each subsequent call for projects. Projects included in the Contingency Program from the prior call for projects must reapply for funding consideration during the next call. If the first phase of a project in the

contingency program is moved to the active program, there is no guarantee that the subsequent phases will be funded via the Contingency Program or future Active Programs. There shall be no "automatic" reprogramming from the Contingency Program to the Active Program at the time of each call for projects.

Active projects that are reprogrammed in the Contingency Program, either voluntarily, or due to missing an obligation deadline, must also reapply for funding consideration during the next call. This reapplication will reset all deadlines associated with project phases and make phases eligible for obligation deadline extensions. If unsuccessful with future applications for STP funding, the sponsor may complete the project using another fund source(s). If the project is not completed within the timeframe required by federal law, the sponsor will be required to pay back federal funds used for previous phases of the project.

# Project Management

Transportation projects can take many years to implement. With an understanding of the federal process, strong advocacy, and good project management, projects can be more successful in moving from conception to implementation. The relationship and communication between the technical staff, the financial staff, and the elected officials who set priorities and make budget decisions for the local agency must also be strong.

### *Training*

Project sponsors are required to attend the DMMC STP Workshop in order to be eligible to apply for DMMC STP funding. Anyone associated with a community (staff member, consultant, etc.) is eligible to represent that community at the STP Workshop.

### *Designated Project Managers*

Communication is critical at all levels of project implementation. Throughout project implementation there are several agencies and individuals involved in the process, including state and federal staff, CMAP programming staff, Councils of Mayors' staff and officials, consulting firms, sponsor staff, elected leaders, and the public. The staff of the various agencies will monitor project progress and finances. To facilitate comprehensive understanding and communication regarding projects, each sponsor shall designate the following from their staff upon inclusion in an active or contingency program:

1. A *Technical Project Manager* that will be responsible for overseeing the implementation of the project, managing any consultants involved in the project, ensuring that all federal, state, and local requirements are met and, in conjunction with the Financial Project Manager, ensuring that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.
2. A *Financial Project Manager* that will be responsible for ensuring that any required local matching funds are included in the sponsor agency budget in the appropriate fiscal year(s) in which federal obligation and/or project expenditures will occur, and, in conjunction with the Technical Project Manager, that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.

The Technical Project Manager and Financial Project Manager generally should not be the same person, unless the Technical Project Manager has a direct role in developing the sponsor's budget and/or securing local funding. For each project phase utilizing consulting services, a Consultant Project Manager must also be designated.

The project managers must be reported to DMMC staff and should also be documented in the CMAP eTIP database. In the event of staff changes, a new designee(s) shall be assigned as soon as possible, and this shall be reported to DMMC staff. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities.

Required project status updates described below may only be submitted by one of these managers, and all managers are jointly responsible for the content and timely submittal of updates. Correspondence from DMMC and/or CMAP regarding project status, upcoming programming deadlines, or any other information regarding the programming status of projects will be sent to each of these managers, as appropriate. Correspondence from DMMC and/or CMAP regarding the technical details of projects may be sent only to the Technical Project Manager and/or Consultant Project Manager, as appropriate.

***Status Updates***

Upon inclusion of any phase of a project within an active or contingency program, quarterly status updates detailing initial (time of application) estimated dates, current adjusted estimated

dates (based on progress made since the application was submitted), and actual accomplishment dates of all project milestones, regardless of the phase(s) programmed with STP funds, shall be submitted by one of the project's designated project managers through CMAP's eTIP website. These updates are required to be submitted in December, March, June, and September of every federal fiscal year. Updates submitted any day within the required month will be considered to have met the deadline. Updates submitted in any other month of the year will not be considered an official quarterly update.

Submittals shall be verified by DMMC staff, in consultation with IDOT District 1 Bureau of Local Roads and Streets (BLRS) staff. Status updates must be submitted even if no progress has been made since the prior update. Failure to submit required status updates, as outlined below, may result in significant project delay or the loss of funding for current and subsequent phases of projects.

| | If required quarterly updates are not submitted… |
|---|---|
| Projects with any phase programmed in the current FFY | The project phase, and all subsequent phases, will be moved from the active program to the contingency program. Funds programmed in the CMAP TIP for these phases will be moved to "MYB", and a formal TIP amendment will be required to reinstate these phases. |
| Projects with any phase(s) programmed in an out year (years 2-5) | The project phase, and all subsequent phases, will be removed from the active program. Out year projects removed will not be placed in the contingency program and must re-apply for funding during the next call for projects. |
| Contingency projects | The project phase, and all subsequent phases, will be removed from the contingency program, and must re-apply for funding during the next call for projects. |

***Obligation Deadlines***

Any project phase(s) programmed in the current Federal Fiscal Year (FFY) on or after the first day (October 1) of that FFY is required to fully obligate the programmed federal funds prior to the end of that FFY (September 30). For the purposes of obligation deadlines, a project phase is considered to be "obligated" if federal funds have been authorized as "current" or "Advance Construction (AC)" in FHWA's FMIS database. The entire phase must be obligated, up to the programmed amount or the final engineer's estimate, whichever is less, to be considered fully

funded. “Staged” construction, or “combined” engineering phases are not considered fully obligated until all stages/phases under a single State Job or Federal Project Number are fully obligated. The action(s) necessary to obligate each federally funded phase, and the milestone deadlines that should be met to meet the obligation requirement can be found below.

| **Federally Funded Phase** | **Federal Obligation Action** | **Milestone(s)** | **Milestone Deadline** |
|---|---|---|---|
| Construction (state let) | Execution of Local Agency Agreement* | 1. Phase II pre-final plans submitted | Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early June) |

*Approximately 6 weeks prior to letting

If these milestones are not anticipated to be achieved, based on the March status update, the project sponsor may by April 15th:

1. Request a one time, six (6) month extension of the phase obligation deadline. For Construction/Construction Engineering, the extended deadline will be the federal authorization date for the April state letting in the following calendar year. Programmed funds will be eligible to be carried over (subject to carryover limitations described later in this document) to the next FFY if the request is approved. Each project phase may only be granted one extension. If an extended project phase misses the extended obligation deadline, the phase, and all subsequent phases of the project, will immediately be moved to the contingency program, and the funds programmed in the current year will be removed from DMMC’s programming mark. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration. If the end of the six-month extension period has been reached, and the phase remains unobligated solely due to agreement review and the agreement was submitted to IDOT before August 1st of the prior year in a good faith attempt to ensure timely obligation of funds within the programmed FFY, an additional three-month extension will be automatically granted for that phase. The additional extension will be to the federal authorization date for the August state letting for construction/construction engineering phases.

2. Request the current phase and all subsequent phases be immediately removed from the active program and placed in the contingency program. Programmed funds will not be automatically carried over but will be available for immediate active reprogramming in the current FFY as described below. The obligation deadline for the phase will be removed, and the phase will remain eligible for a future extension request. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration.
3. Proceed at their own risk. If the programmed funds are not obligated as of September 30, the programmed phase and all subsequent phases will be removed from the active program and will not be added to the contingency program. Programmed funds will not be carried over or available for reprogramming and will be permanently removed from DMMC's programming mark. The sponsor may reapply for funding during the next call for projects.

Requests for extensions will be reviewed by and approved by the Transportation Technical Committee in consultation with CMAP, IDOT, and/or FHWA staff as needed, and will be granted based only on the ability of the sponsor to meet the extended obligation deadline.

Following review of the March status updates, and any subsequent requests for extensions, sponsors of project phases included in the Contingency Program that have indicated potential for current year obligation of funds will be notified of the possible availability of funding and will be encouraged to take necessary actions to prepare for obligation of funds between June and October. Program changes to move project phases from the Contingency Program to the Active Program will occur no later than June 30. As formal TIP Amendments will be required to move contingency project phases into the current year of the TIP, the current CMAP TIP Amendment schedule should be considered when making re-programming decisions. Request for extensions after April 15th can be considered by the Transportation Technical Committee on a case-by-case basis.

***Active Reprogramming***

It is the goal of the region to obligate 100% of the federal STP funding allotted to the region each year. Recognizing that implementation delays can and do occur, DMMC shall have the flexibility to actively reprogram funds. All Active Reprogramming requests must be reviewed and approved by the Transportation Technical Committee.

Active reprogramming can occur at any time and requires that DMMC publish an updated active program and updated contingency program prior to making TIP changes associated with the reprogramming. Within out years of the active program, reprogramming from one out year to another out year shall be limited only by fiscal constraint in those years. Any project phase(s) moved into the current FFY through active reprogramming is subject to the same obligation deadlines as all other current year phases.

DMMC will use the following hierarchy when actively reprogramming the current federal fiscal year:

a. Cost increase requests
b. Accelerating construction phases programmed in an out year
c. Bringing construction phases from the contingency program to the active program

When DMMC has obligated 100% of the current year's programming mark, DMMC may request additional funding from the Shared Fund, as described in the Carryover Limitations and Redistribution of Unobligated Funding section of this document.

***Sponsor Commitment***

Each Call for Projects is an additional opportunity to request reprogramming in a different Federal Fiscal Year. Sponsors may request to have project phases reprogrammed in a different Federal Fiscal Year, based on the implementation status of those projects, without the need to re-apply or be re-ranked as long as the sponsor reaffirms their commitment to completing the project according to the requested schedule. A sponsor can reaffirm their commitment to completing a project according to the requested schedule by submitting a letter signed by the Mayor or Manager that addresses the sponsor's commitment to the project and schedule. For sponsors with multiple projects being reaffirmed, a single resolution or letter may be submitted that addresses each project.

In the event that a project included in the active program has not started Phase I engineering (or the equivalent) since the prior Call for Projects, whether that phase is to be federally or locally funded, that project must reapply in the next call except if:

- The project is for pavement preservation techniques that were selected and programmed in out years to align with sponsor/subregional/regional pavement management recommendations.

***Cost Increases***

DMMC will program 100% of available funds and no cost increase is guaranteed. Project sponsors can request cost increases on a first-come, first-served basis if funds are available, with no cap on the amount of a requested cost increase. A project that has received the maximum funding allowed by DMMC (50% of funding in a year) is not eligible for a cost increase. All requests for cost increases are subject to review and approval by the Transportation Technical Committee. A cost increase request is defined as submitting a revised PPI with updated costs to the DMMC Planning Liaison for review and submittal to IDOT.

Cost increases can be requested any time in the Federal Fiscal Year, even if no additional funds have come available. If a project sponsor requests a cost increase at a time in the Federal Fiscal Year where no additional funds are available to pay for the increase, the sponsor must proceed as if no additional STP funds are available to cover the cost increase. If DMMC has obligated 100% of available funding, cost increases will be requested from CMAP through the Shared Fund. Projects on the contingency list are not eligible to request a cost increase.

***Carryover Limitations and Redistribution of Unobligated Funding***

DMMC is responsible for obligating 100% of the funding available each fiscal year. The amount of unobligated funding at the end of each FFY that can be carried over to the next year shall be limited to DMMC's allotment (not including prior year carryover) for the year. Funds can only be carried over under the following circumstances:

1. The unobligated funds were programmed for a project(s) that was granted an extension.
2. The unobligated funds are the result of an "obligation remainder" that occurs when the actual federal obligation was less than the funding programmed for the project phase.
3. The unobligated funds were unprogrammed at the end of the FFY due to one of the following:
    a. The cost of ready to obligate project(s) exceeds the unprogrammed balance available, no funds are available from the Shared Fund to fill the gap, and DMMC has not accessed the Shared Fund in the current FFY; or

b. No projects are ready to obligate the available funds, but the selecting body can demonstrate a reasonable expectation for using the carried over funds in the following FFY.

DMMC must "pay back" any Shared Funds used in the current FFY before carrying over any unprogrammed balance. Any unobligated funding resulting from other circumstances, or more than the maximum allowed, will be removed from DMMC's programming mark and redistributed to the Shared Fund, where it will be available to all selecting bodies as described below.

Funds carried over with an extended project will expire on the obligation deadline of the extension. All other funds carried over will expire on March 31 of the following calendar year. Expired carryover that remains unobligated will be removed from the DMMC balance on the expiration date and will be placed in the Shared Fund where it will be available to all selecting bodies.

***Accessing Unobligated Funds***

Unobligated funds which are redistributed to the Shared Fund can be used for project cost increases or to advance ready to obligate local program projects if all of DMMC's current year funds have been obligated, including any funds carried over from the previous Federal Fiscal Year. Access to funds redistributed to the Shared Fund will be on a "first ready, first funded" basis. Requests can only be made when obligation of funds is imminent. CMAP staff will determine if Shared Funds are available and will approve requests upon verification of obligation readiness. If there are more requests for funds than those available, priority shall be given as follows:

- Regional program projects shall be accommodated before local program projects
- Construction phases shall be accommodated before right-of-way, right-of-way before Phase II engineering, and Phase II engineering before Phase I engineering
- Cost increases shall be accommodated before advancing active or contingency project phases
- Active out year phases shall be accommodated before contingency project phases
- Readiness for obligation will have more weight than the date of the request for funding

Since DMMC does not fund right-of-way, Phase II engineering, or Phase I engineering, Shared Funds can only be used for funding construction or construction engineering for projects within DMMC's program.

Shared Funds may be requested for increases in STP-eligible costs at the time of obligation, based on the IDOT approved estimated cost at the time, or for cost increases after obligation due to higher than estimated bids, change orders, or engineering supplements. STP funds cannot be requested for increased costs on project elements specifically funded with other sources (such as CMAQ, TAP, Economic Development, ICC, Invest in Cook, etc.). Cost increases from the Shared Fund are limited to 20% of the programmed STP funds. Shared Funds may also be requested to advance ready-to-obligate phases from out years of DMMC's active program or contingency program. If a project sponsor requests and receives Shared Funds but is unable to obligate those funds by the end of the current FFY, future requests from that sponsor may be denied. Extended phases that missed the extended obligation deadline are never eligible to utilize Shared Funds.

## *Additional Provisions*

### *GATA*

All sponsor agencies applying for federal funding must have completed Illinois GATA pre-qualification and Fiscal and Administration Risk Assessment (ICQ) for the current year prior to submitting an application, and must maintain qualified status each subsequent year, until all phases of the selected project(s) are complete. Failure to maintain qualified status will result in all programmed funds being withdrawn from all phases of all projects programmed for the sponsor, whether programmed in the shared fund or local program. All sponsor agencies with a project(s) included in a recommended program(s) must complete the GATA Programmatic Risk assessment by the first day (October 1) of the federal fiscal year in which the first federally funded phase is programmed and must agree to and comply with any special conditions that are imposed because of the assessment.

### *QBS*

Local agencies utilizing federal funds for any engineering phase must use Qualifications Based Selection (QBS) procedures for hiring the consultant for each federally funded phase. The QBS process can begin prior to the start of the FFY in which the engineering phase is programmed to

facilitate execution of local agency and engineering agreements as soon as possible after the start of the FFY.

***Effective Date***

Program Development policies for DMMC take effect on January 1, 2020, and the balance of policies take effect on October 1, 2020.

**Chapter 4**

# The STP Project Implementation Process

Once a project has been programmed by the Conference and CMAP, work can begin on engineering. To utilize STP funds, project design and construction must be in accordance with IDOT and Federal Highway Administration (FHWA) standards and criteria.

Public informational meetings and formal public hearings should be utilized throughout the course of the project to facilitate community understanding of the project, as well as to comply with State and Federal rules and regulations, where applicable. For projects requiring land acquisition, a formal public hearing process is required.

STP project implementation is a very involved and complex process consisting of the following steps:

1) Project application and prioritization
2) Project inclusion in the Active Program
3) Early coordination/kick-off meetings
4) Consultant selection
5) Phase 1 Engineering and Environmental Studies
6) Illinois Project Review System
7) IDOT/FHWA review and approval of Project Development Report (PDR)
8) Public hearing requirements
9) Design approval
10) Land acquisition
11) Phase 2 Engineering and development of plans, specifications, and estimates (P S & E)
12) Final processing for letting and award of contracts

A brief description of each step is summarized in this chapter. This summary does not and should not substitute for a complete review of the *Bureau of Local Roads and Streets (BLRS) Manual* published by IDOT, as well as on-going coordination with IDOT.

# Project Implementation

### *1. Project Application and Prioritization*

Project applications must be submitted as directed by the Conference and the Transportation Technical Committee for annual STP funding consideration. The application process requires that project sponsors contact IDOT Local Roads staff to review the project application, especially with regard to preliminary cost estimates, design and warrants for soil and/or pavement tests. Project applications will be evaluated and prioritized as described in Chapter 2.

### *2. Project Inclusion in the Active Program*

DMMC will issue a Call for Projects in January of even numbered years. Project review and program development will generally occur between March and July. Active and Contingency programs will be submitted to CMAP before the start of the new Federal Fiscal Year on October 1.

### *3. Early Coordination/ Kick-Off Meetings*

In the context of this manual, "early coordination" refers to the review and input from various agencies on a project at the early planning stages. The initial IDOT review of a sponsor's project proposal in the application process is one example of early coordination. Coordination can be achieved through informal meetings and correspondence with the appropriate agencies and is designed to pinpoint potential problem areas early on, before they lead to delay at a more critical step in the process. These meetings address such issues as IDOT and FHWA design expectations, potential environmental impacts, related social or economic impacts, etc. Further coordination should occur before engineering consultant selection so that Requests for Proposals can include the proper specifications for scope of study and consultant qualifications.

A formal kick-off meeting between the project sponsor, IDOT District 1 Local Roads staff and Conference staff should precede the start of preliminary engineering for all STP projects in DuPage County. Other agencies may require contact or notification, including FHWA, CMAP, Corps of Engineers and affected local jurisdictions.

### *4. Consultant Selection*

Though the Conference does not allow STP funds to be used for any phases other than construction and construction engineering, DuPage sponsors submitting projects are still bound by many of the IDOT requirements for consultant selection. IDOT staff can provide valuable insight and guidance in this process. These procedures are covered in the Bureau of Local Roads and Streets (BLRS) Manual. Note that if MFT funds are used for STP project engineering, engineering approval from IDOT is required. Also, a publicly employed resident engineer is required to be

"in responsible charge" of construction for federally-funded projects, regardless of whether federal participation in construction engineering is involved.

Because the processing of STP projects is so specialized and time consuming, it is highly recommended that sponsors consider hiring a consultant, particularly one knowledgeable of the federal process and IDOT requirements. This outside expertise may result in a more timely completion of the STP project and minimize delay and disruption to a sponsor's normal engineering work schedule.

***5. Phase 1 Engineering and Environmental Studies***

In-house engineering staff or a consultant should be brought on board as soon as possible after STP project approval to begin Phase I Engineering. The level of environmental processing for a project will be discussed at the kick-off meeting and may be presented at a monthly IDOT/FHWA Coordination meeting. In the case of the typical STP project, this primarily involves completion of the appropriate design and environmental studies to develop a Project Development Report (PDR), in anticipation of a Categorical Exclusion classification for environmental impact.

Specific elements of Phase I Engineering include:

- *Data Collection*
  Review relevant studies, traffic and accident history, current land use and zoning information, FEMA and other floodplain information, etc.

- *Environmental Studies*
  Inventory all significant social, economic, and environmental features or conditions which may be impacted by the project, including air quality, traffic and construction noise, wetlands and other ecologically sensitive features, adjacent homes and businesses, etc. and submit an Environmental Survey Request (ESR) if needed.

- *Preliminary Design Studies*
  Develop alternative plans, where appropriate, including a preferred alternative, identifying pavement cross-section, utility location/relocation, street lights and traffic signals, etc. Preliminary cost estimates would be developed at this time. A Bridge Inspection Report and type, size and location (TS&L) drawing must be prepared where bridge structures are involved.

- *Project Development Report*
  For improvements likely to be classified as a "categorical exclusion", a Project Development Report must be prepared which summarizes the major elements described above.

Projects such as new interchanges, bypasses, and those involving opposition or substantial

controversy on environmental grounds will generally require preparation of an Environmental Assessment Report or combined Environmental Assessment/Location and Design Report. Projects which have the potential to be processed as CEs, but which generally have been processed as EAs in the past (i.e., add lanes projects), are eligible for the Environmental Class of Action Determination (ECAD) procedures. These procedures do not constitute a new environmental processing category. Rather, they lead to a decision on whether actions will qualify for processing as CEs or will require an EA or EIS.

***6. IDOT/FHWA Review and Approval of Project Report***

Based on the preliminary scope of work for the project, comments from the Illinois project review system and their own review, FHWA will evaluate the level of environmental study which must be done in accordance with FHWA rules and regulations and consistent with the National Environmental Policy Act (NEPA). A project may fall into one of three categories of potential environmental impact and corresponding intensity and review of environmental studies:

- *Categorical Exclusions (CE)*
  Actions which individually or cumulatively do not have a significant effect on the environment. (In certain unusual cases, projects given a Categorical Exclusion may still require an Environmental Assessment because of unique or unusual factors involved with what may, in all other respects, be a routine project.) An action may be classified as one of two types, with actions of the second type (Type II Detour Routes, typical reconstruction, intersection channelization) most common in DuPage County. These actions will require a Project Report.

- *Environmental Assessment (EA)*
  A project in this category is of such magnitude that historically, the potential for environmental impact is present. The findings of this type of study will determine if an Environmental Impact Statement must be prepared or if a Finding of No Significant Impact (FONSI) can be granted. Examples of projects in this category include interchanges, bypasses, and those involving opposition or substantial controversy on environmental grounds.

- *Environmental Impact Statement (EIS)*
  The most detailed review and of any environmental study, emphasizing alternatives analysis, including the No-Build Alternative and measures to mitigate harm or negative impact. An EIS will be required if a project is expected to have significant adverse impact on the natural, historic, or cultural resources, flood plains or wetlands, and disruption to homes and businesses. In general, projects requiring an EIS will be of such scope or magnitude to generate area-wide controversy.

Most federally funded projects in DuPage County will fall into the area of Categorical Exclusion. Projects which have the potential to be processed as CEs, but which generally have been pro-

cessed with EAs in the past (i.e., add lanes projects) are eligible for the Environmental Class of Action Determination (ECAD) procedures. The implementation of the ECAD procedures does not change any of the procedures or requirements for EISs, EAs, or CEs; it leads to the decision on whether an eligible project should be processed as a CE or with an EA or EIS and provides a structure for evaluating and documenting the basis for that decision.

Concurrence with a Categorical Exclusion is considered using the Project Development Report as the basis for review. District I review will normally take 2-3 weeks, with Springfield Bureau of Local Roads and Streets requiring another 2-3 weeks. Sign off by the District Engineer and the BLRS Engineer is required. FHWA review and/or concurrence is generally not required for typical Categorical Exclusion Projects unless unusual conditions or circumstances are involved (e.g., local opposition/controversy, off-project detours, etc.).

Categorical Exclusion projects of a minor nature, (e.g., resurfacing) may receive design approval simultaneously with concurrence on the Categorical Exclusion designation. This will shorten the overall schedule for implementing STP projects by six to eight weeks.

***7. Public Hearing Requirements***

Closely related to the level of environmental study required is the corresponding degree of Public Involvement. Minimum requirements for Public Involvement are, therefore, clearly established by the FHWA. A public hearing is required for all Federal-Aid projects which involve the preparation of an Environmental Impact Statement. Public hearings are also required for Categorical Exclusions (CE's) and Environmental Assessments (EA's) when significant amounts of right-of-way are required (ten or more property owners), significant adverse effects on abutting real property is expected, or there is known public opposition to the project. Public hearings cannot be advertised until IDOT and FHWA concurrence with a Categorical Exclusion, or "Finding of No Significant Impact" for Environmental Assessment projects, have been given. Public hearing requirements may be satisfied by publishing two notices of opportunity for public hearing. Guidance on the advertising of public hearings and conduct of meetings is provided in the IDOT BLRS Manual.

Based on experience with other DuPage projects, we would recommend that an informational meeting be held by the project sponsor as soon as the scope of project is determined. In most cases, early notification can be provided by the inclusion of proposed project application on a local council/board agenda; this would provide sufficient opportunity to communicate the intent of the sponsor regarding the project. Such public review at this early stage, helps insure that citizens do not feel left out of the decision-making process, and may save time and reduce delays at later, more critical stages of project development.

***8. Design Approval***

When design approval does not occur simultaneously with Categorical Exclusion concurrence, it will generally require two to three weeks each for the District Office and Central Bureau of Local

Roads and Streets to review and approve the project. FHWA approval may be required in cases where there is public controversy, limited environmental impact, deviation from design standards, and other non-routine aspects to the project. Projects involving bridge structures will require additional time to process through the Springfield office.

***9. Land Acquisition***

If right-of-way is required, the acquisition process may not be started until after design approval of the project. See the IDOT BLRS Manual for more information on right-of-way plans, appraisal, etc.

***10. Phase 2 Engineering and development of plans, specifications, and estimates (P S & E)***

Upon design approval, project plans, specifications and estimates (P S & E) are to be prepared. This Phase 2 engineering will provide more detailed information necessary to construct the project and will incorporate environmental and design commitments made at earlier stages of project development (e.g., mitigating impact measures, revised lane widths based on IDOT/FHWA review, etc.). They, in effect, become the basis for contract bids at a later date.

P S & E submittals will be reviewed and approved by the District 1 Office of IDOT. (Prior to P S & E approval requirements for environmental analysis and reports, public involvement, and design approval must be completed.) The elements of this phase of project development are:

- *Plans*
  Plans are working drawings showing the location, character, and dimensions of the proposed work, including layouts, profiles, structures, cross-sections and other details. As such, the term Plans will actually incorporate the following specific documents:
  - Plan and profile
  - Bridge plans
  - Traffic control plans
  - Cross-sections
  - Right-of-way plans
  - Railroad/utility plans

- *Specifications*
  "Specifications" are the detailed instructions for constructing highway projects, including a description of the work, materials, construction materials, method of measurement, basis of payment and the pay item for each item of work. Specifications shall conform to the Standard Specifications for Road and Bridge Construction published by IDOT.

- *Estimates*
  An "estimate" is the predicted project cost at time of receipt of bids, developed from knowledge regarding the costs for materials, labor and equipment required to perform the

necessary work. Incidental and overhead costs, as well as a statement of profit are also included in the project cost estimate. Standard forms are available from each District Office for use in preparing cost estimates for pay items normally encountered during project construction.

### *11. Final Processing for Letting/Award of Contracts*

This is the most critical step of the entire process. All of the preceding steps, plus those enumerated below, are brought together and processed so that the construction estimates (including any special provisions), agreements, bid advertising and contract award may be completed. Prior to this step, the following paperwork must be completed: right-of-way maps, certification of right-of-way and joint agreement.

A joint agreement between the State and local agency involved will be required for all Surface Transportation Program improvements. Participation by the local agency may be a contribution of services or money; for example, preliminary engineering, right-of-way costs, and/or construction costs are generally the responsibility to some extent of the local agency. The joint agreement should also resolve questions of maintenance, parking, storm sewer pollution, encroachment, approval of plans, etc. IDOT, in all cases, will prepare the preliminary and final draft of the joint improvement agreement. The final agreement will be forwarded to the municipality for execution by proper officials and returned to IDOT for execution by State officials. In order for an improvement with attached ordinances must be fully executed and plan approval received, from six to seven weeks prior to the scheduled letting date.

Projects are let and awarded by IDOT on the basis of competitive bidding. IDOT will advertise proposed projects in its Service Bulletin. This bulletin is the official publication and sole criterion of bids for Federal-Aid and State road work and is sent to each contractor on IDOT's prequalified list. At the time and place specified in the State's Service Bulletin, the total amount of each bid is read aloud to those present. The award of contract will be made within 45 days after the letting to the lowest responsible qualified bidder where the proposal complies with all prescribed requirements. A concurrence in the low bid is now part of the joint agreement. When a project is awarded, a contract is prepared and sent to the low bidder for execution in accordance with the Bureau of Design "Instructions for Executing Contracts and Bonds".

As soon as practicable after a contract is awarded, the District Office shall arrange a conference with the contractor and local agency prior to execution of the work. The purpose of this "preconstruction" conference is to discuss the plans and specifications of the project, unusual conditions, methods and schedule of operation, mobilization of equipment, labor requirements, traffic, and Federal requirements.

The following items will be discussed at the meeting:

- Order of work (progress schedule)
- Utilities and railroads

- Sub-contractors and agents
- Records and reports
- Traffic control and safety
- General construction discussion

Completion of each of the steps discussed will lead up to actual construction of the project. Again, applicants are referred to Local Roads staff from District 1 and the BLRS Manual for specific guidance in each of these steps.

## Highlights of STP Design/Improvement Standards

All STP projects must be designed according to state/federal standards as contained in documents such as the IDOT BLRS Manual and IDOT Design Manual. Sponsors submitting STP project applications should review and familiarize themselves with the design standards contained in these documents before determining preliminary project design or cost estimates. Submittal of projects not designed according to these standards may result in unanticipated cost increases, delay in project implementation and even removal form the STP program. To prevent such circumstances from arising, early coordination with IDOT is essential.

Following is a list of IDOT/FHWA design standards and requirements that are commonly overlooked in the development of project design:

- A 30-foot minimum (face-to-face of curb) cross-section for two-lane urban collector streets.
- Storm sewers designed for a 10-year storm; where storm sewer outlets are restricted a design frequency less than 10 years may be approved.
- Storm sewers must be an integral part of the highway improvement and should be documented as such. STP funding can be utilized only for storm sewer and other drainage work that is within the road right-of-way.
- Storm sewers must be built entirely within the limits of the project, except in the case of outfalls.
- Angled parking will generally not be approved unless an auxiliary lane is provided to prevent conflict between parking maneuvers and through traffic.
- IDOT and the Federal Highway Administration will look beyond the immediate scope or limits of the project in order to incorporate solutions to other safety or operational problems currently experienced. This should be anticipated in the design of the project.
- Project design should be based on a twenty-year design traffic projection.
- Twelve-foot lane widths are generally required for widening of urban streets. Where right-of-way is restricted, lane widths of a minimum of 10 feet will be considered on resurfacing projects.
- High accident locations must be identified and improved on all projects. Wet weather accident analysis is also required.

- Pavement overlays should be based on the structural adequacy of existing pavement.
- Early coordination with utility companies is essential.
- Pavement marking, signing, striping, and traffic control on resurfacing, reconstruction, widening and other projects must conform to the Illinois Manual on Uniform Traffic Control Devices.
- Road cross-sections must be continuous for STP projects. (E.g. 12 foot lanes with curb and gutter cannot be built "around" a section with 10 foot lanes and no curb and gutter even if the pavement condition for that section is good).
- Railroad-highway grade crossings must be included (if not improved) in the project scope of work.

Appendix A

# STP Project Development Contacts

DUPAGE MAYORS AND MANAGERS CONFERENCE
1220 Oak Brook Road
Oak Brook, IL 60523
(630) 571-0480 FAX (630) 571-0484

*Steve May, Director, Transportation Technical Committee*
*Daniel Knickelbein, Transportation Project Manager*

CHICAGO METROPOLITAN AGENCY FOR PLANNING (CMAP)
AND/OR CMAP COUNCIL OF MAYORS
233 South Wacker Drive, Suite 800
Chicago, Illinois 60606
(312) 454-0400 FAX (312) 454-0411

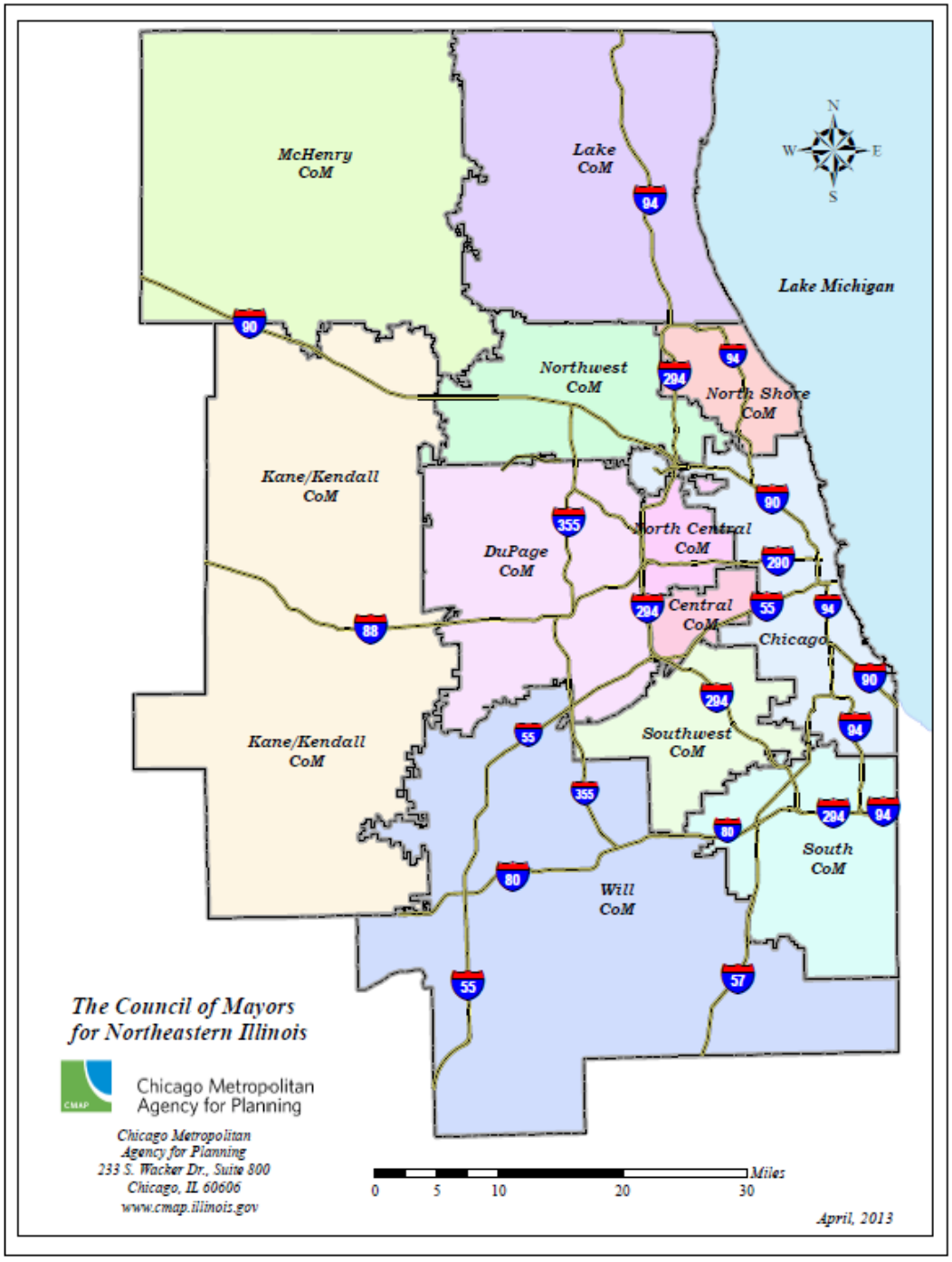
*Kama Dobbs, Policy and Programming Senior*
*Barbara Zubek, Associate Planner*
*Russell Pietrowiak, Associate (TIP Procedures)*

ILLINOIS DEPARTMENT OF TRANSPORTATION/DISTRICT 1
201 West Center Court
Schaumburg, IL 60196-1096
(847) 705-4201

*Chad Riddle, P.E., Federal Aid Program Engineer – Bureau of Local Roads and Streets*
*Marilin Solomon, P.E., Field Engineer- Bureau of Local Roads and Streets*

Appendix B

# Council of Mayors Boundaries



Appendix C

# Addition of Streets to the Federal-Aid Highway System

Streets may be added to the Federal-Aid Highway System if they meet the following criteria:

* Present or future average daily traffic greater than 3000 vehicles per day.
* Classification of the route as a major collector street or arterial on a local Comprehensive Plan or Thoroughfare Plan.
* Terminus on another Federal-Aid route, a major employment center, or other major traffic generator.
* Contributes to the overall effectiveness of the countywide transportation network, as shown in the County's highway improvement plan.

The Transportation Technical Committee will decide, based upon these criteria, whether to recommend the addition of the proposed route to IDOT. Generally, IDOT will accept the recommendation of the Committee and will forward a map amendment to the FHWA for final approval.