

DuPage Mayors and Managers Conference

Surface

Transportation

Program

Policies and Procedures of the DuPage Council

Revised August 2023

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Introduction

The Infrastructure Investment and Jobs Act (IIJA), enacted on November 15, 2021, 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 Federal Highway Administration (FHWA)

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 (DMMC), 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). DMMC 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 the IJJA, STP provides one of the most direct roles 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 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. The DuPage Council, comprised of one member of each DuPage municipality eligible to receive STP funding from DMMC and one representative from DuPage County, gives final approval to the active and contingency programs prior to its submission to CMAP.

A list of municipalities eligible to receive STP funding from DMMC can be found under the DuPage column at the following link:

<https://www.cmap.illinois.gov/documents/10180/25427/Municipalities+by+Council.pdf/86d88964-8bbe-08fc-5219-3c5a52afa195?t=1690397419206>

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.

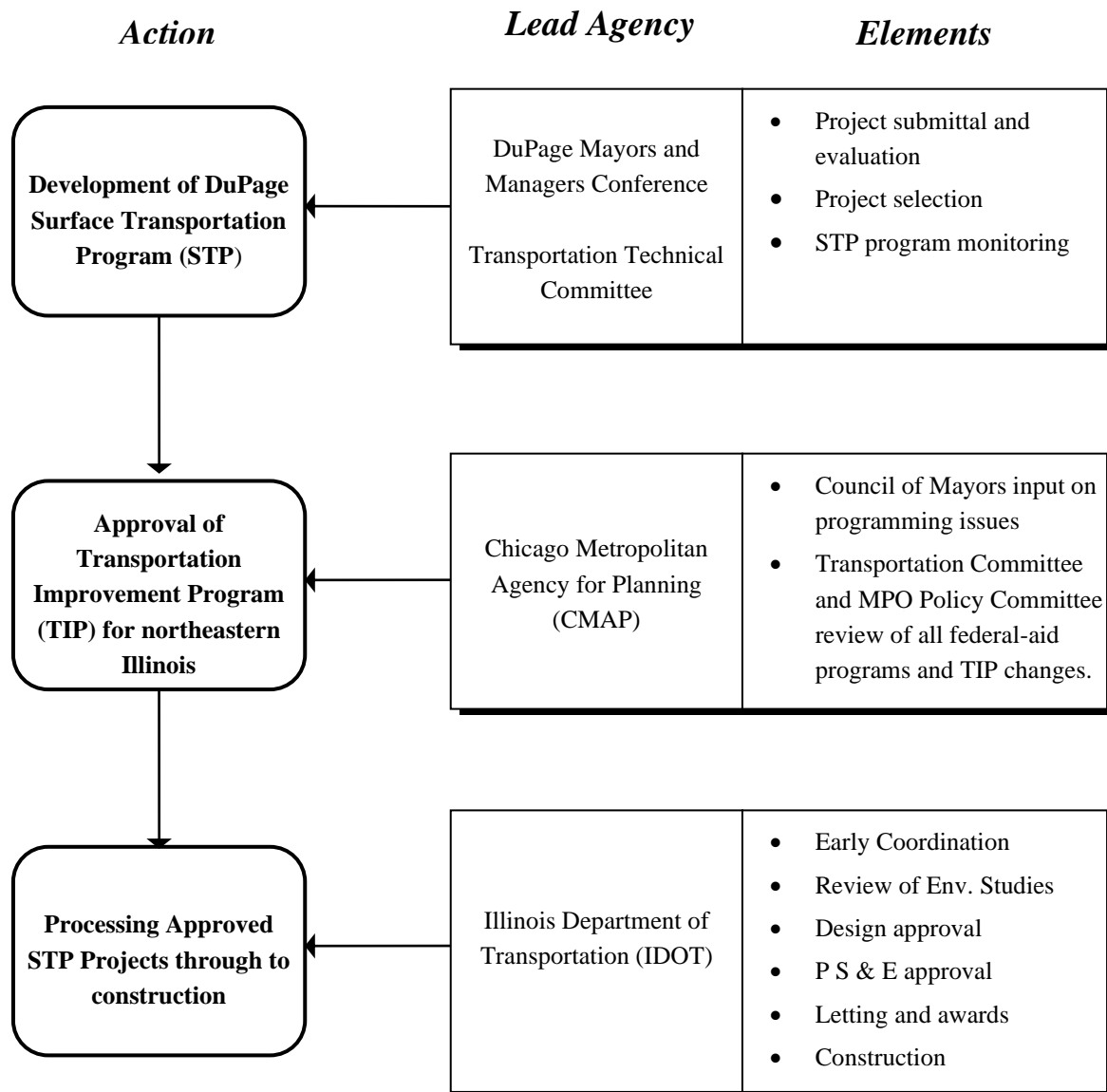
The TIP is structured to include a one-year Annual Element of projects in the current fiscal year and a Multi-Year Program of all funded transit and highway projects for the next five consecutive years. The region's TIP is developed by the CMAP Transportation Committee based

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



Changes to projects in DuPage's approved STP are approved by the Transportation Technical Committee and submitted to CMAP in the form of notification and/or a request to change the current TIP. 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 roadway 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>. 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 IIIA 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 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 sewers¹
- Historic or decorative lighting

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

- Street lights
- Sidewalks
- Traffic signals²

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 October of odd years for the next five federal fiscal years. DMMC will hold an STP Workshop prior to the opening of the Call for Projects. Attendance at the STP Workshop is optional for project sponsors. To be considered for STP funding, sponsors must complete an appropriate application form for the current application cycle. Final applications will be due in December and must be submitted by the deadline approved by the Transportation Technical Committee to be considered for funding.

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.

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. A planning level safety improvement score is assigned based on the application's selected countermeasures and their accompanying crash reduction factor (CRF) percentage. A CRF is the percentage crash reduction that might be expected after implementing a given countermeasure.

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 percentages come from a previously developed CMAP CRF spreadsheet as well as selected measures from the Crash Modification Clearinghouse (www.CMFclearinghouse.org)

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

Link to IDOT Safety Need Scores:

<https://lakecountyil.maps.arcgis.com/apps/webappviewer/index.html?id=9e0e25a18680427085a6c2efd32bf5>

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

+

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

Link to CMAP Pavement Condition Data:

<https://lakecountyil.maps.arcgis.com/apps/webappviewer/index.html?id=9e0e25a18680427085a6c2efdad32bf5>

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

+

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)

The definition of a Green Infrastructure Policy is as follows:

- *A standalone policy or plan dealing specifically with Green Infrastructure, Green Streets, sustainability, or water management that has been adopted by the village board/governing board*

AND

- *Includes one or more references to reducing flooding, improving water quality, promoting natural landscaping, or stormwater management*

AND

- *Includes one or more strategies the entity is taking to tackle those problems*

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://dmmc-cog.org/wp-content/uploads/2019/12/Population-and-Employment-Density-for-DuPage-County.pdf>

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

+

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)

The definition of a Green Infrastructure Policy is as follows:

- *A standalone policy or plan dealing specifically with Green Infrastructure, Green Streets, sustainability, or water management that has been adopted by the village board/governing board*

AND

- *Includes one or more references to reducing flooding, improving water quality, promoting natural landscaping, or stormwater management*

AND

- *Includes one or more strategies the entity is taking to tackle those problems*
 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

Link to DuPage County GIS Webpage: <https://gis.dupageco.org/dupage-lmibg/>

10. Transit Supportive Land Use (5 points)

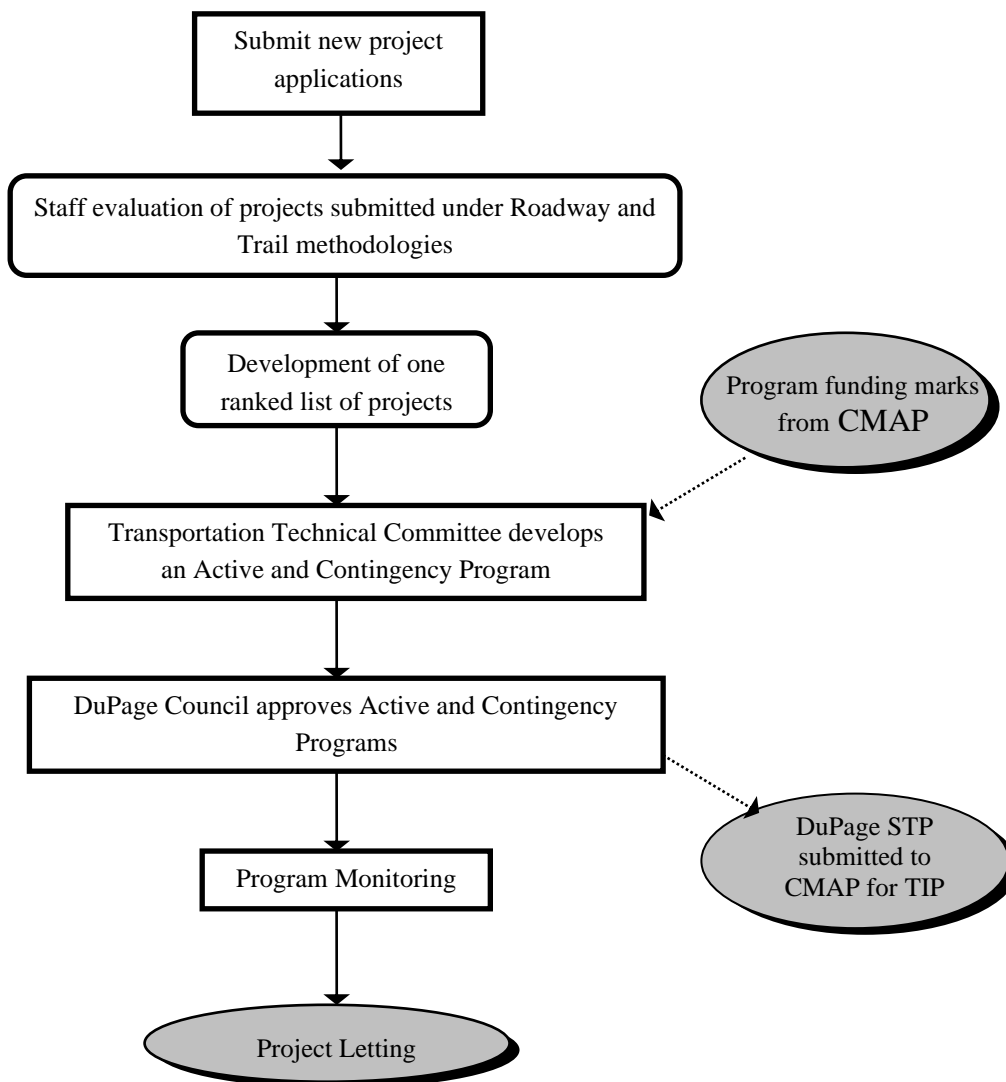
Points in this category would be awarded based on the area of the project location and the proximity to transit. Proximity to transit will be measured by proximity to a Metra Station or Pace Bus stop. Projects will be awarded 5 points if they are located within a ½ mile of a Metra Station or Pace Bus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

1. DMMC will solicit for project applications starting in October of odd years for the next five federal fiscal years (FFYs). Final applications will be due in December.
2. From January through March evaluations, development of recommended programs, review by the DMMC Transportation Technical Committee, and public comment will occur.
3. The DuPage Council will review the recommended programs and take final action.
4. CMAP TIP Amendments to incorporate the recommended program will be prepared in the summer 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 June.

Active Program

DMMC must develop and maintain a fiscally constrained five-year program of projects. Project phases included in an active program are those for which funding is committed and programmed in the CMAP TIP. Only project phases in an active program can move forward to federal authorization.

1. Parts of the active program

- a. Current year: The first year of the active program will be considered the “current year” and will be subject to obligation deadlines.

b. Out years: 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 program maintaining fiscal constraint at all times.

2. Fiscal Constraint

- a. Active programs will be included in the region’s TIP and are therefore subject to fiscal constraint.
- b. DMMC cannot program more funds in any individual federal fiscal year than are estimated to be available in that year. Estimates of available funding, known as programming marks, are provided by CMAP. Marks have two components: (i) Allotment. The amount of funding allotted to DMMC according to the distribution formula contained in the agreement between the Councils of Mayors and CDOT. (ii) Carryover. The amount of funding that was not utilized by DMMC in a prior federal fiscal year that is eligible per these policies to be carried forward to the next FFY.

3. Funding commitment

- a. While funds are committed for project phases in active programs, there is no real or implied guarantee of funding until an obligation occurs.
- b. Projects must follow all federal and state procedures to advance to authorization and must meet the milestones and requirements of these policies, and any additional requirements set forth by DMMC.
- c. If federal funding is not appropriated by Congress or is not allotted to CMAP for programming by IDOT, or if appropriations and/or allotments differ in any year from programming estimates provided to DMMC at the time of program development, some or all programmed project phases may not be able to be authorized in the federal fiscal year that they are programmed.

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. Additionally, to facilitate the region's goal of obligating 100% of available funding each year, DMMC should develop a contingency program of projects during each call cycle.

1. Project Inclusion

- a. The contingency program should include, in rank order, the next highest ranked projects that were unable to be funded in the CFP due to fiscal constraint.
- b. 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.
- c. If funds for potential contingency program project phases were requested in the 3rd, 4th, or 5th year of the program, the likelihood of those phases being obligated in the two years between calls for projects should be considered before including those phases in the contingency program.
- d. 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 contingency projects can be reprogrammed into an out year of the active program as part of a Conformity Amendment to the TIP.
- e. 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.

2. Contingency Program Status and Expiration

- a. Inclusion of a project in a contingency program is not a guarantee of future federal funding for any phase of a project.
- b. The contingency program will expire with each subsequent call for projects. (i) Projects included in the contingency program from the prior CFP must reapply for funding consideration during the next call if they wish to remain eligible for STP funding. (ii) 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. (iii) There will be no “automatic” reprogramming from the contingency program to the active program. However, DMMC may determine if points will be awarded during a call of projects for phases completed or in-progress while included in the contingency program.

3. Active program projects that were moved to Contingency

- a. Active projects that are reprogrammed in the contingency program, either voluntarily, or due to missing an obligation deadline, must reapply for funding consideration during the next call for projects.
- b. This reapplication will reset all deadlines associated with project phases and make phases eligible for obligation deadline extensions.

- c. If unsuccessful with future applications for STP funding, the sponsor may complete the project using another fund source(s).
- d. 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

DMMC will held an STP Workshop prior to the Call for Projects. Attendance at the Workshop is optional.

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.

1. Required designees:

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.

2. Optional designees

For each project phase utilizing consultant services, a Consultant Project Manager must also be designated.

3. Guidelines for designees

- a. 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.
- b. Except in cases where a consultant or contractor serves in an official capacity for the sponsor (i.e. as the Village Engineer, Finance Director, etc.), the project managers must be members of the sponsor's staff.
- c. The project managers must be reported to DMMC in a format and by a date determined by DMMC. It is the responsibility of the sponsor to keep DMMC informed of staffing changes affecting these designees.
- d. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities, even if not required by DMMC for their project(s).
- e. Required project status updates may only be submitted by one of these managers, and all managers are jointly responsible for the content and timely submittal of updates.
- f. 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. DMMC has no obligation to corresponded with any other sponsor staff or consultants hired by the sponsor regarding the project.
- g. 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

Updates on project status and the schedule for accomplishing implementation milestones are required upon inclusion of any phase of a project within an active and/or contingency program.

1. Timing

- a. Updates must be submitted to DMMC during the months of March, June, September, and December.
- b. Updates may be submitted any day during the above months
- c. CMAP or DMMC may request additional updates throughout the year. Any additional updates requested will not be a substitute for submitting during the above months.
- d. Status updates must be submitted even if no activity has occurred since the prior update.
- e. It is the responsibility of the sponsor to be aware of when updates must be submitted. DMMC is not responsible for providing reminders.

2. Format

- a. Updates are milestone-based, detailing the initial (time of application or funding award) estimated dates for completing each milestone, updated estimated dates throughout the life of the project, and actual completion dates.
- b. CMAP will provide an update form(s) for use by DMMC. The form must be completed and returned in the format provided.
- c. Separate forms will be utilized for projects processed through IDOT (road, bridge, bike/ped, and some transit station projects) and projects processed through FTA (all transit agency projects and some locally sponsored transit projects).
- d. CMAP may alter or update the form(s) from time to time or may develop alternative formats (including a platform for online submissions) in the future. Sponsors must utilize the most current version of the form(s) at all times.
- e. Unless an online submittal process is provided, updates must be submitted via email as directed by DMMC.
- f. Certain milestones require the submittal of attachments, as documented in the update form. Attachments should be submitted via email to DMMC, as directed by them. Attachments only need to be submitted once, unless updated during the project implementation process.
- g. Space for sponsors to provide notes or comments about each milestone will be provided. Sponsors may also use this space to document the attachments that have been submitted.

3. Submittal Guidance

a. Initial submittal

- (i) Note all major milestones that have been completed and the date they were completed.
- (ii) For projects processed through IDOT, if Phase 1 Design Approval has been received, it is not necessary to provide milestone dates for pre-engineering or intermediate phase 1 milestones.
- (iii) For projects processed through FTA, if engineering and design final verification has been received, it is not necessary to provide milestone dates for project development/pre-engineering or intermediate engineering and design milestones.
- (iv) If preliminary engineering has not

started, only major milestones, such as Phase 2 kick-off, pre-final and final plans submittal, ROW initiation and certification, and letting date for projects processed through IDOT or final design verification, ROW initiation and completion, and construction notice to proceed for projects processed through FTA, are required to be estimated during the initial submittal. Estimates for all other milestones must be provided during the first update after preliminary engineering has started. (v) The environmental class of action for the project will influence the milestones for the project. If a milestone is not applicable to the project because of the environmental class of action, "N/A" may be selected for completion status. (vi) The type of funding (federal or non-federal) for each phase of the project will influence the milestones for the project. If a milestone is not applicable because of the type of funding, "N/A" may be selected for completion status. (vii) If "N/A" is selected for any milestone for a reason other than (v) or (vi) above, the sponsor must provide comments or documentation for why the milestone is not applicable to the project. (viii) Only completed dates and initial estimated dates can be provided during the initial submittal. (ix) All estimated dates must be in the future. (x) All completion dates must be in the past.

b. Regular submittals

(i) Only completed dates and updated estimated dates can be provided after the initial submittal. (ii) All estimated dates must be in the future. (iii) All completion dates must be in the past. (iv) Care should be taken to update any estimated dates that have passed since the prior submittal, particularly for projects that had no activity.

4. Penalties for non-compliance

Failure to submit the required status updates will result in project phases being reprogrammed or removed from the programs. Projects that are removed from the programs must reapply for funding during a future call for projects. a. Projects with any phase programmed in the current year of the active program If a required quarterly update is not submitted, the following actions will be taken by DMMC and/or CMAP:

(i) The phase(s) programmed in the current year will be either reprogrammed in an out year of the active program (subject to fiscal constraint) or moved to the contingency program, at DMMC's discretion. (ii) All subsequent phases of the project that are included in the active program will be moved to the contingency program and will not be eligible to be moved back into the active program until the current year phase(s) is authorized/obligated or until the next call for projects, whichever comes first.

b. Projects with any phase programmed in an out year of the active program If a required quarterly update is not submitted, the following actions will be taken by the selecting body and/or

CMAP: (i) All phases of the project that are included in the active program will be moved to the contingency program. (ii) The earliest phase will be eligible to be reinstated into the current year of the active program. (iii) Any phase(s) not reinstated into the active program prior to the next call for projects must reapply for funding consideration during that call.

c. Contingency projects

If a required quarterly update is not submitted, all phases of the project will be removed from the contingency program.

Obligation Deadlines

Any project phase(s) programmed in the current 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). Obligations occur at the beginning of each federally funded phase, therefore these deadlines are for starting phases, not completing them.

1. Definition of obligated

A project phase is considered to be “obligated” if federal funds have been authorized (including in Advance Construction) or obligated (including Advance Construction Converted) in FHWA’s FMIS database or the project phase has been included in an approved FTA grant.

2. Definition of fully obligated

a. For projects processed through IDOT, the entire phase must be authorized/obligated, up to the programmed amount or the final engineer’s estimate, whichever is less, to be considered fully obligated. “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.

b. For projects processed through FTA, funding for the entire phase must be included in the approved FTA grant.

3. Typical actions and timelines

The actions that trigger an obligation vary by project phase and the agency processing the project:

a. Projects processed through FTA (i) Obligations occur when the FTA grant containing the programmed funding is approved by FTA. (ii) STP funds must be transferred from FHWA to FTA prior to grant approval. (iii) The transfer process may take 1-3 months from the date the sponsor’s request to IDOT to initiate the transfer is made.

b. Construction/Construction Engineering (processed through IDOT) (i) Obligations occur when FHWA approves an authorization request from IDOT. (ii) Federal authorization re-

quests are made no less than six weeks prior to letting. (iii) The Construction Local Agency Agreement and Engineering Services Agreement (if utilizing consultant services) must be executed by IDOT before an authorization request is made. Agreement review and execution may take 7-9 weeks from the date of submittal of the draft agreements. (iv) Phase 1 Design Approval (DA) must be obtained prior to submittal of the draft agreements. The amount of time required to receive DA varies widely based on project scope, complexity, and NEPA requirements. (v) For projects located within IDOT District 1, approval of the Project Programming Information (PPI) form must occur prior to the submittal of draft agreements. PPI approval typically occurs 2-3 days after submittal but may take up to 2 months if there are discrepancies between the PPI and the CMAP TIP.

4. Section 1440

The Section 1440 process allows project phases to proceed prior to the authorization of federal funds for the phase. Because funds are not authorized, receiving Section 1440 approval does not qualify as meeting the obligation deadline for the phase.

Obligation Deadline Extensions

Project phases programmed in the current year that have demonstrated via quarterly status updates that they have met the minimum requirements below will be eligible for a one-time six-month extension of the obligation deadline and the funding programmed for the phase.

1. Minimum requirements for consideration of an obligation deadline extension for projects processed through IDOT

a. Construction/Construction Engineering: Phase 2 engineering and land acquisition (if needed) are in progress and the targeted pre-final plans submittal and ROW certification dates are before the dates listed on the IDOT letting schedule for the April state letting.

b. Cost Increases/Supplemental Funding, Regardless of Phase: Previously authorized funds for the phase are not in AC and FHWA has begun reimbursement of those authorized funds

2. Minimum requirements for consideration of an obligation deadline extension for projects processed through FTA

The NEPA process and all project/development/pre-engineering work is completed.

3. Requesting an obligation deadline extension

a. Sponsors must request an extension in writing (via US Mail or email).

b. Requests must be submitted no sooner than April 1 and no later than July 31

c. Sponsors may submit an updated status update form demonstrating that the minimum requirements for consideration of an obligation deadline extension have been met. The prior quarter's status update will be utilized for determining qualification if an updated status update is not submitted with the request.

4. DMMC approval of obligation deadline extensions

- a. DMMC may not grant an extension if one was not requested.
- b. DMMC is not required to approve extension requests and may instead reprogram a phase into the next FFY (subject to fiscal constraint). In this case, (i) The funding associated with the phase will remain in the current FFY and be available for active reprogramming; and (ii) The project phase will remain eligible to request and receive an extension in the future.
- c. DMMC is prohibited from approving requests if: (i) The sponsor has not submitted all required quarterly status updates; or (ii) The sponsor has not met the minimum requirements for consideration of an extension.

5. Revocation of obligation deadline extension approvals

- a. Obligation deadline extension approvals will be revoked on September 30 if:
 - (iii) For Construction/Construction Engineering (processed through IDOT), prefinal plans have not been submitted or the target letting has been extended beyond April of the following year.
 - (iv) For cost increases/supplementals (processed through IDOT), less than 75% of already authorized funds for the phase have been expended and reimbursed by FHWA.
 - (v) For all phases processed through FTA, the request to transfer funds from FHWA to FTA for the phase has not been sent to IDOT.
- b. If an extension was granted, but revoked on September 30, the following will apply to the project: (i) The project phase may continue in the next FFY (ii) All subsequent phases of the project will be removed from DMMC's Active program and placed in the Contingency program and will not be eligible to return to the active program until the prior phase is obligated and will be required to reapply for funding if the Contingency program expires prior to those phases being reinstated in the active program.
- c. Funds programmed for phases that had their extensions revoked will not carryover in DMMC's marks and will be added to the region's redistribution balance, however the DMMC will be allowed to plan for the use of redistribution for project phases targeting later authorizations, as described in section VIII.I.

Active Reprogramming

To maximize the obligation of funding, the region must take advantage of every opportunity to move projects forward to obligation and to move projects back that are encountering delays.

1. Continuous monitoring

- a. DMMC staff are expected to continuously monitor project progress.
- b. DMMC staff must regularly provide status information for all active and contingency project phases to CMAP and project sponsors.

2. Initiating reprogramming

- a. DMMC staff may take active reprogramming actions at any time
- b. Project sponsors may request consideration of active reprogramming of their project(s) at any time.

3. Required reprogramming

- a. DMMC may not deny a request for active reprogramming if unprogrammed funds are available to accommodate the request and the phase(s) for which the reprogramming is requested has met all appropriate milestones.
- b. DMMC must actively reprogram any phase that is targeting obligation after the final day of the FFY in which it is programmed if a request is made to move a phase(s) into that FFY, including the current year.

4. Use of reprogramming

- a. Active reprogramming may be utilized to accommodate cost changes, to move project phases from out years into the current year, to move project phases from the current year into out years, to move project phases between out years, or to move active program project phases to or from the contingency program.
- b. DMMC has discretion in determining the relative priority of the above active reprogramming actions
- c. Active reprogramming is limited only by the requirement to maintain fiscal constraint in all years of the active program at all times.
- d. 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.
- e. If any phase of a project is actively reprogrammed into the contingency program, all subsequent phases must also be reprogrammed into the contingency program, however earlier phases of the project may remain programmed in the active program

All Active Reprogramming requests must be reviewed and approved by the Transportation Technical Committee.

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

Changes to Total Project Costs

The total cost of each phase of a project must be accurately reflected in the CMAP TIP at all times. Sponsors must notify the selecting body of changes to total cost as soon as they are known, regardless of whether, in the case of increases, the sponsor intends to request additional STP funds or not.

Scope Changes

Because project selection relies on ranking systems that may vary based on the scope of projects, scope changes are not automatically allowed.

1. Notification of scope changes

- a. Sponsors must notify DMMC staff of any scope changes as soon as they are known.
- b. DMMC staff should consult with CMAP, IDOT, FHWA, and/or FTA staff to determine if the scope change is major or minor.

2. Minor scope changes

- a. Scope changes are considered minor if they are incidental to the design process, result in no changes to NEPA requirements, have no significant impact

3. Major scope changes

- a. Scope changes are considered major if they impact NEPA requirements, have a significant impact on cost estimates, require the addition or deletion of TIP work types or require a formal TIP amendment.
- b. Major scope changes must be re-evaluated using the methodology used in the most recent call for projects cycle.
- c. If the re-evaluation results in the project receiving more points than any other project included in the active program during the most recent call for projects, DMMC may approve the scope change.

Commitments

1. Funding

By applying for and accepting funding, the sponsor is committed to providing all required local matching funds and for any differences in cost between the awarded federal funding and actual costs.

2. Communication

By applying for and accepting funding, the sponsor is committed to communicating all changes to project scope, schedule, status, and budget to the selecting body in a timely manner.

3. Federal and State requirements (NEPA, GATA, QBS, etc.)

The sponsor must comply with all relevant federal, state, regional, and local laws, regulations, and policies regarding project implementation and use of federal funding, including but not limited to: a. National Environmental Policy Act (NEPA) b. Grant Accountability and Transparency Act (GATA) and 2 CFR 200. Public Act 102-1092 amended GATA and provided that requirements under the Act do not apply to awards to local agencies for federally funded projects because those awards are governed by and must comply with 2 CFR 200. However, until adjustments to IDOT policies and procedures for compliance with 2 CFR 200 are completed, sponsors may continue to be required to utilize the state's Grant Management System, which in turn may require GATA prequalification. Sponsors are responsible for meeting all requirements of GATA and 2 CFR 200, as directed by IDOT. c. Qualifications Based Selection (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 in order to facilitate execution of local agency and engineering agreements as soon as possible after the start of the FFY. Additional information regarding QBS can be found in the IDOT Bureau of Local Roads and Streets Manual

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.

The programming of cost increases is limited by fiscal constraint and dictated by the status of the project phase at the time of the request, as described below.

Construction/Construction Engineering (processed through IDOT)

Requests made prior to the submittal of draft agreements, including when the phase is programmed in out years, may be approved and programmed in the same FFY that the phase is programmed in at the time of the request. b. Requests made after the submittal of draft agreements may be approved and programmed in the current year only if the approval is made and the corresponding PPI revisions are approved prior to the “Program Revisions Due” date shown on the IDOT letting schedule for the target letting and IDOT staff confirms in writing (US Mail or email) that the final agreements and federal authorization request will reflect the increased funding. Otherwise, if approved, the increase must be programmed in the following FFY. After funds are obligated/authorized and the project has been let, requests for cost increases may be approved for programming as a separate line item in the current year of the program only if at least 75% of the already obligated funds have been expended or if the duration of the construction contract is less than the number of business days left in the FFY at the time of the request. Otherwise, requests may be approved for programming as a separate line item in the first out year of the program.

All cost changes (increases or decreases) must be reflected in DMMC’s published program. Following publication of an updated program, cost changes must be reflected in CMAP’s TIP. Cost changes are not official until they are reflected in the TIP. Notification of the cost change approval must be made in writing (via US Mail or email) to the sponsor, preferably via a revised award letter. This notification and the request for the change must be attached to the project in eTIP prior to submitting TIP changes. Notification must be made in writing (via US Mail or email) to the sponsor if a requested increase is not approved. The reason the request was denied should be included in the notification. This notification and the request for the change must be attached to the project in eTIP.

Transferring Funds Between Phases

STP funds are programmed by project phase, not by the overall project or sponsor, therefore sponsors may not “transfer” unneeded or unused funds from one phase(s) of a project to another phase(s) of that project, or to another project(s) within their jurisdiction, except:

1. Construction/Construction Engineering: The amount of funds separately programmed for Construction and Construction Engineering may be adjusted as long as the total for the two phases combined remains the same and both phases meet the minimum requirements for nonfederal matching funds.

2. Multi-phase Engineering agreements

With the permission of the selecting body, CMAP staff, and IDOT, if a bi-phase or tri-phase agreement will be executed for engineering phases, the funds programmed for these phases may be combined. This combination requires the funding for the combined phases to be programmed in the same FFY prior to combination.

Any additional CMAP Active Program Management Policies not expressly written into the above sections are incorporated into DMMC’s STP Handbook by reference. Project sponsors are required to follow all APM Policies as approved by CMAP.

CMAP Active Program Management Policies Document:

<https://www.cmap.illinois.gov/documents/10180/931110/STP+APM+Policies+++approved+9-25-18.pdf/9f751522-021c-a029-ca8f-c75ba9d13e41>

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.

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 an 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 STP funding consideration.

2. Project Inclusion in the Active Program

DMMC will issue a Call for Projects in October of odd numbered years. Project review and program development will generally occur between January and March. and. Active and Contingency programs will be submitted to CMAP before CMAP's June MPO Policy Committee meeting

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 I 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 processed 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, DMMC recommends 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 pre-qualified 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 "pre-construction" 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 from the STP program. To prevent such circumstances from arising, early coordination with IDOT is essential.

The 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
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(630) 571-0480

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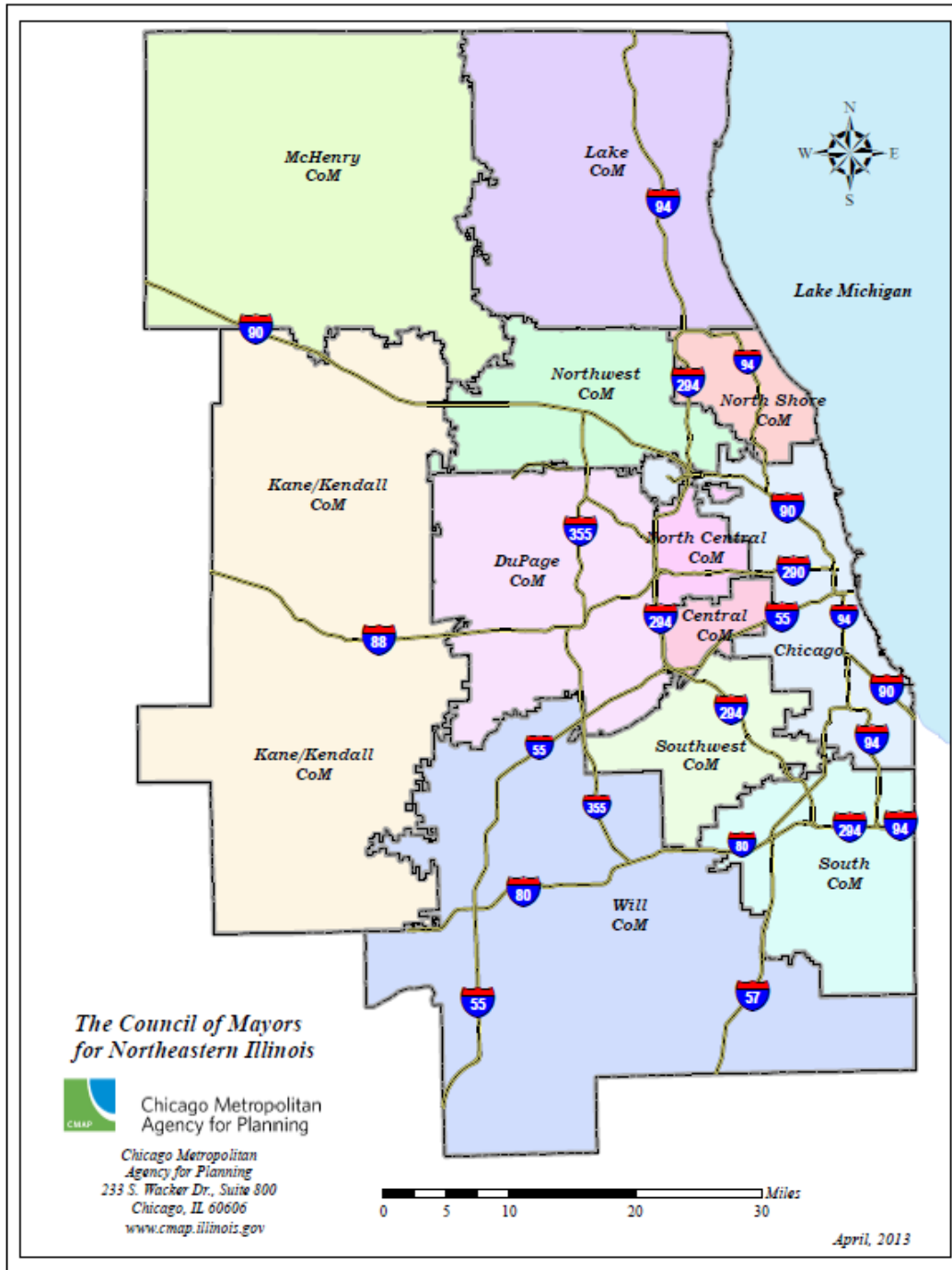
*Kama Dobbs, Policy and Programming Senior
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Appendix B

Council of Mayors Boundaries



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.