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MEMORANDUM

To: CMAQ Project Selection Committee
From: CMAP staff
Date: June 20, 2013
Re: CMAQ May 2013 Status Updates – Reason for Delay Analysis

This memo is a follow up to the report on the May 2013 semiannual status updates provided at the May 23rd CMAQ PSC meeting; the table *Impacts to FFY 2013 CMAQ Program based on May Status Updates* is available on the Committee webpage with the May 23rd meeting materials. This memo focuses on projects that have experienced delays and the reasons for those delays. May status updates were submitted for 301 line items, ranging in original program year from 2004 to 2016. Federal Fiscal Year (FFY) 2013 project phases that had already met their accomplishment target were not asked to submit a status update. There were 27 line items with a programmed amount of \$50.4 million in this category. The obligations in FFY 2013 for these twenty seven project phases were \$45.1 million; slightly lower than the programmed amount due to low bids and other factors. Provided below are analyses of the reasons for delay for current FFY 2013 line items, the reasons for delay on all deferred line items, and the May 2013 reasons for delay on line items that reported no delay last October but are now reporting delays.

Status updates were submitted for 145 line items for projects with CMAQ funds programmed in FFY 2013. The number of line items and the CMAQ funds involved are broken out by sponsor group below. The Council of Mayors is the largest reporting group in terms of number of line items, followed by the city of Chicago and the counties; however the city of Chicago and the county line items have the most CMAQ funding, at \$102 million and \$57 million, respectively.

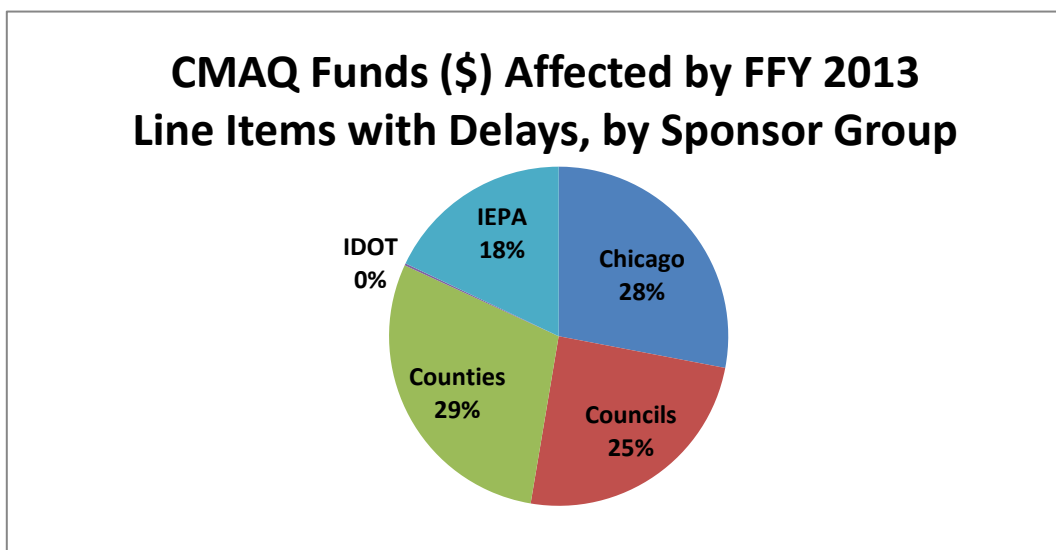
FFY 2013 Line Items Reported by Sponsor Group		
Sponsor Group	Line Items	CMAQ Funds Affected (Federal \$)
Chicago	37	\$101,556,455
Councils	63	\$30,545,594
Counties	31	\$56,893,090
IDOT	12	\$6,047,400
IEPA	2	\$18,704,000
Totals	145	\$213,746,539

Analysis of delay for current FFY 2013 line items

For the 145 CMAQ line items programmed in FFY 2013, nearly half (70) reported “no delay”. Prior to reviewing the specific reasons for delay, a breakout of the number and cost of the projects reporting delays by sponsor group is provided below.

FFY 2013 Line Items with Delays by Sponsor Group			
Sponsor Group	Line Items	% of Sponsor's Line Items	CMAQ Funds Affected (Federal \$)
Chicago	22	59.5%	\$29,200,067
Councils	39	61.9%	\$25,711,272
Counties	11	35.5%	\$30,478,061
IDOT	1	8.3%	\$209,000
IEPA	2	100.0%	\$18,704,000
Totals	75	Avg 51.7%	\$104,302,400

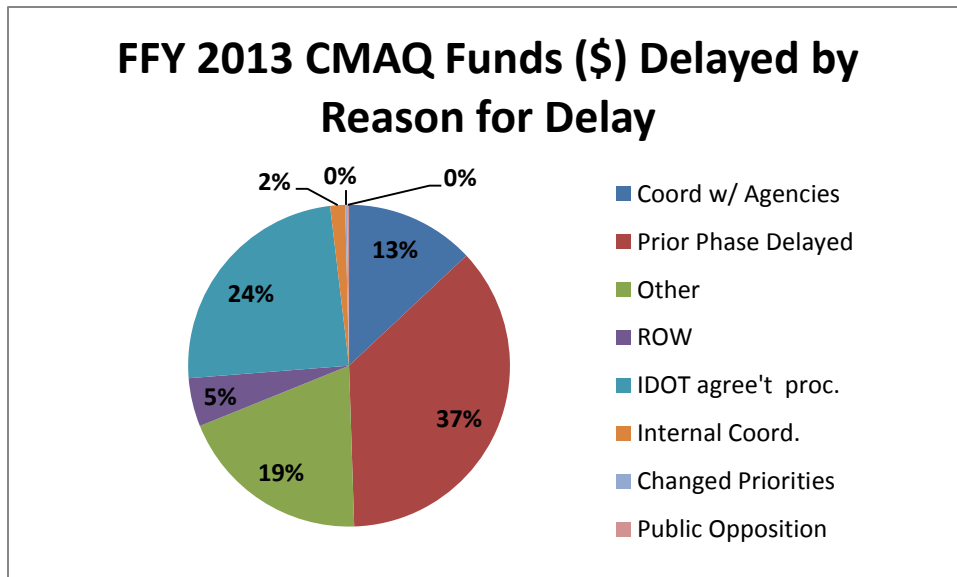
The suburban municipal sponsors (Council of Mayors sponsor group) have the largest number of project phases delayed for the 2013 program year (52%), however because those projects are generally smaller than those of the city of Chicago and the Counties, those lines only involve 25% of the CMAQ funding identified as delayed in 2013. The sponsor groups with the largest amount of CMAQ funds delayed for 2013 line items are the Counties at \$30.5 million (29%) and the city of Chicago at \$29.2 million (28%).



The 145 FFY 2013 responses are tabulated below with the CMAQ dollars impacted, broken out by the reasons for those delays or the response “no delay”. The chart below the table provides the percentages for each type of delay.

FFY 2013 Line Items - Delay Responses		
Reasons for Delay/No Delay	Line Items	CMAQ Funds Affected (Federal \$)
No Delay	70	\$109,444,139
Prior Phase Delayed	29	\$38,052,546
Coordination w/ Other Agencies	13	\$13,565,967
IDOT agreement processing	10	\$25,407,494
Other	8	\$20,228,804
ROW	6	\$5,082,246
Internal Coordination.	6	\$1,564,343
Sponsor's changed Priorities	2	\$192,000
Public Opposition	1	\$209,000
Totals	145	\$213,746,539

Of the 75 lines with delays reported, the most common (39% of the line items) response was “prior phase delayed”. “Prior phase delayed” affected 37% of the funds subject to delay. The second most common response (17% of the line items) was “coordination with other agencies” which impacted 13% of the federal funds. The reason for delay that had the second largest financial impact (24% of the federal funds) was “IDOT Agreement Processing”. However agreement processing was the response for only 13% of the line items; suggesting that agreement processing is a more frequent problem on larger, more complex projects.

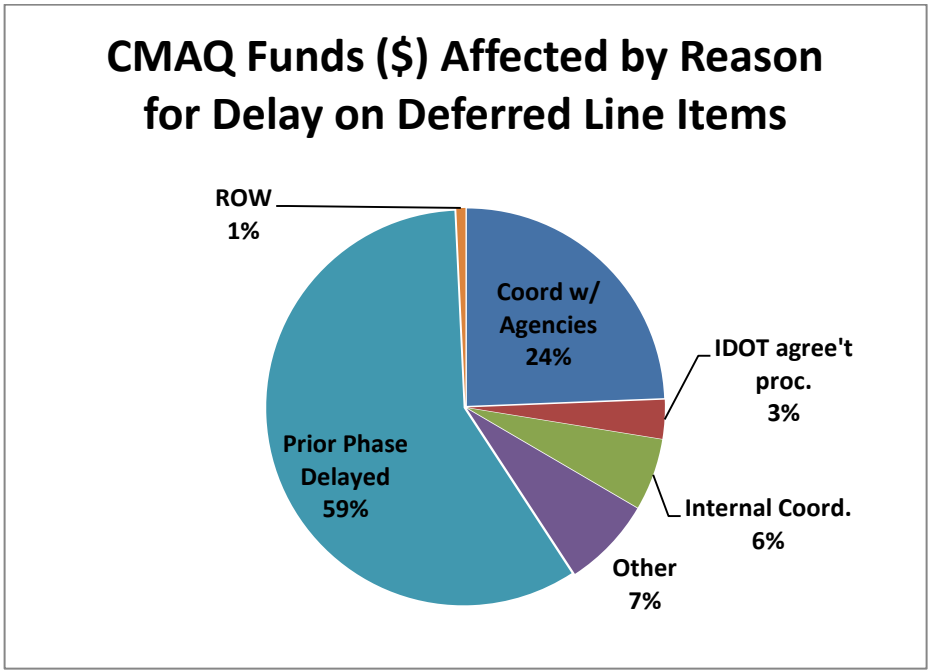


Analysis of deferred line items’ reasons for delay

Of the 301 line items reported for all programming years through FFY 2015, 71 line items had a status of deferred. Of those, 11 reported no delay (i.e. the line item itself is not delayed, but is deferred due to deferral of prior phases of work for that project).

Delay Responses on Deferred Line Items		
Reasons for Delay/No Delay	Line Items	CMAQ Funds Affected (Federal \$)
Prior Phase Delayed	29	\$31,443,284
Coordination w/ Other Agencies	11	\$13,106,701
No Delay	11	\$6,020,434
Internal Coordination	9	\$3,156,653
IDOT Agreement Processing	5	\$1,711,314
Other	5	\$3,959,164
ROW	1	\$400,000
All Responses	71	\$59,797,550

Among the deferred projects, for those line items reporting delay, “prior phase delayed” was most often cited (49% of the line items) which impacted 59% of the federal funds that were delayed. “Coordination with other agencies” was next with 18% of the line items which impacted 24% of the funding. The third most often cited reason was “internal coordination” (15% of the line items), which impacted only 3% of the funding. “Other” reasons had the fourth largest impact by dollars affected, 7%. The percentage breakdown of the funding affected, by reason for delay, among the deferred project line items is supplied in the chart below.

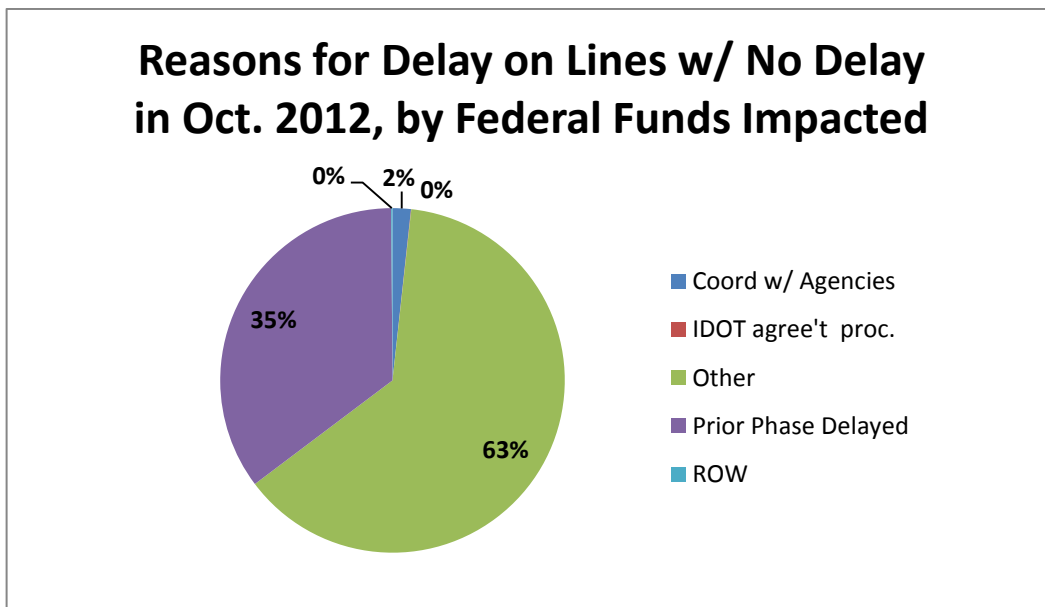


Analysis of 2013 line items reporting delays in May 2013, but no delay in October 2012

The reasons for delay that sponsors reported in May 2013 were compared to line items reporting “no delay” in October 2012 to see if any patterns emerged. It is a relatively small sample (12 line

items), with the largest number of new reports of delay being “prior phase delayed” which was reported in six instances , however this only represents 35% of the funding that experienced new delays in May.

May 2013 Reasons for Delay on FFY 2013 Line Items reporting No Delay in Oct. 2012		
Reasons For Delay (May)	Line Items	CMAQ Funds Affected (Fed \$)
Prior Phase Delayed	6	\$9,498,600
Other	2	\$17,019,000
Coordination w/ Other Agencies	2	\$464,000
ROW Issues	1	\$33,000
IDOT agreement processing	1	\$8,000
All Reasons	12	\$27,022,600



Regarding the financial impact of new delays reported in May, the largest reporting category is “other”; with over \$17.0 million dollars now delayed that were not experiencing delays in October 2012. The two projects, both county DOT sponsored, are the DuPage County Signal Interconnect project: Central Signal System - Phase II (08-12-0012) at \$ 80,000 which reports that a requirement for a federal report on the Central Signal System-Phase I project has delayed the start of the Central Signal System-Phase II project. The other, Lake County DOT’s bottleneck elimination project: Washington St/CH A-22 at CN/Metra Crossing (10-08-0031) with \$16.94 million in CMAQ funds is reporting that ICC funds totaling \$4.62 million for the project will not be available until State fiscal year 2015, so they cannot implement until late FFY 2014.

Conclusion

Overall the May status update process went smoothly and sponsors were responsive to the inquiries from staff and the planning liaisons. Reviewing the responses against known delays and issues it appears that sponsors are becoming more comfortable reporting delays and less prone to unrealistic optimism.

FFY 2013 project phases that have already met their accomplishment target totaled 27 line items, for \$45.1 million in obligations. Of the 145 line items with funds programmed in FFY 2013 that were queried, nearly half are still on track for accomplishment within the year. If most of those 70 projects, at a programmed amount of \$109.4 million, stay on track, combined with the \$45.1 million already obligated, the region will exceed its \$123 million obligation goal for the year. The projects that have already experienced delays appear to be slightly larger projects than those still on track. This gives rise to concerns that the larger projects still on track are more likely to fall behind over the summer. Staff will continue to monitor the program's progress over the next few months with the aim of meeting the region's obligation goal and ultimately reducing the region's unobligated balance.

The reasons for delay are quite varied with "prior phase delayed", "IDOT agreement processing" and "other" being the three most frequent. "Prior phase delayed" impacted 59% of the 2013 funds delayed (\$38.1 million) and 35% of funding delayed (\$9.5 million) on lines that were reported as delayed in May but were not reported delayed in October. Looking at the deferred projects in all program years, the major impact is again prior phase delays which affects 59% of the funding delayed on deferred line items (\$31.4 million.)

Over time, as more of the program is developed under the revised CMAQ programing and management policies that were established in June 2012 and phase one engineering is complete prior to projects being added to the program, delays due to this reason should drop dramatically. Deferring projects that experience delays beyond the year programmed plus two years (sunset) will further remove problem projects from the mix, allowing projects that are moving forward expeditiously to be advanced or added to the program.

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