



Chicago Metropolitan Agency for Planning

233 South Wacker Drive
Suite 800
Chicago, Illinois 60606
312 454 0400
www.cmap.illinois.gov

January 30, 2017

REQUEST FOR PROPOSALS (RFP) NO. 160

FOR PROFESSIONAL SERVICES PERTAINING TO FINANCIAL AUDITS

The Chicago Metropolitan Agency for Planning (CMAP) is requesting proposals from interested firms to provide Professional Services Pertaining to Financial Audits, as described in the enclosed Request for Proposals (RFP).

CMAP will not be conducting a pre-bid information session, but will accept questions submitted by email to pdubernat@cmap.illinois.gov.

If your firm is qualified and experienced in providing the described services, CMAP would appreciate receiving your proposal as indicated in the RFP. The deadline for submissions in response to the RFP is 3:00 p.m., February 24, 2017.

Thank you, and if you have any questions, please call me at (312) 386-8756.

Sincerely,

Penny DuBernat
Procurement Officer
pdubernat@cmap.illinois.gov

Enclosure

REQUEST FOR PROPOSALS (RFP) NO. 160

FOR PROFESSIONAL SERVICES PERTAINING TO FINANCIAL AUDITS

The Chicago Metropolitan Agency for Planning (CMAP) invites appropriate firms to submit proposals for professional services pertaining to financial audits, as described in this scope of work. Please read each section carefully for information regarding the proposal and submittal instructions.

SECTION 1: Background and General Information

About CMAP

The Chicago Metropolitan Agency for Planning (CMAP) is our region's official comprehensive planning organization. The agency and its partners are developing ON TO 2050, a new comprehensive regional plan to help the seven counties and 284 communities of northeastern Illinois implement strategies that address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. See www.cmap.illinois.gov for more information.

Background/Statement of Purpose

CMAP requires that an audit of all CMAP funds be conducted annually by an independent Certified Public Accounting firm. The audits are to be performed in accordance with generally accepted auditing standards, the standards set forth for financial audits in the U.S. general Accounting Offices (GAO) Government Auditing Standards, the provisions of the Federal Single Audit Act of 1984 and U.S. Office of Management and Budget (OMB) Circular A-133 Audits of State, Local Governments and Non-Profit Organizations. CMAP is soliciting the services of qualified firms of certified public accountants to prepare CMAP's Annual Financial Report and audit the financial statements for the fiscal years ending June 30, 2017, June 30, 2018 and June 30, 2019, with the option to audit its financial statements for each of the two subsequent years. Preparations of the annual Single Audit Report will also be completed for the same time periods.

Description of Entity and Records:

CMAP was created by State of Illinois legislation and is considered a unit of local government. It is governed by a fifteen-member board of directors and serves the seven-county Chicago metropolitan region. The Chairman of the Board is elected by the Board and presides over Board meetings. The Board appoints the Executive Director. All other positions are under the administration of the Executive Director. CMAP has approximately 100 employees for Fiscal Year 2017. An organizational chart for the Agency is included in Attachment 5. Funds to support the Agency are obtained through Federal, State and local grants and contracts and contributions from local governmental units, corporations and foundations. For Fiscal Year 17 there are 16 active grants from these various funding sources. The U.S. Environmental Protection Agency currently serves as the "oversight" agency for audit purposes.

Accounting and payroll functions are performed in-house on a PC Network Server using SunGard OneSolution software. It is maintained and supported by SunGard Public Sector of Chico, CA. Accounting records are kept on an accrual basis. The budget for FY2017 is approximately \$21.5 million. A copy of the approved FY 2017 budget is included in Attachment 6 and a copy of the FY2016 financial audit is in Attachment 7.

General Information

As a result of responses to this RFP, CMAP plans to review submissions and conduct interviews with selected firms it determines can best meet the requirements outlined below. Negotiations will be held on both the scope and the cost with selected firms that CMAP believes can best satisfy its requirements at rates it perceives are reasonable for the services provided. Subject to "Reservation of Rights" below, it is anticipated that a contract will be awarded for three years in length with two one-year options for renewal.

SECTION 2: Scope of Project and Procurement Details

Scope of Services and Audit Specifications:

- a) The auditor shall, at such time or times as they shall determine, with proper notification to the CMAP Finance Officer, make an audit and examination of the books, records, inventories and officers and employees of CMAP who receive, handle or disburse funds for the Agency. In order to express an opinion upon the financial statements of CMAP, a final report should be issued no later than November 1 after the close of the fiscal year. The auditing firm shall employ all generally accepted auditing standards deemed necessary by their staff. The audit shall be conducted in accordance with generally accepted auditing standards and shall include such tests of the accounting records and other such auditing procedures applicable in the circumstances as to enable the auditors to express an opinion upon the financial statements of CMAP. Audit procedures shall be performed which encompass the financial and compliance standards described in Government Auditing Standards, issued by the Comptroller General of the United States; Office of Management of Budget Circular A – 133, Audits of State and Local Governments and Non-Profit Organizations. If circumstances should, in the judgment of the auditors, prevent the expression of an unqualified opinion upon the financial statements taken as a whole, such opinion shall be qualified or omitted, but the auditor's report shall contain a statement of the reasons for the qualification or omission.
- b) The auditor shall render reports covering the period July 1, 2016 to June 30, 2017 and for each subsequent fiscal year of the contracted period. The auditor shall provide 50 copies of the final report by November 1st, of each year. See Attachment 7 as an example of an acceptable Annual Financial Report. In addition to the final report the auditor shall advise the Board immediately of a defalcations or unusual or consequential irregularities and procedures coming to their attention. The auditors shall, without charge, make available their work papers to any federal or state agency upon request and in accordance with federal and state law and regulations.
- c) Reports of compliance examinations must include a statement that the examination was conducted in accordance with applicable auditing standards. The audit report must state whether the examination disclosed instances of significant noncompliance or ineligible expenditures and must be presented in enough detail for management to be able to clearly understand them.
- d) The auditor shall provide for availability of its team for consultation and on-going auditing needs.
- e) Assigned audit staff will not change in any one fiscal year audit without CMAP management approval.
- f) Accounting records will be available in good order, and assistance of staff will be provided during the audit period. The following will also be provided by CMAP staff:
 - a. Year-end schedules, including outstanding receivables and payables, withholding, investments, depreciation, etc.
 - b. Preparation of confirmation letters to granting and contributing entities as determined by the audit firm and bank confirmation forms.
 - c. Schedule of grants with beginning and ending dates, amount, match required, etc.
 - d. Trial balance.
 - e. Other assistance as needed by mutual agreement.
- g) Both current and cumulative grants schedules will be prepared by the audit firm.
- h) As soon as possible after contract award to the audit firm, a pre-audit field work meeting should be held with CMAP staff to discuss confirmations, schedules preparation, payment schedule, etc.

- i) The audit firm will certify a final indirect cost rate for the fiscal year which has been prepared in accordance with regulations under OMB Circular A-87.
- j) The audit firm will prepare the Schedule of Federal Financial Assistance in accordance with OMB Circular A-133.

Timeframe Schedule

January 30, 2017:	Release RFP
February 24, 2017:	Proposals due
March 6-10, 2017:	Interview finalists
April 12, 2017:	Recommendation to CMAP Board for consultant selection

Evaluation Criteria

All proposals submitted in response to this request for proposals will be analyzed for completeness and cost effectiveness. The following criteria will be used in evaluating proposals:

1. Qualifications of firm in local governmental auditing.
2. Technical Ability which would include the sub-criteria listed in relative order of importance.
 - a) Qualifications of assigned staff including local governmental audit experience.
 - b) Demonstrated understanding of the audit requirements.
 - c) Firm's approach for conducting the audit.
3. Price of Service. Reasonableness of price for the entire project including option years.

All timely responses received to this scope of work will be reviewed and interviews may be conducted with selected submitters CMAP determines can best meet the above requirements. Cost will be evaluated against other factors based upon the professional judgment of those involved in the evaluation. An internal CMAP committee will make the consultant selection decision.

As applicable, hourly rates for personnel the submitter proposes to use will be requested and negotiations will be held on both the scope and the cost to select the consultant CMAP believes can best satisfy its requirements at rates it perceives are reasonable for the services provided.

SECTION 3: Submittal Requirements

Proposals must be received at CMAP on or before 3:00 p.m. Friday February 24, 2017

Submissions should be submitted in the order presented:

1. Introduction. Describe the firm providing a general description of your firm's structure, experience, services and staff and demonstrate an understanding of the audit requirements.
2. Audit Approach. Describe how the auditing firm proposes to perform the audit.
3. Auditor Qualifications. Discuss the qualifications of the firm to satisfy the specification requirements as stated above. Be specific with regard to the following:
 - a) Indication of general experience and ability to satisfy the specification requirements as stated above.
 - b) Discussion of experience in governmental auditing assignments. Include in the section, references to current or recent (past three years) clients, identification of the scope of work performed, term of each engagement and the names of contact individuals with their addresses and telephone numbers.
 - c) Knowledge of federal and state grants.

- d) Maintenance of a formal education program that provides training for staff, auditors and managers.
4. Audit Team. Identify individuals who will make up the engagement team and where they are positioned in the firm. Pertaining to each individual, specifically provide the following.
 - a) Experience with regard to the governmental area and knowledge of requirements for auditing that type of activity.
 - b) Identification of training they may have received that is pertinent to CMAP's requirements.
 - c) Experience in electronic data processing auditing.
 - d) A resume.
5. Complete the "Price Proposal Form," Attachment 1, with all proposed pricing for this project. Specify hourly rate and titles for relevant staff and any other expenses in the estimation of cost.
6. Sign and submit the "Certificate Regarding Workers' Compensation Insurance," Attachment 2, the "Information to be provided by Bidder," Attachment 3, and "Certification for Contracts, Grants, Loans, and Cooperative Agreements," Attachment 4.

Submission of Proposals

Proposals must be submitted to CMAP no later than 3:00 p.m. February 24, 2017. Three (3) paper copies of all proposals as well as one (1) electronic, must be submitted no later than 3:00 p.m. on Friday February 24, 2017. Submissions must be in a sealed package or envelope. The applicant's organization name and address shall appear in the upper left corner of the package.

Submission of RFP by fax or e-mail is not acceptable. Submissions may be delivered to CMAP in person or sent (by U.S. Postal Service or other reliable means) to the following address:

Chicago Metropolitan Agency for Planning
Attn: Procurement Officer
Response to RFP No. 160
233 S. Wacker Drive, Suite 800
Chicago, IL 60606

There will be no public opening for this RFP. Late submissions will be rejected and returned unopened. Questions may be referred to Penny DuBernat, (312) 386-8756 or Email: pdubernat@cmaphillinois.gov.

SECTION 4: Contractual Agreement and Rights

Contractual Agreement

The contract CMAP anticipates awarding as a result of this RFP and subsequent rate submissions and negotiations, if any, will indicate the service requirements, time periods involved and applicable hourly rates. In addition, it will include the General Provisions, Section 5 hereto, and Special Provisions, Section 6 hereto, which will apply to the contract.

Reservation of Rights

CMAP reserves the following rights if using them will be more advantageous to CMAP:

- 1) Withdraw this RFP at any time without prior notice.
- 2) Accept or reject any and all submissions, or any item or part thereof
- 3) Postpone qualifications due date.
- 4) Not award a contract to any submitter responding to this RFP.
- 5) Award a contract without negotiations or discussions.

Contractors who are or have been seriously deficient in current or recent contract performance in the absence of evidence to the contrary or circumstances properly beyond the control of the Contractor shall be presumed to be unable to meet these requirements. Past unsatisfactory performance will ordinarily be sufficient to justify a finding of non-responsibility.

SECTION 5: General Provisions

The following provisions apply to the solicitation to which this section is attached and to any contract that results from the solicitation. Signatories of this Agreement certify that these conditions and procedures and terms and the conditions and procedures specific to this project will be adhered to unless amended in writing.

1) Complete Agreement.

- a) This Agreement (which also may be herein referred to as "Contract"), including all exhibits and other documents incorporated or referenced in the agreement, constitutes the complete and exclusive statement of the terms and conditions of the agreement between CMAP and Contractor and it supersedes all prior representations, understandings and communications. The invalidity in whole or in part of any term or condition of this Agreement shall not affect the validity of other terms or conditions.
- b) Order of Precedence: Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the provisions of the executed contract, including its exhibits; (2) the provisions of the RFP on which the contract is based including any and all Addendums; (3) the proposal submitted to CMAP by the Contractor in response to said RFP; and (4) any other documents cited or incorporated herein by reference.
- c) CMAP's failure to insist in any one or more instances upon the performance of any terms or conditions of this Agreement shall not be construed as a waiver or relinquishment of CMAP's right to such performance by Contractor or to future performance of such terms or conditions and Contractor's obligation in respect thereto shall continue in full force and effect. Contractor shall be responsible for having taken steps reasonably necessary to ascertain the nature and location of the work, and the general and local conditions that can affect the work or the cost thereof. Any failure by Contractor to do so will not relieve it from responsibility for successfully performing the work without additional expense to CMAP.
- d) CMAP assumes no responsibility for any understanding or representations made by any of its officers, employees or agents prior to the execution of this Agreement, unless such understanding or representations by CMAP are expressly stated in this Agreement.
- e) Changes: CMAP may from time to time order work suspension or make any change in the general scope of this Agreement including, but not limited to changes, as applicable, in the drawings, specifications, delivery schedules or any other particular of the description, statement of work or provisions of this Agreement. If any such change causes an increase or decrease in the cost or time required for performance of any part of the work under this Agreement, the Contractor shall promptly notify CMAP thereof and assert its claim for adjustment within thirty (30) days after the change is ordered. A written amendment will be prepared for agreement between CMAP and the Contractor for changes in scope, time and/or costs. No amendments are effective until there is a written agreement that has been signed by both parties. No claim by the Contractor for equitable adjustment hereunder shall be allowed if asserted after final payment under this Agreement.

- f) Changes to any portion of this Agreement shall not be binding upon CMAP except when specifically confirmed in writing by an authorized representative of CMAP.
- g) For its convenience, CMAP reserves the right to extend the Term of this agreement. Any changes to the Term of this Agreement shall not be binding until specifically confirmed in writing by authorized representatives of both parties.
- 2) Chicago Metropolitan Agency for Planning Designee. Only the Executive Director of CMAP, or designee, shall have the authority to act for and exercise any of the rights of CMAP as set forth in this Agreement, subsequent to and in accordance with the authority granted by CMAP's Board of Directors.
- 3) Compliance/Governing Law. The terms of this Agreement shall be construed in accordance with the laws of the State of Illinois. Any obligations and services performed under this Agreement shall be performed in compliance with all applicable state and federal laws.
- 4) Availability of Appropriation (30 ILCS 500/20-60). This Agreement is contingent upon and subject to the availability of funds. CMAP, at its sole option, may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if the Illinois General Assembly, the state funding source, or the federal funding source fails to make an appropriation sufficient to pay such obligation, or if funds needed are insufficient for any reason. CONTRACTOR will be notified in writing of the failure of appropriation or of a reduction or decrease.
- 5) Allowable Charges. No expenditures or charges shall be included in the cost of the Project and no part of the money paid to the Contractor shall be used by the Contractor for expenditures or charges that are: (i) contrary to provisions of this Agreement or the latest budget approved by a duly-authorized official of CMAP; (ii) not directly for carrying out the Project; (iii) of a regular and continuing nature, except that of salaries and wages of appointed principal executives of the Contractor who have not been appointed specifically for the purposes of directing the Project, who devote official time directly to the Project under specific assignments, and respecting whom adequate records of the time devoted to and services performed for the Project are maintained by the Contractor may be considered as proper costs of the Project to the extent of the time thus devoted and recorded if they are otherwise in accordance with the provisions hereof; or (iv) incurred without the consent of CMAP after written notice of the suspension or termination of any or all of CMAP's obligations under this Agreement.
- 6) Method of Payment.

Project expenditures are paid directly from federal and/or state funds. Because CMAP is responsible for obtaining federal reimbursement for project expenditures, it is necessary that CMAP monitor all procedures and documents which will be used to claim and support project-related expenditures. The following procedures should be observed to secure payment:

- a) Based on services performed, Contractor may submit invoices as frequently as once a month. CMAP is committed to reducing paper use and has established an electronic invoicing system. All invoices are to be submitted through email to:

accounting@cmapp.illinois.gov

All invoices shall be signed by an authorized representative of the CONTRACTOR

- b) Subject to the conditions of this Agreement, CMAP will honor invoices in amounts deemed by it to be proper to insure the carrying out of the approved scope of services and shall be obligated to pay the Contractor such amounts as may be approved by CMAP. Invoices shall detail expenses and amount of time spent on CMAP assignments. If an invoice is not acceptable, CMAP shall promptly provide the Contractor a written statement regarding its ineligibility or deficiencies to be eliminated prior to its acceptance and processing. All invoices for services performed and expenses incurred by CONTRACTOR for the services of this Agreement must be presented to CMAP no later than fifteen (15) days after the end of this Agreement. Notwithstanding any other provision of this

Agreement, CMAP shall not be obligated to make payment to CONTRACTOR on invoices presented after said date. No payments will be made for services performed prior to the effective date of this Agreement. All payments will be transferred electronically to Contractor's business bank account. The successful Contractor will be requested to provide transfer numbers for the business bank account when the contract is finalized.

- 7) Audits. The records and supportive documentation for all completed projects are subject to an on-site audit by CMAP. CMAP reserves the right to inspect and review, during normal working hours, the work papers of the independent auditor in support of their audit report.
- 8) Access to Records.
 - a) The Contractor and its subcontracts under this Agreement shall preserve and produce upon request of the authorized representatives of CMAP all data, records, reports, correspondence and memoranda of every description of the Contractor and its subcontractors, if any, under this Agreement relating to carrying out this Agreement for the purposes of an audit, inspection or work review for a period of three (3) years after completion of the project, except that:
 - i) If any litigation, claim or audit is started before the expiration of three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
 - ii) Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.
 - b) The Contractor shall include in all subcontracts, if any, under this Agreement a provision that CMAP will have full access to and the right to examine any pertinent books, documents, papers, and records of any such subcontractor involving transactions related to the subcontract for three (3) years from the final payment under that subcontract except that:
 - i) If any litigation, claim or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
 - ii) Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.

The term "subcontract" as used in this clause excludes purchase orders not exceeding \$2,500.

9) Cost Category Transfer Request.

Notification to CMAP is required for transfers among appropriated cost categories which exceed 15% of the line item. No transfer of funds can exceed the total Agreement. The CONTRACTOR must submit a written report (form provided by CMAP) to CMAP detailing the amount of transfer, the cost categories from and to which the transfer is to be made, and rationale for the transfer.

- 10) Procurement Procedures. All procurement transactions for Contractual Services, Commodities and Equipment shall be conducted in a manner that provides maximum open and free competition. The CONTRACTOR shall also meet the following minimum procedural requirements.
 - a. Subcontracting: Subcontracting, assignment or transfer of all or part of the interests of the CONTRACTOR concerning any of the obligations covered by this Agreement is prohibited without prior written consent of CMAP.
 - b. Procurement of Goods or Services: For purchases of products or services with any Agreement funds that cost more than \$3,000 but less than the simplified acquisition threshold fixed at 41 U.S.C. 403 (11), (currently set at \$100,000), the CONTRACTOR shall

obtain price or rate quotations from an adequate number (at least three) of qualified sources. Procurement of products or services with any Agreement funds that are in excess of \$100,000 will require the CONTRACTOR to use the Invitation for Bid process or the Request for Proposal process. In the absence of formal codified procedures of the CONTRACTOR, the procedures of CMAP will be used, provided that the procurement procedures conform to the provisions in (K) below. The CONTRACTOR may only procure products or services from one source with any Agreement funds if: (1) the products or services are available only from a single source; or (2) CMAP authorizes such a procedure; or (3) after solicitation of a number of sources, competition is determined inadequate.

- c. Records. The CONTRACTOR shall maintain records sufficient to detail the significant history of procurements. These records shall include, but are not necessarily limited to: information pertinent to rationale for the method of procurement, selection of contract type, contractor selection or rejection, and basis for the cost or price.
- d. No CONTRACTOR employee shall participate in the procurement of products or services if a conflict of interest, real or apparent, would be involved. No employee shall solicit or accept anything of monetary value from bidders or suppliers.

11) Equipment Inventory. An inventory of non-expendable personal property having a useful life of more than two years and an acquisition cost of \$500 or more is subject to periodic inspection by CMAP.

12) Suspension. If the Contractor fails to comply with the special conditions and/or the general terms and conditions of this Agreement, CMAP may, after written notice to the Contractor, suspend the Agreement and withhold further payments or prohibit the Contractor from incurring additional obligations of funds pending corrective action by the Contractor. If corrective action has not been completed within sixty (60) calendar days after service of written notice of suspension, CMAP shall notify the Contractor in writing that the Agreement has been terminated by reason of default in accordance with paragraph 11 hereof. CMAP may determine to allow such necessary and proper costs which the Contractor could not reasonably avoid during the period of suspension provided such costs meet the provisions of the U.S. Office Management and Budget 2 CFR 200 in effect on the date first above written.

13) Termination.

- a. This Agreement may be terminated in whole or in part in writing by either party in the event of substantial failure (hereinafter termed "Termination by Default") by the other party to fulfill its obligations under this Agreement through no fault of the terminating party, provided that no such termination may be affected unless the other party is given (i) not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to Termination by Default, and (ii) an opportunity for consultation with the terminating party prior to Termination by Default.
- b. This Agreement may be terminated in whole or in part in writing by CMAP for its convenience (hereinafter termed "Termination for Convenience"), provided that the Contractor is given not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to terminate.
- c. If Termination by Default is effected by CMAP, an equitable adjustment in the price provided for in this Agreement shall be made, but (i) no amount shall be allowed for anticipated profit on unperformed services or other work, and (ii) any payment due to the Contractor at the time of termination may be adjusted to the extent of any additional costs occasioned to CMAP by reason of the Contractor's default. If Termination by Default is effected by the Contractor, or if Termination for Convenience is effected by CMAP, the equitable adjustment shall include a reasonable profit for services or other work performed. The equitable adjustment for any termination shall provide payment to the Contractor for services rendered and expenses incurred prior to termination, in addition CMAP may include cost reasonably incurred by the Contractor relating to commitments which had become firm prior to termination.

- d. Upon notice of termination action pursuant to paragraphs (a) or (b) of this clause, the Contractor shall (i) promptly discontinue all services affected (unless the notice directs otherwise) and (ii) deliver or otherwise make available to CMAP all data, drawings, specifications, reports, estimates, summaries and such other information and materials as may have been accumulated by the Contractor in performing this Agreement, whether completed or in process.
 - e. Upon termination pursuant to paragraphs (a) or (b) of this clause, CMAP may take over the work and prosecute the same to completion by agreement with another party otherwise.
 - f. In the event the Contractor must terminate this Agreement due to circumstances beyond its control, the termination shall be deemed to have been effected for the convenience of CMAP. In such event, adjustment of the price provided for in this Agreement shall be made as provided in paragraph c of this clause.
- 14) Remedies. Except as may be otherwise provided in this Agreement, all claims, counterclaims, disputes and other matters in question between CMAP and the Contractor arising out of or relating to this Agreement or the breach thereof will be decided by arbitration. If the parties hereto mutually agree, a request for remedy may be sought from a court of competent jurisdiction within the State of Illinois, County of Cook.
- 15) Equal Employment Opportunity. The Contractor will comply with Executive Order 11246 entitled "Equal Employment Opportunity," as amended by U.S. Department of Labor regulations (41 CFR Part 60). In connection with the execution of this Agreement, the Contractor shall not discriminate against any employee or an applicant for employment because of race, religion, color, sex, national origin, ancestry, or physical or mental handicap unrelated to ability. The Contractor shall take affirmative actions to insure that applicants are employed and that employees are treated during their employment without regard to their race, religion, color, sex, national origin, ancestry, or physical or mental handicap unrelated to ability. Such actions shall include, but not be limited to, employment, promotion, demotion, transfer, recruitment, recruitment advertising, layoff, termination, rates of pay, other forms of compensation, and selection for training or apprenticeship. The Contractor shall cause the provisions of this paragraph to be inserted into all subcontractors work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that such provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.
- 16) Small and Minority Business Enterprise. In connection with the performance of this Agreement the Contractor will cooperate with CMAP in meeting its commitments and goals with respect to the maximum utilization of small business and minority business enterprises, and will use its best efforts to insure that small business and minority business enterprises shall have the maximum practicable opportunity to compete for subcontract work under this Agreement.
- 17) Political Activity. No portion of funds for this subcontract shall be used for any partisan political activity or to further the election or defeat of any candidate for public office.
- 18) Prohibited Interest.
- a. No officer or employee of CMAP and no member of its governing body and no other public official of any locality in which the Project objectives will be carried out who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of such objectives shall (i) participate in any decision relating to any subcontract negotiated under this Agreement which affects his personal interest or the interest of any corporation, partnership or association in which he is, directly or indirectly, interested; or (ii) have any financial interest, direct or indirect, in such subcontract or in the work to be performed under such contract.
 - b. No member of or delegate of the Illinois General Assembly or the Congress of the United States of America, and no federal Resident Commissioner, shall be admitted to any share hereof or to any benefit arising herefrom.

- c. The Contractor warrants and represents that no person or selling agency has been employed or retained to solicit or secure this Agreement, upon an agreement or understanding for a commission, percentage, bonus, brokerage or contingent fee, or gratuity, excepting its bona fide employees. For breach or violation of this warranty CMAP shall have the right to annul this Agreement without liability or, at its discretion, to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage bonus, brokerage or contingent fee, or gratuity.

19) Patents and Copyright Responsibility.

- a. The Contractor agrees that any material or design specified by the Contractor or supplied by the Contractor pursuant to this Agreement shall not infringe any patent or copyright and the Contractor shall be solely responsible for securing any necessary licenses required for patented or copyrighted material used by the Contractor.
- b. If any claim is brought against CMAP by third parties for alleged infringement of third-party patent and copyright and intellectual rights, which claim is caused by breach of the Contractor's promise as contained in paragraph a of this clause, the Contractor shall save harmless and indemnify CMAP from all loss, damage or expense (including attorney's fees) due to defending CMAP from such claim.
- b) If the principal purpose of this Agreement is to create, develop or improve products, processes or methods; or to explore into fields which directly concern public health, safety or welfare, or if the Project is in a field of science or technology in which there has been little significant experience outside of work funded by federal assistance; and any discovery or invention arises or is developed in the course of or under this Agreement, such invention or discovery shall be subject to the reporting and rights provisions of U.S. Office of Management and Budget Circular No. A-102, and to the pertinent regulations of the grantor agency(ies) in effect on the date of execution of this Agreement. The Contractor shall include provisions appropriate to effectuate the purpose of this condition in all subcontracts under this Agreement involving research, developmental, experimental or demonstration work.

20) Assignment.

- a. This agreement shall be binding upon, and inure to the benefit of, the respective successors, assigns, heirs, and personal representatives of CMAP and Contractor. Any successor to the Contractor's rights under this Agreement must be approved by CMAP unless the transaction is specifically authorized under federal law. Any successor will be required to accede to all the terms, conditions and requirements of the Agreement as a condition precedent to such succession.
- b. The Contractor shall not assign any interest in this Agreement and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of CMAP hereto, provided, however, that claims for money due or to become due to the Contractor from CMAP under this Agreement may be assigned to a bank, trust company or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished to CMAP.

21) Subcontracts.

- a. Any subcontractors or outside associates or contractors required by the Contractor in connection with the services covered by this Agreement will be limited to such individuals or firms as were specifically identified and agreed to during negotiations. Any substitutions in or additions to such subcontractors, associates or contractors will be subject to the prior approval of CMAP.
- b. All subcontracts for work under this Agreement shall contain those applicable provisions which are required in this Agreement.

- c. The Contractor may not subcontract services agreed to under this Agreement without prior written approval of CMAP.
- 22) Conflict of Interest. In order to avoid any potential conflict of interest, the Contractor agrees during the term of this Agreement not to undertake any activities which could conflict directly or indirectly with the interest of CMAP. Contractor shall immediately advise CMAP of any such conflict of interest. CMAP shall make the ultimate determination as to whether a conflict of interest exists.
- 23) Ownership of Documents/Title of Work. All documents, data and records produced by the Contractor in carrying out the Contractor's obligations and services hereunder, without limitation and whether preliminary or final, shall become and remain the property of CMAP. CMAP shall have the right to use all such documents, data and records without restriction or limitation and without additional compensation to the Contractor. All documents, data and records utilized in performing research shall be available for examination by CMAP upon request. Upon completion of the services hereunder or at the termination of this Agreement, all such documents, data and records shall, at the option of CMAP, be appropriately arranged, indexed and delivered to CMAP by the Contractor.
- 24) Software. All software, related computer programs, and source code produced and developed by the Contractor (or authorized contractor or subcontractor thereof) in carrying out the Contractor's obligation hereunder, without limitation and whether preliminary or final, shall become and remain the property of both CMAP and the Contractor. CMAP shall be free to sell, give, offer or otherwise provide said software and related computer programs to any other agency, department, commission, or board of the State of Illinois, as well as any other agency, department, commission, board, or other governmental entity of any country, state, county, municipality, or any other unit of local government or to any entity consisting of representative of any unit of government, for official use by said entity. Additionally, CMAP shall be free to offer or otherwise provide said software and related computer programs to any current or future contractor.
- a) CMAP agrees that any entity to whom the software and related computer programs will be given, sold or otherwise offered shall be granted only a use license, limited to use for official or authorized purposes, and said entity shall otherwise be prohibited from selling, giving or otherwise offering said software and related computer programs without the written consent of both CMAP and the Contractor.
- 25) Publication. CMAP shall have royalty-free, nonexclusive and irrevocable license to reproduce, publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data or other materials specifically prepared under this Agreement, and to authorize other material to do so. The Contractor shall include provisions appropriate to effectuate the purpose of this clause in all subcontracts for work under this Agreement.
- 26) Confidentiality Clause. Any documents, data, records, or other information given to or prepared by the CONTRACTOR pursuant to this Agreement shall not be made available to any individual or organization without prior written approval by CMAP. All information secured by the Contractor from CMAP in connection with the performance of services pursuant to this Agreement shall be kept confidential unless disclosure of such information is approved in writing by CMAP.
- 27) Reporting/Consultation. The Contractor shall consult with and keep CMAP fully informed as to the progress of all matters covered by this Agreement.
- 28) Identification of Documents. All reports, maps, and other documents completed as part of this Agreement, other than documents exclusively for internal use within the Contractor's offices, shall carry the following notation on the front cover or a title page or, in the case of maps, in the same area which contains the name of CMAP and of the Contractor. "This material was prepared in consultation with CMAP, the Chicago Metropolitan Agency for Planning, (<http://www.cmap.illinois.gov>)."

- 29) Force Majeure. Either party shall be excused from performing its obligations under this Agreement during the time and to the extent that it is prevented from performing by a cause beyond its control including, but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products, plants or facilities by the Federal, state or local government; national fuel shortage; or a material act of omission by the other party; when satisfactory evidence of such cause is presented to the other party, and provided further that such nonperformance is unforeseeable, beyond the control and is not due to the fault or negligence of the party not performing.
- 30) Workers' Compensation Insurance. The Contractor and any subcontractors shall, at their own expense, obtain and maintain Workers' Compensation insurance to cover persons employed in connection with services under this agreement. The limits for the Worker's Compensation coverage shall be no less than the statutory limits required by the State of Illinois. A certificate of insurance must be included with this contract.
- 31) Independent Contractor. Contractor's relationship to CMAP in the performance of this Agreement is that of an independent contractor. Contractor's personnel performing work under this Agreement shall at all times be under Contractor's exclusive direction and control and shall be employees of Contractor and not employees of CMAP. Contractor shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, including, but not limited to, social security, income tax withholding, unemployment compensation, workers' compensation insurance and similar matters.
- 32) Federal, State and Local Laws. Contractor warrants that in the performance of this Agreement it shall comply with all applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and regulations promulgated thereunder. Since laws, regulations, directives, etc. may be modified from time-to-time, the Contractor shall be responsible for compliance as modifications are implemented. The Contractor's failure to comply shall constitute a material breach of this contract.
- 33) Hold Harmless and Indemnity. Contractor shall indemnify, defend and hold harmless CMAP, its officers, directors, employees and agents from and against any and all claims (including attorney's fees and reasonable expenses for litigation or settlement) for any loss, or damages, bodily injuries, including death, damage to or loss of use of property caused by the negligent acts, omissions or willful misconduct of Contractor, its officers, directors, employees, agents, subcontractors or suppliers, in connection with or arising out of the performance of this Agreement.
- 34) Equal Employment Opportunities -- Affirmative Action Sexual Harassment. Contractor must comply with the Illinois Board of Human Rights Act and rules applicable to public funds, including equal employment opportunity, refraining from unlawful discrimination, and having written sexual harassment policies (775 ILCS 5/2-105).
- 35) International Boycott. Contractor certifies that neither Contractor nor any substantially owned affiliate is participating or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or the applicable regulation of the U.S. Department of Commerce. This applies to contracts that exceed \$10,000 (30 ILCS 582).
- 36) Forced Labor. Contractor certifies it complies with the State Prohibition of Goods from Forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to CMAP under this agreement have been or will be produced in whole or in part by forced labor, or indentured labor under penal sanction (30 ILCS 583).

Federally Funded Agreements

- A. **Standard Assurances** The Contractor assures that it will comply with all applicable federal statutes, regulations, executive orders, Federal Transit Administration (FTA) circulars, and other federal requirements in carrying out any project supported by federal funds. The Contractor recognizes that federal laws, regulations, policies, and administrative practices may be modified from time to time and those modifications may affect project implementation. The Contractor

agrees that the most recent federal requirements will apply to the project as authorized by 49 U.S.C. Chapter 53, Title 23, United States Code (Highways), the Moving Ahead for Progress in the 21st Century Act (MAP-21), the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), as amended by the SAFETEA-LU Technical Corrections Act of 2008, or other Federal laws.

B. Certification Regarding Lobbying

1. As required by 31 U.S.C. 1352 and U.S. DOT regulations, "New Restrictions on Lobbying," specifically 49 CFR 20.110:
 - a. The lobbying restrictions of this Certification apply to CONTRACTOR/Grantee/Vendor requests:
 - (1) For \$100,000 or more in Federal funding for a Grant or Cooperative Agreement, and
 - (2) For \$150,000 or more in Federal funding for a Loan, Line of Credit, Loan Guarantee, or Loan Insurance, and
 - b. This Certification applies to the lobbying activities of:
 - (1) CONTRACTOR/Grantee,
 - (2) Its Principals, and
 - (3) Its Subrecipients at the first tier,
 2. CONTRACTOR's/Grantee's/Vendor's authorized representative certifies to the best of his or her knowledge and belief that for each agreement for federal assistance exceeding \$100,000:
 - a. No Federal appropriated funds have been or will be paid by your Applicant or on its behalf to any person to influence or attempt to influence:
 - (1) An officer or employee of any Federal agency regarding the award of a:
 - (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance, or
 - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
 - (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance,
 - b. CONTRACTOR/Grantee/Vendor will submit a complete OMB Standard Form LLL (Rev. 7-97), "Disclosure of Lobbying Activities," consistent with its instructions, if any funds other than Federal appropriated funds have been or will be paid to any person to influence or attempt to influence:
 - (1) An officer or employee of any Federal agency regarding the award of a:
 - (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance, or
 - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
 - (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance,
 - a. It will include the language of this Certification in the award documents for all subawards at all tiers, including, but not limited to:
 - (1) Third party contracts,
 - (2) Subcontracts,
 - (3) Subagreements, and
 - (4) Other third party agreements under a:
 - (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance,
3. CONTRACTOR/Grantee/Vendor understands that:
 - a. This Certification is a material representation of fact that the Federal Government relies on, and
 - b. It must submit this Certification before the Federal Government may award funding for a transaction covered by 31 U.S.C. 1352, including a:

- (a) Federal Grant or Cooperative Agreement, or
 - (b) Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance, and
- 4. CONTRACTOR/Grantee/Vendor also understands that any person who does not file a required Certification will incur a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

C. Nondiscrimination Assurance As required by 49 U.S.C. 5332 (which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity), Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d, and U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation--Effectuation of Title VI of the Civil Rights Act," 49 CFR Part 21 at 21.7, the Contractor assures that it will comply with all requirements of 49 CFR Part 21; FTA Circular 4702.1B, "Title VI and Title VI - Dependent Guidelines for Federal Transit Administration Recipients," and other applicable directives, so that no person in the United States, on the basis of race, color, national origin, creed, sex, or age will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity (particularly in the level and quality of transportation services and transportation-related benefits) for which the CONTRACTOR receives federal assistance.

Specifically, during the period in which federal assistance is extended to the project, or project property is used for a purpose for which the federal assistance is extended or for another purpose involving the provision of similar services or benefits, or as long as the Contractor retains ownership or possession of the project property, whichever is longer, the Contractor assures that:

1. Each project will be conducted, property acquisitions will be undertaken, and project facilities will be operated in accordance with all applicable requirements of 49 U.S.C. 5332 and 49 CFR Part 21, and understands that this assurance extends to its entire facility and to facilities operated in connection with the project.
2. It will promptly take the necessary actions to effectuate this assurance, including notifying the public that complaints of discrimination in the provision of transportation-related services or benefits may be filed with U.S. DOT or FTA. Upon request by U.S. DOT or FTA, the contractor assures that it will submit the required information pertaining to its compliance with these requirements.
3. It will include in each subagreement, property transfer agreement, third party contract, third party subcontract, or participation agreement adequate provisions to extend the requirements of 49 U.S.C. 5332 and 49 CFR Part 21 to other parties involved therein including any subrecipient, transferee, third party Contractor, third party subContractor at any level, successor in interest, or any other participant in the project.
4. Should it transfer real property, structures, or improvements financed with federal assistance to another party, any deeds and instruments recording the transfer of that property shall contain a covenant running with the land assuring nondiscrimination for the period during which the property is used for a purpose for which the federal assistance is extended or for another purpose involving the provision of similar services or benefits.
5. The United States has a right to seek judicial enforcement with regard to any matter arising under the Act, regulations, and this assurance.
6. It will make any changes in its 49 U.S.C. 5332 and Title VI implementing procedures as U.S. DOT or FTA may request.

D. Control of Property The Contractor certifies that the control, utilization and disposition of property or equipment acquired using federal funds is maintained according to the provisions of 2 CFR Part 200, Subpart D, Property Standards.

E. Cost Principles The Contractor certifies that the cost principles and indirect cost proposals of this Agreement are consistent with 2 CFR Part 200, Subpart E, and Appendix VII to Part 200,

and all costs included in this Agreement are allowable under 2 CFR Part 200, Subpart E, and Appendix VII to Part 200.

- F. Debarment** The Contractor shall comply with Debarment provisions as contained in 2 CFR Part 1200, as amended. The Contractor certifies that to the best of its knowledge and belief, the Contractor and the Contractor's principals: a) are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency; b) within a three-year period preceding this Agreement have not been convicted of or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state or local) transaction or contract under a public transaction, violation of federal or state anti-trust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property; c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in subsection (b), above; and d) have not within a three-year period preceding this Agreement had one or more public transactions (federal, state or local) terminated for cause or default.

The inability of the Contractor to certify to the certification in this section will not necessarily result in denial of participation in this Agreement. The Contractor shall submit an explanation of why it cannot provide the certification in this section. This certification is a material representation of fact upon which reliance was placed when CMAP determined whether to enter into this transaction. If it is later determined that the Contractor knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, CMAP may terminate this Agreement for cause. The Contractor shall provide immediate written notice to CMAP if at any time the Contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this Part shall have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.

The Contractor agrees that it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction, unless authorized, in writing, by CMAP. The Contractor agrees that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by CMAP, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. The Contractor may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless the Contractor knows the certification is erroneous. The Contractor may decide the method and frequency by which it determines the eligibility of its principals. The Contractor may, but is not required to, check the Non-procurement List. If the Contractor knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible or voluntarily excluded from participation, in addition to other remedies available to the federal government, CMAP may terminate this Agreement for cause or default.

Nothing contained in this section shall be construed to require establishment of a system of records in order to render in good faith the certification required by this section. The knowledge and information of the Contractor is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

- G. Audit Requirements** The Contractor certifies that it will comply with the requirements of 2 CFR Part 200, Subpart F, which sets forth standards for obtaining consistency and uniformity for the audit of non-Federal entities expending Federal awards. In particular, Section 200.501 requires the following:

a) *Audit required.* A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year.

(b) *Single audit.* A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted except when it elects to have a program-specific audit.

(c) *Program-specific audit election.* When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.

(d) *Exemption when Federal awards expended are less than \$750,000.* A non-Federal entity that expends less than \$750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in §200.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

(e) Except for the provisions for biennial audits provided in paragraphs (a) and (b), audits required by this part must be performed annually. Any biennial audit must cover both years within the biennial period.

(a) A state, local government, or Indian tribe that is required by constitution or statute, in effect on January 1, 1987, to undergo its audits less frequently than annually, is permitted to undergo its audits pursuant to this part biennially. This requirement must still be in effect for the biennial period.

(b) Any nonprofit organization that had biennial audits for all biennial periods ending between July 1, 1992, and January 1, 1995, is permitted to undergo its audits pursuant to this part biennially.

(f) The audit must be completed; the data collection form described in Appendix X to Part 200 and reporting package must be submitted within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period.

(g) *Reporting package.* The reporting package must include the following:

(1) Financial statements and schedule of expenditures of Federal awards discussed in §200.510 Financial statements, paragraphs (a) and (b), respectively;

(2) Summary schedule of prior audit findings discussed in §200.511 Audit findings follow-up, paragraph (b);

(3) Auditor's report(s) discussed in §200.515 Audit reporting; and

(4) Corrective action plan discussed in §200.511 Audit findings follow-up, paragraph (c).

H. Drug Free Workplace The Contractor certifies that it will comply with the requirements of the federal Drug Free Workplace Act, 41 U.S.C. 702 as amended, and 49 CFR 32.

I. Disadvantaged Business Enterprise Assurance In accordance with 49 CFR 26.13(a), as amended, the Contractor assures that it shall not discriminate on the basis of race, color, national origin, or sex in the implementation of the project and in the award and performance of any third party contract, or subagreement supported with Federal assistance derived from the U.S. DOT or in the administration of its Disadvantaged Business Enterprise (DBE) program or the requirements of 49 CFR Part 26, as amended. The Contractor assures that it shall take all necessary and reasonable steps set forth in 49 CFR Part 26, as amended, to ensure nondiscrimination in the award and administration of all third party contracts and subagreements supported with Federal assistance derived from the U.S. DOT. CMAP's DBE program, as required by 49 CFR Part 26, as amended, will be incorporated by reference and made a part of this Agreement for any Federal assistance awarded by FTA or U.S. DOT. Implementation of this DBE program is a legal obligation of the Contractor, and failure to carry out its terms shall be treated as a violation of the Agreement. Upon notification by the Federal Government or CMAP to the Contractor of its failure to implement its approved DBE program, the U.S. DOT may impose sanctions as provided for under 49 CFR Part 26, as amended, and may in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001, as amended, and/or the Program Fraud Remedies Act, 31 U.S.C. 3801 *et seq.*, as amended.

J. Assurance of Nondiscrimination on the Basis of Disability As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," at 49 CFR 27.9, the Contractor assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Contractor assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*, and the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*, and implementing U.S. DOT regulations at 49 CFR parts 27, 37, and 38, and any applicable regulations and directives issued by other Federal departments or agencies.

K. Procurement Compliance Certification The Contractor certifies that its procurements and procurement system will comply with all applicable third party procurement requirements of Federal laws, executive orders, regulations, and FTA directives, and requirements, as amended and revised, as well as other requirements FTA may issue including FTA Circular 4220.1F, "Third Party Contracting Guidance," and any revisions thereto, to the extent those requirements are applicable. The Contractor certifies that it will include in its contracts financed in whole or in part with FTA assistance all clauses required by Federal laws, executive orders, or regulations, and will ensure that each subrecipient and each Contractor will also include in its subagreements and its contracts financed in whole or in part with FTA assistance all applicable clauses required by Federal laws, executive orders, or regulations.

L. Intelligent Transportation Systems Program As used in this assurance, the term Intelligent Transportation Systems (ITS) project is defined to include any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture."

1. In accordance with 23 U.S.C. 517(d), as amended by the Moving Ahead for Progress in the 21st Century Act (MAP-21), the Contractor assures it will comply with all applicable requirements of Section V (Regional ITS Architecture and Section VI (Project Implementation)) of FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," at 66 *Fed. Reg.* 1455

et seq., January 8, 2001, and other FTA requirements that may be issued in connection with any ITS project it undertakes financed with Highway Trust Funds (including funds from the mass transit account) or funds made available for the Intelligent Transportation Systems Program.

2. With respect to any ITS project financed with Federal assistance derived from a source other than Highway Trust Funds (including funds from the Mass Transit Account) or 23 U.S.C. 517(d), the Contractor assures that it will use its best efforts to ensure that any ITS project it undertakes will not preclude interface with other intelligent transportation systems in the Region.

M. Davis-Bacon Act To the extent applicable, the Contractor will comply with the Davis-Bacon Act, as amended, 40 U.S.C. 3141 *et seq.*, the Copeland "Anti-Kickback" Act, as amended, 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*, regarding labor standards for federally assisted subagreements.

N. Certifications and Assurances Required by the U.S. Office of Management and Budget (OMB) (SF-424B and SF-424D)

As required by OMB, the Contractor certifies that it:

1. Has the legal authority and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project.
2. Will give the U.S. Secretary of Transportation, the Comptroller General of the United States, and, if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain;
4. Will initiate and complete the work within the applicable project time periods;
5. Will comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
 - Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;
 - Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 through 1683, and 1685 through 1687, and U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 CFR Part 25, which prohibit discrimination on the basis of sex;
 - Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap;
 - The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
 - The Drug Abuse, Prevention, Treatment and Rehabilitation Act, Public Law 92-255, and amendments thereto, 21 U.S.C. 1101 *et seq.* relating to nondiscrimination on the basis of drug abuse;
 - The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Public Law 91-616, and amendments thereto, 42 U.S.C. 4541 *et seq.* relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - The Public Health Service Act of 1912, as amended, 42 U.S.C. 290dd-2 related to confidentiality of alcohol and drug abuse patient records;
 - Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*, relating to nondiscrimination in the sale, rental, or financing of housing;
 - Any other nondiscrimination provisions in the specific statutes under which Federal assistance for the project may be provided including, but not limited, to 49 U.S.C.

5332, which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity, and Section 1101(b) of the Transportation Equity Act for the 21st Century, 23 U.S.C. 101 note, which provides for participation of disadvantaged business enterprises in FTA programs; and

- Any other nondiscrimination statute(s) that may apply to the project.
- The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*

6. Will comply with all federal environmental standards applicable to the project, including but not limited to:

- Institution of environmental quality control measures under the National Environmental Policy Act of 1969 and Executive Order 11514;
- Notification of violating facilities pursuant to Executive Order 11738;
- Protection of wetlands pursuant to Executive Order 11990;
- Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
- Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, 16 U.S.C. 1451 *et seq.*;
- Conformity of federal Actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 *et seq.*;
- Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended;
- Protection of endangered species under the Endangered Species Act of 1973, as amended;
- Contractor will comply with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project, as required by 49 U.S.C. 303 (also known as "Section 4f");
- The Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271 *et seq.*, which relates to protecting components or potential components of the national wild scenic rivers system; and
- Environmental impact and related procedures pursuant to 23 C.F.R. Part 771.

7. Will comply with all other federal statutes applicable to the project, including but not limited to:

- As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 *et seq.*, and 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes, Contractor:
 - (1) will provide for fair and equitable treatment of any displaced persons, or any persons whose property is acquired as a result of federally-funded programs,
 - (2) has the necessary legal authority under State and local laws and regulations to comply with:
 - (a) The Uniform Relocation Act. 42 U.S.C. 4601 *et seq.*, as specified by 42 U.S.C. 4630 and 4655, and
 - (b) U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR part 24, specifically 49 CFR 24.4, and

- (3) has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
 - (a) will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
 - (b) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, if an FTA-funded Project results in displacement, it will provide fair and reasonable relocation payments and assistance to:
 - 1. Displaced families or individuals, and
 - 2. Displaced corporations, associations, or partnerships,
 - (c) As provided by 42 U.S.C. 4625 and 49 CFR part 24, it will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such:
 - 1. Displaced families and individuals, and
 - 2. Displaced corporations, associations, or partnerships,
 - (d) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before displacement, it will make available comparable replacement dwellings to families and individuals,
 - (e) Contractor:
 - 1. Carry out the relocation process to provide displaced persons with uniform and consistent services, and
 - 2. Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin,
 - (f) It will be guided by the real property acquisition policies of 42 U.S.C. 4651 and 4652,
 - (g) will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, understanding that FTA will provide Federal funding for its eligible costs for providing payments for those expenses, as required by 42 U.S.C. 4631,
 - (h) will execute the necessary implementing amendments to FTA-funded third party contracts and subagreements,
 - (i) will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances,
 - (j) will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, relating to any FTA-funded Project involving relocation or land acquisition, and
 - (k) will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions;
 - (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal Loan, Grant Agreement,

or Cooperative Agreement, and (2) 49 U.S.C. 5323(l)(2) and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding appropriated or made available for 49 U.S.C. chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,

- The Flood Disaster Protection Act of 1973, which requires the purchase of flood insurance in certain instances;
- Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470;
- Executive Order 11593, which relates to identification and protection of historic properties;
- The Archaeological and Historic Preservation Act of 1974, 16 U.S.C. 469a-1 et seq.;
- The Laboratory Animal Welfare Act of 1966, as amended, 7 U.S.C. 2131 et seq., which relates to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by a federal award of assistance;
- The Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4801 et seq., which relates to prohibiting the use of lead-based paint in construction or rehabilitation of residence structures;
- The Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations"; and
- Use of parks, recreation areas, wildlife and waterfowl refuges, and historic sites pursuant to 23 C.F.R. Part 774 (Section 4(f) requirements); and
- Contractor will, to the extent applicable, comply with the protections for human subjects involved in research, development, and related activities supported by Federal funding of:
 - (1) The National Research Act, as amended, 42 U.S.C. 289 et seq., and
 - (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11.

- O. Energy Conservation** To the extent applicable, the Contractor and its third party Contractors at all tiers shall comply with mandatory standards and policies relating to energy efficiency that are contained in applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. Section 6321 et seq.
- P. Clean Water** For all contracts and subcontracts exceeding \$100,000, the Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Water Pollution Control Act, 33 U.S.C. Section 1251 et seq.
- Q. Clean Air** For all contracts and subcontracts exceeding \$100,000, the Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, 42 U.S.C. 7401 et seq.
- R. Eligibility For Employment In The United States** The Contractor shall complete and keep on file, as appropriate, Immigration and Naturalization Service Employment Eligibility Forms (I-9). These forms shall be used by the Contractor to verify that persons employed by the Contractor are eligible to work in the United States.
- S. Buy America** As set forth in 49 U.S.C 5323(j) and 49 C.F.R. Part 661, only steel, iron and manufactured products produced in the United States may be purchased with Federal funds unless the Secretary of Transportation determines that such domestic purchases would be inconsistent with the public interest; that such materials are not reasonably available and of satisfactory quality;

or that inclusion of domestic materials will increase the cost of overall project contract by more than 25 percent. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.

- T. False Or Fraudulent Statements Or Claims** The Contractor acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to CMAP in connection with this Agreement, CMAP reserves the right to impose on the Contractor the penalties of 18 U.S.C. Section 1001, 31 U.S.C. Section 3801, and 49 CFR Part 31, as CMAP may deem appropriate. Contractor agrees to include this clause in all state and federal assisted contracts and subcontracts.
- U. Changed Conditions Affecting Performance** The Contractor shall immediately notify CMAP of any change in conditions or local law, or of any other event which may significantly affect its ability to perform the Project in accordance with the provisions of this Agreement.
- V. Third Party Disputes Or Breaches** The Contractor agrees to pursue all legal rights available to it in the enforcement or defense of any third party contract, and FTA or U.S. DOT and CMAP reserve the right to concur in any compromise or settlement of any third party contract claim involving the Contractor. The Contractor will notify FTA or U.S. DOT and the CMAP of any current or prospective major dispute pertaining to a third party contract. If the Contractor seeks to name CMAP as a party to the litigation, the Contractor agrees to inform both FTA or U.S. DOT and CMAP before doing so. CMAP retains a right to a proportionate share of any proceeds derived from any third party recovery. Unless permitted otherwise by the CMAP, the Contractor will credit the Project Account with any liquidated damages recovered. Nothing herein is intended to nor shall it waive U.S. DOT's, FTA's or the CMAP's immunity to suit.
- W. Fly America** Contractor will comply with 49 U.S.C. §40118, 4 CFR §52 and U.S. GAO Guidelines B- 138942, 1981 U.S. Comp. Gen. LEXIS 2166, March 31, 1981 regarding costs of international air transportation by U.S. Flag air carriers.
- X. Non-Waiver** The Contractor agrees that in no event shall any action or inaction on behalf of or by CMAP, including the making by CMAP of any payment under this Agreement, constitute or be construed as a waiver by CMAP of any breach by the Contractor of any terms of this Agreement or any default on the part of the Contractor which may then exist; and any action, including the making of a payment by CMAP, while any such breach or default shall exist, shall in no way impair or prejudice any right or remedy available to CMAP in respect to such breach or default. The remedies available to CMAP under this Agreement are cumulative and not exclusive. The waiver or exercise of any remedy shall not be construed as a waiver of any other remedy available hereunder or under general principles of law or equity.
- Y. Preference for Recycled Products** To the extent applicable, the Contractor agrees to give preference to the purchase of recycled products for use in this Agreement pursuant to the various U.S. Environmental Protection Agency (EPA) guidelines, "Comprehensive Procurement Guidelines for Products Containing Recovered Materials," 40 CFR Part 247, which implements section 6002 of the Resource Conservation and Recovery Act, as amended, 42 U.S.C. § 6962.
- Z. Cargo Preference** Use of United States Flag Vessels. The Contractor agrees to comply with 46 U.S.C. § 55305 and 46 CFR Part 381 and to insert the substance of those regulations in all applicable subcontracts issued pursuant to this Agreement, to the extent those regulations apply to this Agreement.
- AA. Performance measurement** The Contractor must relate financial data of this AGREEMENT to its performance accomplishments. Further, the Contractor must also provide cost information or a budget in Part 6 to demonstrate cost effective practices pursuant to 2 CFR Part 200.301.

BB. Project closeout Pursuant to CFR Part 200.343 thru 200.345, the Contractor must submit the required project deliverables, performance and financial reports, and all eligible incurred costs as specified in Parts 5 and 6, respectively, of this AGREEMENT no later than 90 days after the AGREEMENT's end date. Further, the Contractor agrees that the project should then be closed no later than 360 days after receipt and acceptance by CMAP of all required final reports.

CC. Contractor is required to register with the System for Award Management (SAM), which is a web-enabled government-wide application that collects, validates, stores and disseminates business information about the federal government's trading partners in support of the contract award, grants and the electronic payment processes. If the Contractor does not have a DUNS number, the Contractor must register at <https://sam.gov>.

As a sub-recipient of federal funds equal to or greater than \$25,000 (or which equals or exceeds that amount by addition of subsequent funds), this agreement is subject to the following award terms: <http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf> and <http://edocket.access.gpo.gov/2010/pdf/2010-22706.pdf>

All of the requirements listed in Part 3, paragraphs A through CC apply to the federally funded project. The Contractor agrees to include these requirements in each contract and subcontract financed in whole or in part with federal assistance.

DD. Certification Regarding Annual Fiscal Reports or Payment Vouchers The Contractor agrees to comply with 2 CFR Part 200.415(a) as follows: To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the Contractor, which reads as follows: "By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."

All of the requirements listed in Part 3, paragraphs A through DD apply to the federally funded project. The Contractor agrees to include these requirements in each contract and subcontract financed in whole or in part with federal assistance.

SECTION 6: Special Provisions

- 1) Workers' Compensation. The State of Illinois Worker's Compensation Code requires the securing of workers' compensation by all non-state employers. The Submitter shall attest to understanding and complying with the State of Illinois Workers' Compensation Code requirement and submit a completed "Certificate Regarding Workers' Compensation Insurance," Attachment 2 to the RFP. In addition, the Submitter shall provide and maintain a waiver of subrogation endorsement.
- 2) FTA Certification Regarding Lobbying. The Federal Transportation Authority (FTA) a source of funds for this project requires the Certification for Contracts, Grants, Loans, and Cooperative Agreements To be submitted with each bid or offer exceeding \$100,000. The Submitter shall attest to understanding and complying with the FTA Certification Regarding Lobbying (49 CRF PART 20) requirement and submit a completed "Certification for Contracts, Grants, Loans, and Cooperative Agreements" Attachment 4 to the RFP for any proposals which may or will exceed \$100,000.

Attachment 1: Price Proposal Form

In response to Chicago Metropolitan Agency for Planning (CMAP) Request for Proposal (RFP) 160 Professional Services Pertaining to Financial Audits, dated January 30, 2017, the undersigned, as an individual(s) with the authority to bind the Proposer, understands and agrees to the specifications, terms, conditions and provisions of the RFP and prices proposed below unless otherwise modified by mutual agreement of the parties. It is also agreed that the proposal submitted in response to the RFP is valid for ninety (90) calendar days from the proposal due date.

Please enter pricing into the follow matrixes. Costs for hourly rates **must be completed in full**. Please provide additional specifics where possible. Attach additional sheets if necessary. For ease of entry, feel free to copy and paste the table into an Excel spreadsheet; insert lines as necessary. If price structure is variable by which of the firm's employees are assigned, please specify the employee billing level, the cost per hour for this level, and the total number hours to be billed at this level. Information for any subContractors must be included as well.

Primary Firm (please include name) _____

	Staff name	Number of Hours	Hourly Rates	Total Cost
Staff Level 1				
Staff Level 2				
Staff Level 3				
Staff Level 4				
Travel and other fixed expenses (please describe what will be included)				

SubContractor (please enter name) _____

	Staff name	Number of Hours	Hourly Rates	Total Cost
Staff Level 1				
Staff Level 2				
Staff Level 3				
Staff Level 4				
Travel and other fixed expenses (please describe what will be included)				

Total Cost _____

Proposer's Authorized Signatory (Print): _____

Signature: _____

Title: _____

Company Name: _____

Address: _____

Telephone Number: _____

Date: _____

Attachment 2: Certificate Regarding Workers' Compensation Insurance

Certificate Regarding Workers' Compensation Insurance

In conformance with current statutory requirements of Section 820 ILCS 305/1 et. seq., of the Illinois Labor Code, the undersigned certifies as follows:

"I am aware of the provisions of Section 820 ILCS 305/1 of the Labor Code which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with such provisions before commencing the performance of the work of this contract."

Bidder/Contactor _____

Signature _____

Name and Title _____

Date _____

Attachment 3: Information to be provided by Bidder

The Bidder is required to supply the following information (if necessary, attach additional sheets):

Firm Name: _____ Contact Person: _____

Business Address: _____

Telephone: (____) _____ FAX: (____) _____ E-mail: _____

Years of Experience: _____

Type of Firm – Sole Proprietor, Partnership, Corporation, Joint Venture, Etc.: _____

Organized under the laws of state of: _____

Business License No.: _____ Business License Expiration Date: _____

DUNS No. _____ SAM Cage Code: _____

List names and addresses of owners of the firm or names and titles of officers of the corporation:

Client list of services rendered currently and/or in the recent past:

<u>Type of Service/Product</u>	<u>Date Completed</u>	<u>Name and Address of Client</u>	<u>Contact Name and Phone Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Credit References (Include contact person's name, address, and telephone number for at least three references, one of which must be the Bidder's bank):

- a. _____

- b. _____

- c. _____

Bidder hereby certifies that it (check one): _____ IS _____ IS NOT an eligible Disadvantaged Business Enterprise (DBE) as defined in 49 CFR 23). **If "IS" is checked, attach copy of document that certifies Bidder's status as a DBE.**

**Attachment 4: Information to be Provided by Bidder for Contracts
that may or will exceed \$100,000**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]
- 3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

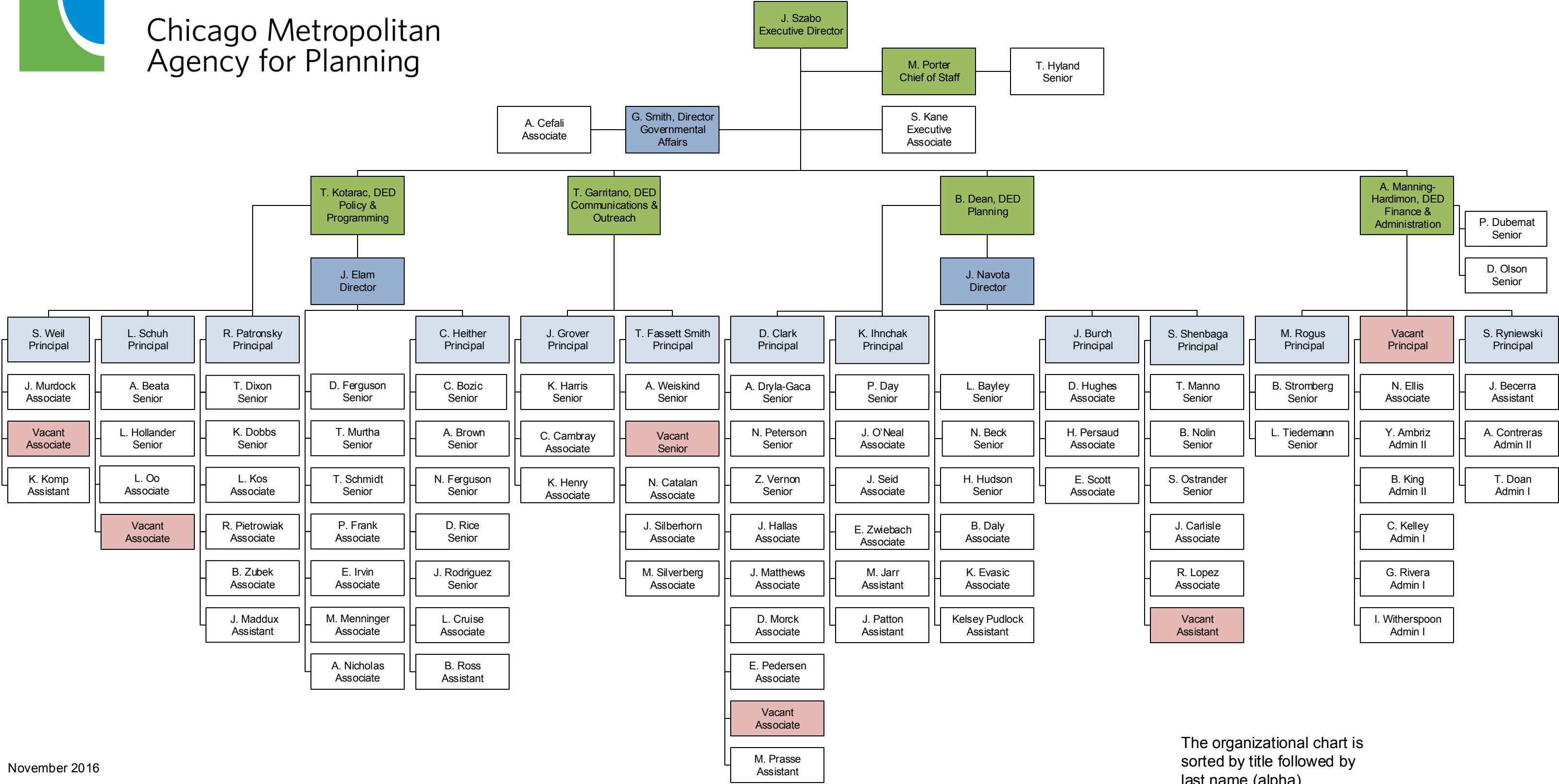
Signature of Contractor's Authorized Official

Date

Name and Title of Contractor's Authorized
Official:



Chicago Metropolitan
Agency for Planning



The organizational chart is
sorted by title followed by
last name (alpha)



Chicago Metropolitan Agency for Planning

233 South Wacker Drive
Suite 800
Chicago, Illinois 60606

312 454 0400
www.cmap.illinois.gov

MEMORANDUM

To: CMAP Board

From: Angela Manning-Hardimon
Deputy Executive Director, Finance and Administration

Date: September 7, 2016

Re: Revised FY2017 Budget

For your review and approval is CMAP's revised FY2017 Budget. With the passing and approval of the State's stop gap bill, IDOT has provided to CMAP \$3.2 million in local match, which will allow CMAP to expend federal dollars to enhance transportation planning in northeastern Illinois and fulfill federal planning requirements. The funding of this budget is consistent with the State of Illinois fiscal year, which starts July 1, 2016 through June 30, 2017. The approval of this budget will require a revised FY2017 UWP Budget as \$1.4 million was previously allocated to CMAP due to the uncertainty of a FY2017 State budget and is now being appropriated to FY2017 UWP Competitive applications. This revised budget also reduces CMAP's reliance on cash reserves and local contributions to remain solvent for the FY2017 fiscal year.

ACTION REQUESTED: Approval

###

FISCAL YEAR 2017 COMPREHENSIVE BUDGET

DRAFT Revised
September 2016



CMAP

CMAP Board Members

Executive Committee

Gerald Bennett, chair

Rita Athas, vice chair

Elliott Hartstein, vice chair

Frank Beal, at-large member

Al Larson, at-large member

TBD, at-large member

City of Chicago Appointments

Rita Athas, senior advisor, World Business Chicago

Frank Beal, senior executive, Civic Consulting Alliance

Andrew Madigan, senior managing director, Mesirow Financial

Peter Skosey, former executive vice president, Metropolitan Planning Council (MPC)

TBD (City of Chicago)

Cook County Appointments

Gerald Bennett, mayor, Palos Hills (Southwest Cook)

Al Larson, president, Schaumburg (Northwest Cook)

Richard Reinbold, president, Village of Richton Park (South Cook)

William Rodeghier, president, Western Springs (West Cook)

Peter Silvestri, commissioner, Cook County Board (Suburban Cook)

Collar County Appointments

Elliott Hartstein, former president, Buffalo Grove (Lake)

John Noak, mayor, Romeoville (Will)

Franco Coladipietro, president, Bloomingdale (DuPage)

Carolyn Schofield, member, McHenry County Board (McHenry)

TBD (Kane/Kendall)

Non-voting Members

Sean McCarthy, acting director, Illinois Department of Commerce and Economic Opportunity (Governor's appointee)

Brian Oszakiewski, policy advisor for Infrastructure (Governor's appointee)

Leanne Redden, executive director, Regional Transportation Authority (MPO Policy Committee)

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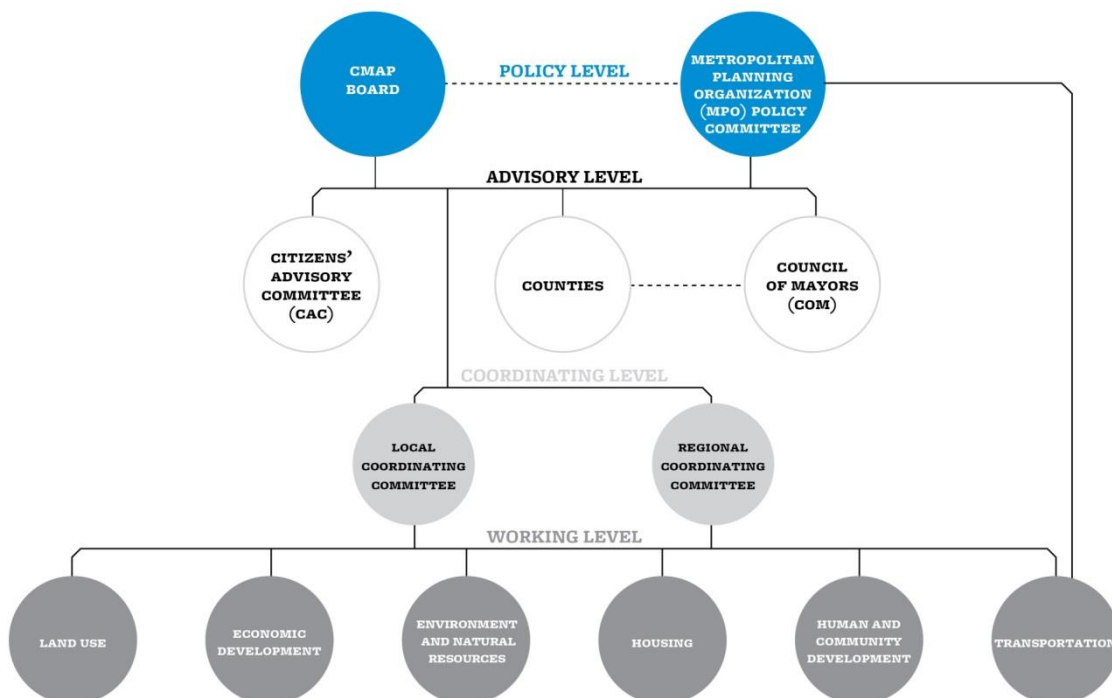
SECTION 1: OVERVIEW

This document is the Chicago Metropolitan Agency for Planning (CMAP) comprehensive activity document for Fiscal Year 2017. The budget and work plan reflect the agency's activities and outcomes for FY 2017, with details of projects, staff, products and key dates, and anticipated contracts.

About CMAP

The Chicago Metropolitan Agency for Planning (CMAP) is the official regional planning organization for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. CMAP developed and now leads the implementation of the [GO TO 2040](#) comprehensive regional plan. Adopted in 2010 to address anticipated population growth of more than 2 million new residents, GO TO 2040 established coordinated strategies that help the region's 284 communities address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. The agency and its partners are now developing [ON TO 2050](#), the new comprehensive plan slated for adoption in 2018.

CMAP operates under authorizing legislation known as the Regional Planning Act (Public Act 095-0677). The Board's membership has balanced representation from across Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will counties. The CMAP planning area also includes Aux Sable Township in Grundy County and Sandwich and Somonauk townships in DeKalb County. Gerald Bennett, mayor of Palos Hills, chairs the CMAP Board. Policy, advisory, coordinating, and working committees play integral roles in the agency's planning processes.



Staff

Joseph C. Szabo is the executive director of CMAP. The proposed FY 2017 budget reflects total staffing of 104.5 full-time positions. Funding sources for these positions include the Unified Work Program (UWP), U.S. Environmental Protection Agency, Illinois Attorney General, Cook County Community Development Block Grant, MacArthur Foundation, and Chicago Community Trust grants.

CMAP provides internships to qualified graduate students in urban and regional planning and related fields. This year's interns come to CMAP from the University of Illinois, University of Michigan, Boston University, DePaul University, MIT, and Berkeley. The program gives students valuable workplace experience while supporting the agency's comprehensive planning activities. CMAP also administers the Phillip D. Peters Fellowship, which supports one fellow annually. In FY 2017, Northwestern University will sponsor a year-long fellowship at CMAP.

CMAP staff members are classified based on their levels of responsibility, with a compensation structure informed by comparable market data and the Chicago-Gary-Kenosha Consumer Price Indexes (CPI). Employees are evaluated on an annual basis and may be eligible for merit increases.

Employees receive a competitive benefits package that includes a retirement program, Social Security, Medicare, and insurance for health, dental, and life. Apart from a handful of former State of Illinois employees who took the option to remain part of the State Employees' Retirement System (SERS), all other eligible CMAP employees must participate in the Illinois Municipal Retirement Fund (IMRF). In FY 2016, the benefits package was 35.51 percent of salary; in FY 2017 the amount will decrease to 34.37 percent of salary. The required CMAP retirement contribution to SERS for FY 2017 will decrease from 45.60 percent to 44.57 percent, and the IMRF contribution for 2017 will decrease from 8.77 to 7.88 percent.



Budget Overview

CMAP receives most of its funding from federal and state grants. Table 1: CMAP Core Activities summarizes the core budgets for FY 2015, FY 2016, and FY 2017 (with anticipated adoption by Board in September 2016).

TABLE 1: CMAP CORE ACTIVITIES

	Approved FY 2015	Adopted FY 2016	Proposed FY 2017
OPERATIONS			
Revenues			
Federal	\$12,818,305	\$12,973,855	\$13,103,394
State	\$3,509,814	\$3,792,464	\$3,275,849
Other Public Agencies	\$0	\$251,700	\$597,000
Foundations and Non-Public Agencies	\$68,750	\$265,100	\$179,000
Local Contributions	\$250,000	\$250,000	\$887,486
General Fund	\$0	\$0	\$0
Reimbursements	\$35,800	\$35,000	\$35,000
Product Sales, Fees & Interest	\$16,000	\$18,000	\$10,000
Total Revenues	\$16,698,669	\$17,586,119	\$18,087,729
Expenditures			
Personnel	\$10,890,800	\$11,360,000	\$11,265,112
Commodities	\$545,719	\$513,219	\$511,400
Operating Expenses	\$515,450	\$398,100	\$395,631
Occupancy Expenses	\$1,642,400	\$1,677,600	\$1,727,000
Contractual Services	\$2,588,000	\$3,176,500	\$3,143,500
Local Planning Grant Match	\$140,000	\$180,000	\$0
Capital Outlay	\$319,800	\$150,000	\$150,000
Total Expenditures	\$16,642,169	\$17,455,419	\$17,192,643
NON-OPERATIONS (REVENUE AND EXPENDITURES)			
Pass Through Grants	\$5,634,270	\$4,414,270	\$4,001,270
In-Kind Service	\$1,476,769	\$1,219,269	\$1,208,519



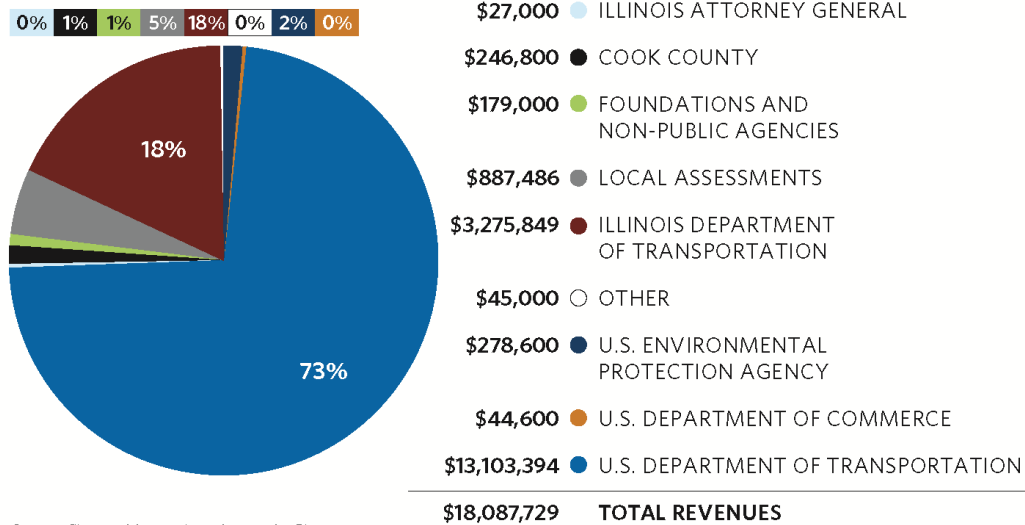
In June 2016, staff presented to the Board a balanced budget that reflected the use of cash reserves, local dues, and a greater allocation of federal dollars to CMAP as revenue sources to cover FY 2017 budgeted expenditures due to the uncertainty of a state budget being passed for fiscal year FY 2017. In addition, the competitive UWP program was suspended, and other beneficial activities for the region were reduced to provide funding for CMAP's core operational activities. CMAP committed that once there was clarity on availability of state resources, a revised FY 2017 budget would be submitted to first replenish critical on-hand reserves, and then determine the feasibility of reconsidering competitive UWP applications and crediting local dues contributions for a portion of the amount owed.

In late June, the General Assembly passed and the Governor approved a stopgap budget that included a full fiscal year appropriation for CMAP that provided the local match required to expend federal dollars and remain operational. This resulted in CMAP submitting to the Board for approval in September this revised FY 2017 budget that replenishes CMAP's cash reserves to June 2015 levels, awards UWP Competitive applications in the amount of \$1.4 million, and institutes local dues contributions to provide cash flow for future operational needs.

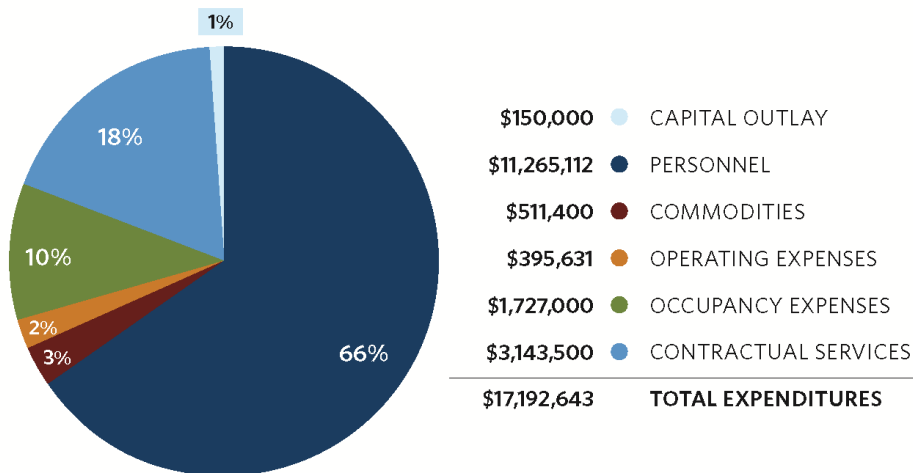
Understanding that ultimately the State of Illinois must meet its responsibility to provide a match for CMAP to access its federal funding, our agency continues to advocate to the General Assembly for legislation that would reinstate the Comprehensive Regional Planning Fund (CRPF). This would provide CMAP with a stable and diverse funding source to remain operational and conduct planning of non-transportation issues in future years.

For the FY 2017 budget approved in June, CMAP reflected local contributions of \$887,486. As of August, CMAP collected \$435,000 or 50 percent of the projected amount of local contributions. Through the commitment of our municipal, county and transit partners to our efforts, CMAP is on target to meet this projection and therefore did not change the amount in the revised FY 2017 budget. Maintaining a local dues contribution is necessary to satisfy the deficiency cited by the U.S. Department of Transportation in its 2014 certification review of CMAP, and FY 2017 will serve as a benchmark for local dues contributions. Based on certainty and flexibility of funding from the State of Illinois, we will explore dues credits to our partners in future years. Chart 1 reflects the percentage of the core operations revenue from each source, and Chart 2 reflects the percentage of expenditures from each category for FY 2017. The charts do not include the non-operations activities.



CHART 1: REVENUE FOR CORE ACTIVITIES, PROPOSED FY 2017**CMAPI revenues, FY17**

Source: Chicago Metropolitan Agency for Planning.

CHART 2: EXPENSES FOR CORE ACTIVITIES, PROPOSED FY 2017**CMAPI expenditures, FY17**

Source: Chicago Metropolitan Agency for Planning.



SECTION 2: BUDGET COMPONENTS

Revenue

CMAP derives its primary funding from the Unified Work Program (UWP) that supports transportation planning in northeastern Illinois, with metropolitan planning funds from the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and state and local sources. Federal dollars require a 20-percent local match, which has been provided since 2011 by the Illinois Department of Transportation (IDOT). The revenues identified from the FY 2017 UWP funds were approved by the UWP Committee, Transportation Committee, Policy Committee, and CMAP Board. The Governor's FY 2017 budget proposes \$3.5 million in state transportation funds in lieu of funding for the CRPF. The UWP funds are allocated for operating activities and contractual services. IDOT requires the operating funds (3-C Operations Grant) to be expended during the fiscal year (July 1, 2016 to June 30, 2017) and the competitive funds (3-C Competitive Grant) be expended over a five-year period (July 1, 2016 to June 30, 2021). This year's competitive funds of approximately \$1.4 million were awarded to CMAP, Lake County, CTA, and CDOT.

The state transportation funds over the last five years have provided the required matching funds for the federal UWP funds. In addition, CMAP anticipates that IDOT will provide approximately \$300,000 annually for other transportation related planning activities in the form of a state planning grant. The FY 2017 State Planning fund grant will be allocated to the development of a new household travel survey that is required to be updated every 10 years.

Other revenue is received from the U.S. Environmental Protection Agency (EPA) as pass through funding from the Illinois Environmental Protection Agency (IEPA) for water quality management, watershed planning and other related projects. Funds not expended during the grant period revert to the funding agency.

Other sources of revenue include grants from the Illinois Attorney General (IAG) for mitigation efforts related to the Illinois foreclosure crisis and from Cook County through the Community Development Block Grant Disaster Recovery (CDBG-DR) program to support CMAP's resilience efforts.

A newly restructured local dues program similar to those used by other regional planning organizations across the U.S. was approved by the CMAP Board in April 2016 and is described in Appendix A. These funds would provide \$887,486 in FY 2017 before increasing to \$1,479,528 in FY 2018. These funds will provide an additional revenue source to support CMAP and keep the agency operational.

Table 2 reflects the revenue expected to be received during the fiscal year. Some of the revenue is received prior to expenditure; for example, the foundations normally transfer funds at the time of the award even though the expenditures could be in future fiscal years. Other



expenditures are on a reimbursable program; the federal revenue is not received until the expenditure has been made. The majority of the revenue is from reimbursement grants.

The non-operations revenue represents the funds (primarily federal) passed through to other organizations and the in-kind match provided by those organizations. Examples would be the UWP Council of Mayors program and the transportation agency UWP projects. CMAP, as the Metropolitan Planning Organization (MPO), administers all the FY 2017 UWP contracts for the planning projects of the service boards and other government agencies.

TABLE 2: REVENUE DETAIL, CMAP CORE ACTIVITIES

	Approved FY 2015	Adopted FY 2016	Proposed FY 2017
OPERATIONS			
FEDERAL			
<u>U.S. Environmental Protection Agency</u>			
Grant through IEPA			
IEPA Water Quality Mgt.	\$148,100	\$140,100	\$87,500
IEPA VLMP	\$39,600	\$45,700	\$47,100
IEPA Lower Salt Plan	\$0	\$0	\$144,000
IEPA Boone Creek Watershed Plan	\$155,200	\$62,600	\$0
IEPA Watershed Plans	\$1,850	\$0	\$0
Total, U.S. EPA	\$344,750	\$248,400	\$278,600
<u>U.S. Department of Commerce</u>			
EDA	\$80,100	\$0	\$0
NOAA	\$0	\$0	\$44,600
Total, US Department of Commerce	\$80,100	\$0	\$44,600
<u>U.S. Department of Transportation</u>			
Grant through IDOT			
UWP - Operating	\$11,571,455	\$11,837,455	\$12,315,394
UWP - Contracts	\$822,000	\$888,000	\$788,000
Total, US DOT	\$12,393,455	\$12,725,455	\$13,103,394
Total, Federal	\$12,818,305	\$12,973,855	\$13,426,594
STATE			
<u>Illinois Department of Transportation</u>			
IDOT	\$3,067,864	\$3,601,364	\$3,275,849
<u>Illinois Department of Natural Resources</u>			
IDNR	\$237,650	\$0	\$0



	Approved FY 2015	Adopted FY 2016	Proposed FY 2017
<u>Illinois Attorney General</u>			
IAG	\$204,300	\$191,100	\$27,000
Total, State	\$3,509,814	\$3,792,464	\$3,302,849
OTHER PUBLIC AGENCIES			
Cook County	\$0	\$251,700	\$246,800
Total, Other Public Agencies	\$0	\$251,700	\$246,800
FOUNDATIONS AND NON-PUBLIC AGENCIES			
MacArthur Foundation	\$0	\$125,100	\$61,500
Chicago Community Trust	\$68,750	\$140,000	\$117,500
Total Foundations and Non-Public Agencies	\$68,750	\$265,100	\$179,000
LOCAL ASSESSMENTS	\$250,000	\$250,000	\$887,486
REIMBURSEMENTS			
Indirect Charge from Competitive Federal Grants	\$3,800	\$0	\$0
Metropolitan Mayor's Caucus	\$32,000	\$35,000	\$35,000
Total, Reimbursements	\$35,800	\$35,000	\$35,000
PRODUCT SALES, FEES AND INTEREST			
ArcView Training	\$8,000	\$10,000	\$5,000
Interest Income	\$500	\$2,500	\$500
Facility Planning Area Fees	\$2,000	\$0	\$2,000
Conference and Sponsors	\$500	\$500	\$500
Miscellaneous	\$5,000	\$5,000	\$2,000
Total, Product Sales, Fees and Interest	\$16,000	\$18,000	\$10,000
General Fund	\$0	\$0	\$0
TOTAL REVENUES	\$16,698,669	\$17,586,119	\$18,087,729
NON-OPERATIONS			
PASS THROUGH			
UWP - Council of Mayors	\$1,384,270	\$1,384,270	\$1,384,270
UWP - CTA	\$700,000	\$700,000	\$1,040,000
UWP - City of Chicago	\$860,000	\$860,000	\$857,000
UWP - Metra	\$320,000	\$420,000	\$320,000



	Approved FY 2015	Adopted FY 2016	Proposed FY 2017
UWP - Pace	\$320,000	\$220,000	\$120,000
UWP - RTA	\$460,000	\$230,000	\$80,000
UWP - Lake County	\$500,000	\$0	\$200,000
UWP - Cook/DuPage Corridor	\$0	\$0	\$0
UWP - DuPage County	\$80,000	\$100,000	\$0
UWP - Kane County	\$0	\$80,000	\$0
UWP - McHenry County	\$0	\$0	\$0
UWP - Will County	\$300,000	\$0	\$0
UWP - Cook County	\$150,000	\$0	\$0
CMAP - Local Planning Grants	\$560,000	\$420,000	\$0
Total, Pass Through	\$5,634,270	\$4,414,270	\$4,001,270
IN-KIND SERVICE			
UWP - Council of Mayors	\$554,269	\$554,269	\$554,269
UWP - CTA	\$175,000	\$175,000	\$260,000
UWP - City of Chicago	\$215,000	\$215,000	\$214,250
UWP - Metra	\$80,000	\$105,000	\$80,000
UWP - Pace	\$80,000	\$55,000	\$30,000
UWP - RTA	\$115,000	\$70,000	\$20,000
UWP - Lake County	\$125,000	\$0	\$50,000
UWP - Cook/DuPage Corridor	\$0	\$0	\$0
UWP - DuPage County	\$20,000	\$25,000	\$0
UWP - Kane County	\$0	\$20,000	\$0
UWP - McHenry County	\$0	\$0	\$0
UWP - Will County	\$75,000	\$0	\$0
UWP - Cook County	\$37,500	\$0	\$0
Total, In-Kind Service	\$1,476,769	\$1,219,269	\$1,208,519



Budget and Work Program

Table 3 reflects, line item by line item, the operations budget for FY 2017. A description of the line items is in Appendix B. This table reflects only the core operations.

TABLE 3: EXPENSE DETAIL, CMAP CORE ACTIVITIES

	Approved FY 2015	Approved FY 2016	Proposed FY 2017
PERSONNEL			
Salaries	\$7,689,900	\$8,089,100	\$8,127,349
Retirement	\$1,330,400	\$1,215,400	\$972,519
FICA	\$461,400	\$480,400	\$482,534
Medicare	\$111,300	\$117,300	\$118,095
Health/Dental	\$935,300	\$1,142,800	\$1,224,614
Life	\$45,000	\$55,000	\$55,000
Education Reimbursement	\$42,500	\$40,000	\$40,000
Other Benefits	\$25,000	\$25,000	\$50,000
Interns	\$250,000	\$195,000	\$195,000
Total, Personnel	\$10,890,800	\$11,360,000	\$11,265,112
Authorized Personnel	100.5	104.5	104.5
COMMODITIES			
General Supplies	\$20,000	\$20,000	\$20,000
Publications	\$5,900	\$5,400	\$5,400
Software - Small Value	\$30,000	\$20,000	\$20,000
Equipment - Small Value	\$43,000	\$23,000	\$23,000
Furniture - Small Value	\$3,000	\$3,000	\$3,000
Data Acquisition	\$400,000	\$400,000	\$400,000
Office Supplies	\$23,819	\$21,819	\$20,000
Copy Room Supplies	\$20,000	\$20,000	\$20,000
Total, Commodities	\$545,719	\$513,219	\$511,400
OPERATING EXPENSES			
Workers' Compensation Insurance	\$25,000	\$28,000	\$28,000
Unemployment Compensation	\$25,000	\$30,000	\$30,000
Staff Assoc. Membership	\$11,700	\$10,050	\$10,050
CMAP Assoc. Membership	\$30,700	\$25,700	\$25,700
Postage/Postal Services	\$32,000	\$27,200	\$27,200
Storage	\$5,000	\$5,000	\$5,000
Legal/Bid Notices	\$0	\$0	\$0
Miscellaneous	\$13,000	\$14,500	\$14,500



	Approved FY 2015	Approved FY 2016	Proposed FY 2017
Meeting Expenses	\$8,500	\$7,000	\$7,000
Recruitment Expenses	\$2,000	\$3,000	\$3,000
General Insurance	\$35,000	\$38,000	\$38,000
Legal Services	\$35,000	\$10,000	\$10,000
Printing Services	\$87,900	\$20,250	\$17,781
Bank Service Fees	\$3,000	\$3,000	\$3,000
Conference Registrations	\$24,900	\$23,700	\$23,700
Refunds		\$0	\$0
Training	\$35,300	\$35,600	\$35,600
Travel Expenses	\$141,450	\$117,100	\$117,100
Total, Operating Expenses	\$515,450	\$398,100	\$395,631
OCCUPANCY EXPENSES			
Office Maintenance	\$12,000	\$12,000	\$12,000
Rent	\$1,520,400	\$1,560,600	\$1,610,000
Telecommunications	\$50,000	\$45,000	\$45,000
Utilities	\$60,000	\$60,000	\$60,000
Total, Occupancy Expenses	\$1,642,400	\$1,677,600	\$1,727,000
CONTRACTUAL SERVICES			
Audit Services	\$37,000	\$40,000	\$40,000
Office Equipment Leases	\$2,000	\$2,000	\$2,000
Software Maintenance/Licenses	\$346,000	\$323,000	\$395,000
Fiscal Mgt. Maintenance/Licenses	\$40,000	\$45,000	\$45,000
Professional Services	\$540,000	\$390,000	\$565,000
Consulting Services	\$1,470,000	\$2,223,500	\$1,946,500
Office Equipment Maintenance	\$130,000	\$130,000	\$130,000
Co-Location Hosting Services	\$23,000	\$23,000	\$20,000
Total, Contractual Services	\$2,588,000	\$3,176,500	\$3,143,500
LOCAL PLANNING GRANTS			
Community Planning Grant Match	\$140,000	\$180,000	\$0
Total, Local Government Grants	\$140,000	\$180,000	\$0
CAPITAL OUTLAY			
Equipment - Capital	\$175,000	\$100,000	\$100,000
Construction - Capital	\$94,800	\$0	\$0
Software - Capital	\$50,000	\$50,000	\$50,000
Total, Capital Outlay	\$319,800	\$150,000	\$150,000
TOTAL	\$16,642,169	\$17,455,419	\$17,192,643



Local Planning Program

Program Oversight: Bob Dean

GO TO 2040 supports the efforts of local governments to improve livability within their communities and to encourage a future pattern of more compact, mixed-use development that focuses growth where transportation and other infrastructure already exists. The plan recommends that local governments pursue opportunities for development of this type, while recognizing that the interpretation and application of these concepts will vary by community.

This program supports the implementation of GO TO 2040 through local planning activities that are consistent with the long-range regional plan. It houses the Local Technical Assistance (LTA) program, which provides staff and contract assistance to communities, as well as activities meant to advance the implementation of LTA projects. The Local Planning Program also researches and develops new tools or approaches to emerging planning topics, both for the use of CMAP and for the region as a whole. Among these topics, this program includes a particularly significant approach to housing, water resources, and community resilience. Partner coordination and external grantseeking are also elements of Local Planning.

Local Technical Assistance (LTA) Program

Project Manager: Bob Dean, Jason Navota, Sam Shenbaga, Kristin Ihnchak

Team: Entire Planning staff

Description: The LTA program involves working directly with a community or group of communities on a product that is customized for their use. These projects have a specific audience and are geographically limited. New projects are typically added to the LTA program each October, though the FY16 Call for LTA Projects was cancelled due to state budget issues. This work plan item includes several components: program administration; project management and outreach; and data analysis.

Program administration includes overall administration and tracking of progress of the LTA program, including monthly reports on project progress; quarterly reviews of project teams, staff time expectations, and contract expenditures; deliverable review; program and process review and improvement; and internal and external coordination of the program, including alignment with policy and programming priorities. It also includes the annual LTA call for projects (likely postponed until funding issues are resolved) and project selection, with close coordination with the Regional Transportation Authority and other stakeholders and partners. Following project selection and subsequent CMAP board approval, many LTA projects require further scoping to determine the most appropriate CMAP role. Before startup, LTA projects include meetings with project sponsors and key local stakeholders, research on relevant past activities in each community, and preparation of a proposed scope of work.



Staff development includes staff engagement and development activities such as a staff retreat; capacity building brown bags and ideas exchange with internal and external partners; mentoring program; and wiki pages and resources including individual staff pages.

Project management is conducted by a project manager who is responsible for the timely completion of the project. Project managers are responsible for conducting a large portion of the work required on their projects, as well as identifying needs for additional project support, outreach assistance, and partner coordination. Project management involves preparation and review of interim and final materials, including maintaining a high standard of quality for all documents produced.

Outreach and engagement through development and implementation of inclusive public engagement processes, as well as media and legislative outreach, will be part of each LTA project undertaken.

Data analysis is also a significant part of LTA projects, requiring customized data preparation, analysis and mapping support to LTA project managers. Data and analysis staff are assigned to projects several months before they are initiated based on availability and needed skills. A set of guidelines for preparing standardized LTA data and mapping products ensures uniform quality control and streamline preparation of data and map products. New analytical methods and approaches will be used as they are developed through the Research and Development of New Planning Topics and Approaches work plan item; an example is incorporation of stormwater and resilience into comprehensive plans.

The projects that were currently underway or committed (and the project manager for each) at the beginning of FY17 are listed below, divided between staff-led and consultant-led projects.

Staff-led projects:

- Arlington Heights bicycle and pedestrian plan (O'Neal)
- Aurora downtown plan (Bayley)
- Beach Park planning priorities report (Lopez)
- Bensenville zoning ordinance update (Seid)
- Berwyn stormwater plan (Beck)
- Calumet Park planning priorities report (Shenbaga)
- Chicago Heights zoning update (Jarr)
- Cook County growth plan (Burch)
- Cook County unincorporated areas plan (Carlisle)
- Crystal Lake transportation plan (Beck)
- Des Plaines comprehensive plan (Beck)
- Elmwood Park zoning ordinance analysis (Day)
- Franklin Park comprehensive plan (Carlisle)
- Hampshire planning priorities report (Manno)
- Harvard zoning update (Seid)



- Homer Glen plan commissioner training (Day)
- Impact DuPage affordable housing plan (Burch)
- Lisle parking plan (Bayley)
- Lower Salt Creek watershed plan (Hudson)
- McHenry County Fox River Corridor plan (Evasic)
- Midlothian 147th Street corridor study (Manno)
- MPC Great Rivers (Zwiebach)
- North Chicago comprehensive plan (Seid)
- North Lawndale neighborhood plan (Nolin)
- Northwest Chicago neighborhood plan (Daly)
- Palos Park trails plan (O'Neal)
- Park Forest zoning ordinance update (Ihnchak)
- Pilsen-Little Village (Chicago) neighborhood plan (Zwiebach)
- Richmond planning priorities report (Jarr)
- Richton Park capital improvement plan (Nolin)
- South Elgin zoning ordinance update (Day)
- South Holland comprehensive plan (Ostrander)
- SSMMA complete streets plan (O'Neal)
- Will County Sugar Run Creek neighborhood plan (Nolin)
- Wilmington corridor plan (TBD)

Consultant-led projects:

- Brookfield comprehensive plan (Beck)
- Campton Hills zoning ordinance update (Ihnchak)
- Chicago DOT Riverdale area transportation plan (Manno)
- DuPage County Elgin-O'Hare bicycle and pedestrian plan (O'Neal)
- DuPage County/Hanover Park Homes for a Changing Region study (Burch)
- Franklin Park subregional truck route plan (Dean)
- Governors State University transportation and green infrastructure plan (Hudson)
- Huntley zoning ordinance update (Day)
- Joliet corridor study (Ostrander)
- Pullman (Chicago) transportation access plan (Bayley)
- Regional truck permitting plan (Beata)
- Richton Park stormwater management plan (Evasic)
- Romeoville comprehensive plan (Nolin)
- Roselle comprehensive plan (Olson)
- Villa Park zoning ordinance update (Day)
- Westchester zoning ordinance (Ihnchak)

Products and Key Dates: Monthly reports on progress of current and upcoming projects (On-Going). The number of projects at various stages (initiated; 50-percent complete; 90-percent complete; 100-percent complete) will be tracked and reported quarterly.



Consultant Management, Evaluation, and Best Practices

Project Manager: Sam Shenbaga

Team: Bayley, Beata, Beck, Burch, Day, Dean, Evasic, Hudson, Ihnchak, Jarr, Manno, Nolin, Olson, O'Neal, Ostrander, Seid, Zwiebach

Description: Many projects within the LTA program are conducted by consulting firms and managed by CMAP staff. These are tracked within the LTA work plan item above, but also have separate requirements, including RFP development, consultant selection, and evaluation of consultant performance. The management of numerous projects by consulting firms also provides an opportunity to identify best practices in plan preparation, publicize them, and incorporate them into other projects in the LTA program to advance the state of planning practice across the region.

Products and Key Dates: Development of RFPs, selection of consultants, and contract management (On-Going). Evaluation and communication of consultant performance after each project completion (On-Going).

Project Implementation and Capacity Building

Project Manager: Tony Manno and Patrick Day

Team: Carlisle, Daly, Navota, Shenbaga

Description: Following completion of LTA projects, CMAP remains involved for two years to track project implementation and assist in appropriate ways. Involvement on all completed projects includes discussing implementation progress with the project sponsor and reporting via the Board report on a quarterly basis. For a select group of approximately 10 projects that present good opportunities for implementation success, CMAP will engage on a deeper, more active level to identify appropriate activities that CMAP can assist with (such as providing trainings, assisting with grant applications, or reaching out to partner organizations). This component will continue to explore innovative ways that the agency can support plan implementation, with specific attention to activities in the areas of transportation, reinvestment, the natural environment, and intergovernmental coordination.

In FY17, this program area will expand to explore ways to continue to build municipal capacity by investigating municipal needs and how CMAP can best provide support through training or other approaches. Current capacity building implementation activities include: training workshops for plan commissioners in LTA communities (coordinated with APA-IL, Council of Governments (COGs), neighboring communities, and other relevant groups); ULI Technical Assistance Panels (TAPs) or other activities to connect municipalities to the development community; and guiding communities to CMAP's Transportation Alternatives Program (TAP) and Congestion Mitigation and Air Quality Improvement (CMAQ) funding programs.



Expansion of CMAP's capacity building program may include developing new training workshops on topics such as capital planning, service and cost sharing, budgeting, outreach, or targeted topical trainings to improve capacity gaps, and providing additional suggestions for funding. Priority topics will be explored, researched, and materials developed for capacity building training or other activities. Some of these topics are or will be explored through the Research and Development of New Planning Topics and Approaches work plan item or addressed as part of the development of ON TO 2050.

Products and Key Dates: Advancement of specific local implementation activities (On-Going). Preparation of implementation updates for Board report (quarterly). Progress reports on the priority implementation projects (quarterly). Four Planning Commissioner workshops, held throughout year (approximately one per quarter). Identify and prioritize potential capacity building topics and activities (December 2016). Prepare approach, materials, and partnerships for capacity building assistance (March 2017). Develop strategy and secure funding to implement capacity building in FY18.

Research and Development of New Planning Topics and Approaches

Project Managers: Agata Dryla-Gaca, Jason Navota

Team: Beck, Burch, Dean, Dryla-Gaca, Evasic, Ihnchak, Navota, Nolin/Hughes, Vernon, Schuh, Oo

Description: This project will explore and apply new planning ideas as well as the use of innovative analytical techniques, planning tools, and planning approaches as part of LTA projects, both as a way to strengthen individual projects and to test the use of different data sources and techniques that can be used both internally by CMAP staff and by local governments. Areas of exploration could include a number of those started in FY16 such as stormwater management planning, community resilience to climate change, production of capital improvement plans, bicycle and pedestrian planning, and incorporation of economic development and market analysis into local plans. New areas to explore may include approaches to infrastructure investment, improvements to Existing Conditions Reports, or integration of more discrete project recommendations and outcomes within local plans.

This project also intends to achieve better integration between the research and experience of the local planning staff with the agency's policy team through research, on-going coordination activities, planning updates (which will be similar to policy updates, but geared for immediate use by local partners), and other avenues. Topics for this work plan item may include resilience; water and natural resources; housing; community/economic development; and best practices in infrastructure investment and efficiency.

Products and Key Dates: Development and integration of new topics and approaches, including those being developed through ON TO 2050 work plan items, into LTA projects (On-



Going). Establishment of more formal dialogue between policy and local planning teams. Completion of three to five policy updates (or Local Planning analogue) throughout the year; topics may include resilience, water and natural resources, housing, and community/economic development.

Partner Coordination

Project Manager: Tony Manno

Team: Lopez, Harris, Grover, Ostrander, Smith

Description: The involvement of partner organizations including government, nongovernmental, and philanthropic groups is a central part of CMAP's approach to the LTA program. This work plan item includes identification of appropriate organizations to participate in local projects and coordination of the project processes to involve these organizations, as well as convening partners through working committees, technical assistance providers group, and other formal and informal committees. This project also includes the incorporation of non-traditional topics within LTA projects, such as health, arts and culture, workforce development, and others.

Products and Key Dates: Identification of appropriate partner organizations and roles for each LTA project (On-Going). Presentation of LTA projects to relevant CMAP working committees (On-Going). Regular updates to transit agencies and other relevant stakeholders (monthly). Periodic meetings of the technical assistance providers group (quarterly).

Municipal Survey

Project Manager: Patrick Day

Team: Interns

Description: This project will compile, assess, and summarize the biennial survey of municipalities across the region to understand the degree to which the region's local plans are up-to-date. Survey analysis will also be used to determine local government demand for new LTA project types as well as educational opportunities. The municipal survey began in spring 2016; CMAP will collect and summarize the results.

Products and Key Dates: Assessment and summary of municipal survey (December 2016).

Water Resources Planning

Project Manager: Jason Navota



Team: Beck, Evasic, Hudson

Description: The Water Resources Planning program includes activities related to water quality, water supply, and wastewater, which are guided primarily by CMAP's role as the delegated authority for Areawide Water Quality Planning, GO TO 2040, and Water 2050.

Water quality planning activities involve watershed plan development (for FY17 this is the Lower Salt Creek watershed in DuPage and Cook County) and post-plan implementation support for watershed organizations, including assistance with Section 319 funding applications. This also includes the Volunteer Lake Monitoring Program (VLMP).

Wastewater planning activities include reviewing wastewater Facility Planning Area (FPA) amendment applications and staffing the CMAP Wastewater Committee.

Water supply planning activities were suspended in FY16 due to funding challenges, but may be reinstated in FY17 if funding can be secured.

Products and Key Dates: The Lower Salt Creek watershed planning effort includes quarterly stakeholder meetings, quarterly progress reports, and an executive summary and watershed plan document that are due in December 2017. The VLMP program has regular deadlines throughout each program year for reporting, data management, volunteer training, and technical assistance and outreach. Facility Planning Area reviews are conducted as needed.



TABLE 4: BUDGET DETAIL, LOCAL PLANNING PROGRAM

	Local Planning Support	Community Planning Program	IL Attorney General (Homes)	MacArthur	Cook Co.	IEPA			NOAA	Total
						Water Quality	VLMP	Lower Salt Creek		
PERSONNEL										
Salaries	\$1,250,400	\$0	\$19,900	\$60,500	\$72,500	\$54,700	\$23,100	\$79,200	\$24,100	\$1,584,400
Retirement	\$109,700	\$0	\$1,700	\$5,300	\$6,400	\$4,800	\$2,000	\$6,900	\$2,100	\$138,900
FICA	\$75,600	\$0	\$1,200	\$3,700	\$4,500	\$3,400	\$1,400	\$4,900	\$1,500	\$96,200
Medicare	\$18,100	\$0	\$300	\$900	\$1,100	\$800	\$300	\$1,100	\$300	\$22,900
Health	\$191,700	\$0	\$5,800	\$6,900	\$8,800	\$5,500	\$4,200	\$6,900	\$3,500	\$233,300
Dental	\$12,500	\$0	\$400	\$500	\$600	\$900	\$200	\$1,400	\$200	\$16,700
Vision	\$2,400	\$0	\$100	\$100	\$100	\$200	\$0	\$200	\$100	\$3,200
Education Reimbursement	\$20,000	\$0	\$0	\$0	\$0	\$2,000	\$0	\$0	\$0	\$22,000
Interns	\$70,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$70,000
Total, Personnel	\$1,750,400	\$0	\$29,400	\$77,900	\$94,000	\$72,300	\$31,200	\$100,600	\$31,800	\$2,187,600
Employee PY	17.4		0.3	0.9	1	0.7	0.3	1	0.4	21.4
Indirect Charge	\$667,000	\$0	\$11,800	\$31,300	\$37,800	\$28,200	\$12,500	\$40,400	\$12,800	\$841,800
COMMODITIES										
Publications	\$2,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$2,000
Office Supplies	\$1,000	\$0	\$0	\$0	\$0	\$100	\$400	\$0	\$0	\$1,500
Total, Commodities	\$3,000	\$0	\$0	\$0	\$0	\$100	\$400	\$0		\$3,500
OPERATING										
Staff Assoc. Membership	\$6,000	\$0	\$0	\$0	\$0	\$200	\$250	\$0	\$0	\$6,450
Postage/Postal Services	\$800	\$0	\$0	\$0	\$0	\$0	\$100	\$0	\$0	\$900
Miscellaneous	\$800	\$0	\$0	\$1,000	\$0	\$100	\$1,700	\$0	\$0	\$3,600
Meeting Expenses	\$500	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$500
Printing Services	\$3,000	\$0	\$0	\$0	\$0	\$0	\$50	\$0	\$0	\$3,050
Conference Registrations	\$6,800	\$0	\$0	\$0	\$0	\$300	\$0	\$0	\$0	\$7,100
Training	\$8,000	\$0	\$0	\$0	\$0	\$100	\$100	\$0	\$0	\$8,200
Travel Expenses	\$25,000	\$0	\$500	\$1,500		\$800	\$800	\$500	\$0	\$29,100
Total, Operating	\$50,900	\$0	\$500	\$2,500	\$0	\$1,500	\$3,000	\$500	\$0	\$58,900
CONTRACTUAL SERVICES										
Professional	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0



	Local Planning Support	Community Planning Program	IL Attorney General (Homes)	MacArthur	Cook Co.	IEPA			NOAA	Total
						Water Quality	VLMP	Lower Salt Creek		
Services										
Consulting Services	\$256,000	\$500,000	\$16,000	\$15,000	\$115,000	\$7,000	\$0	\$2,500	\$0	\$911,500
Total, Contractual Services	\$256,000	\$500,000	\$16,000	\$15,000	\$115,000	\$7,000	\$0	\$2,500	\$0	\$911,500
LOCAL PLANNING GRANTS										
Community Planning Grants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total, Local Planning Grants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total, Expenses	\$2,727,300	\$500,000	\$57,700	\$126,700	\$246,800	\$109,100	\$47,100	\$144,000	\$44,600	\$4,003,300
REVENUE										
UWP Operating - FY 2017	\$2,021,840	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$2,021,840
Match - FY 2017	\$505,460	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$505,460
UWP Contracts - FY 2017	\$160,000	\$400,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$560,000
Match - FY 2017	\$40,000	\$100,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$140,000
Chicago Community Trust	\$0	\$0	\$30,700	\$65,200	\$0	\$21,600	\$0	\$0	\$0	\$117,500
IAG	\$0	\$0	\$27,000	\$0	\$0	\$0	\$0	\$0	\$0	\$27,000
MacArthur	\$0	\$0	\$0	\$61,500	\$0	\$0	\$0	\$0	\$0	\$61,500
Cook Co.	\$0	\$0	\$0	\$0	\$246,800	\$0	\$0	\$0	\$0	\$246,800
IEPA	\$0	\$0	\$0	\$0	\$0	\$87,500	\$47,100	\$144,000	\$0	\$278,600
IDNR	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
NOAA	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$44,600	\$44,600
CCT	\$0	\$0	\$0		\$0	\$0	\$0	\$0	\$0	\$0
IDOT	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total, Revenue	\$2,727,300	\$500,000	\$57,700	\$126,700	\$246,800	\$109,100	\$47,100	\$144,000	\$44,600	\$4,003,300



Policy Analysis and Development Program

Program Oversight: Tom Kotarac

GO TO 2040 addresses broad issues of governance and policy, which are equally as important as physical infrastructure to our region's future. The plan's approach in this area is to support activities that create a favorable policy environment for sustainable prosperity and regional job growth. The primary goal of this core program is to use the agency's vast data resources to generate robust analyses in subject areas aligning with GO TO 2040. Dissemination of this analysis provides the context for strategic coordination on policy with other organizations, including administrative and/or legislative action. This core program reflects agency priorities, ranging from transportation finance to economic innovation to state and local taxation to broader land use issues including housing and natural resource policies. The main activities include research and analysis, steering GO TO 2040 and new ON TO 2050 priorities through the agency's committee structure, legislative analysis, and coordination by CMAP staff with other organizations.

AREA 1: Regional Mobility

Federal and State Transportation Policy Analysis

Project Manager: Alex Beata

Team: Hollander, Murdock, Kotarac, New Policy Hire

Description: The Fixing America's Surface Transportation (FAST) Act was passed in December 2015. Despite a number of positive reforms, FAST Act has not addressed sustainable funding. There are also opportunities to refine upcoming rulemakings on developing a performance-based approach to investment decisions. The State of Illinois faces similar challenges, given declining state resources, episodic state bond programs, and unclear methodologies for project prioritization. This project will continue CMAP's leadership role on these key issues.

Products and Key Dates: Research on federal and state transportation finance issues via issue briefs and the Policy Updates blog (On-Going).

Major Capital Projects Implementation

Project Manager: Tom Kotarac

Team: Bozic, Elam, Kotarac, Patronskey, Schuh



Description: While the primary transportation emphasis of GO TO 2040 is to maintain and modernize, the plan contains a handful of fiscally constrained major capital projects that will maximize regional benefits of mobility and economic development. Staff continues to follow an agency strategic plan (FY14-15) for prioritizing opportunities to add value in project development. CMAP will deploy some resources, in coordination with state, regional, and local agencies and groups, to generate the data, information, policy analysis, and outreach to advance implementation of GO TO 2040's fiscally constrained priority projects. The implementation of congestion pricing will continue to be a major priority of this work.

Products and Key Dates: Bi-monthly internal meetings and project updates (On-Going); other technical assistance and involvement with project planning as stipulated in the strategic plan (On-Going). Update strategic plan (December 2016).

Freight Plan and Policy Development

Project Manager: Alex Beata

Team: Project Managers and Teams as noted, and other relevant staff

Description: This project supports analyses for development of a Freight Plan for the CMAP region, scheduled to coincide with publication of the State of Illinois Freight Plan in December 2017. The plan will highlight major directions for freight planning and policy in the CMAP region as well as highlight critical project types. This project contains activities to finalize the existing conditions assessment begun in FY16, new research on policies and strategies, and coordination of programming and engagement activities. The following outlines a series of topical memos and a municipal survey to assist development of the freight plan (project managers are listed first).

Products and key dates:

- Survey of Municipal Freight Regulation Practices (Murdock, Day, Beata, October 2016)
- Freight supportive land use preservation and conflict mitigation strategies (Beata, Oo, New Policy Hire, December 2016)
- Definition of Critical Urban Freight Corridors (Murtha, Beata, Murdock, January 2017)
- Summary of emerging federal safety regulations for trucks and rail (Beata, Murtha, new Policy hire, March 2017)
- Truck Routing Policy and Statutory Strategies (New Policy Hire, Murtha, March 2017)
- Environmental Justice Strategies in the Freight Plan (New Policy Hire, Oo, June 2017)
- Intermodal Practice and Strategy Analysis (Beata, Oo, B. Peterson, Schuh, new Policy hire, July 2017)



- Analysis of Concentrated Freight Land Use & Transportation Corridors (Beata, new Policy hire, July 2017)

AREA 2: Regional Economy

Regional Economic Indicators

Project Manager: Simone Weil

Team: B. Peterson, Komp, Hughes, Beata

Description: CMAP collects and analyzes data on regional economic indicators to keep our partners and the general public aware of the region's broad economic trends, especially related to our major industry clusters and the workforce and innovation recommendations of GO TO 2040. This project continues the update of the existing indicators and associated quarterly policy updates. Policy updates will focus on analyses underway for the next plan and the freight plan.

Products and Key Dates: Quarterly activities include rolling annual updates to the microsite with the inclusion of recently acquired data from other regions and analysis of indicators and related data through series of policy updates.

Supply Chain Analyses

Project Manager: Brian Peterson

Team: Weil, Komp

Description: CMAP's drill down work has indicated the need to improve the movement of goods and workers to support the region's industry clusters. In addition, modernizing approaches to supply chain management are changing the ways that goods move into and through the region. This project will build on the FY16 Supply Chain report to establish a framework for supply chain analyses in the region via a specific assessment of the metals industry supply chain.

Products and Key Dates: CMAP Metals Supply Chain Report (October 2016).

Regional Housing and Development Analysis

Project Manager: Elizabeth Schuh

Team: Burch, Hughes, Morck, Oo, Z. Vernon



Description: GO TO 2040 emphasizes the need to coordinate planning for transportation, land use, and housing. This project will continue to enhance the agency's understanding of housing and land use changes in the region and provide education on topics related to the interaction of land use, transportation, and economic competitiveness. Quarterly analyses via Policy Updates and/or issue briefs will continue to cover trends such as building permits, housing diversity, non-residential land use trends, and demographic shifts. There will be continued integration of the analysis of regional development trends with work under the Regional Tax Policy Analysis project and the Regional Economic Indicators.

Products and Key Dates: Analysis and policy updates on the impacts of demographic, housing, and non-residential development change in the region (quarterly).

Regional Tax Policy Analysis

Project Manager: Lindsay Hollander

Team: Murdock, Oo, D. Ferguson

Description: This project supports CMAP's commitment to efficient governance and state and local tax policy reform through a series of analyses on the key issues affecting transportation, land use, economic development, and equity in northeastern Illinois. This project will also include on-going outreach to CMAP partners on governance and tax policy issues, as well as work to incorporate tax policy analysis into local planning efforts. Topics are likely to include an analysis of regional transportation funding and obligations, community and tax capacity, and/or service sharing and consolidation.

Products and Key Dates: The project will be executed as a series of three issue briefs or policy updates to be published in October 2016, January 2017, and June 2017.

Multijurisdictional Transportation Impacts of Development Corridors

Project Manager: Lindsay Hollander

Team: Oo, N. Peterson

Description: CMAP has provided a series of analyses on the fiscal and economic impacts of various land use types. This project will expand upon that work by analyzing the transportation utilization and cost impacts of retail agglomerations. Tasks include identification of the region's retail corridors, assessment of the role that transportation implementers play in single and cumulative development approvals, and completion of case studies of a subset of retail corridors. The case study analyses will assess transportation network utilization and costs across jurisdictions. A second report focusing on industrial corridors will be scoped in FY17, and an RFP will be issued, with the bulk of the work to be completed in FY18.



Products and Key Dates: Draft Retail Corridors Report (April 2017). Consultant contract for the Industrial Corridors Report (June 2017).

AREA 3: CMAP/MPO Committee Support and Legislative Strategy

State Legislative Analysis and Engagement

Project Manager: Gordon Smith

Team: Kotarac, Weil, Cefali, other policy staff

Description: Under this project, staff will monitor legislative activities at the Illinois General Assembly during regular and veto session and actions taken by the Governor, such as vetoes, executive orders, or other relevant announcements that impact our region. Staff will maintain relationships with key staff in the Illinois General Assembly, Governor's Office, relevant constitutional offices and state agencies to keep abreast of these activities. Staff will also maintain relationships with CMAP's partners and stakeholders to keep informed with their legislative concerns and initiatives.

Staff will also analyze bills of significant interest to CMAP and the status of these bills as they move through the legislative process. Staff will provide written and verbal reports on these activities regularly to executive staff, CMAP board, policy and working committees. Staff will develop Policy Updates on relevant topics of interest. Staff will convene members of the Illinois General Assembly on a semi-regular basis to provide agency updates and identify shared regional challenges.

Products and Key Dates: State Agenda (November 2016). Monthly Board report, final legislative report (June 2017). Veto session report (TBD). Policy Updates on state legislative issues (On-Going). Fact sheets on GO TO 2040 and ON TO 2050 priorities (as needed). Statewide MPO coalition building (On-Going). Create General Assembly CMAP coalition (July 2016). General Assembly Member meetings in Springfield (during sessions). General Assembly Member meetings in Region (On-Going).

CMAP Operations Funding and Regional Infrastructure Fund

Project Managers: Tom Kotarac and Bob Dean

Team: Garritano, G. Smith, Hollander, Porter, Weil, Manning-Hardimon

Description: Under this project, staff will pursue expanding regional infrastructure funding, securing sustainable funding, and implementing a strategy that diversifies CMAP's resources for operating revenues that will match federal funds, allow some expansion of non-transportation activities, enhance the local technical assistance program, and provide capital funding for infrastructure projects that have regional benefits.



CMAAP staff is working with other MPOs across the state on legislation to reinstate and fund the Comprehensive Regional Planning Fund (CRPF), the state funding source for CMAAP, other MPOs and rural planning agencies across Illinois. CMAAP is also working with stakeholders to build support for raising revenues at the regional level to better enhance our transportation and associated infrastructure.

Products and Key Dates: Advocacy for state legislation to reinstate CRPF and fund CMAAP and state-wide MPOs (On-Going). Research and analysis of various regional infrastructure fund concepts (On-Going). Receive contributions from restructured dues system (January 2017). Evaluate first year of restructured dues, fee-for-service, and external grantseeking, and consider whether adjustments are needed (March 2017).

Federal Legislative Strategy

Project Manager: Tom Kotarac

Team: Beata, Porter, other relevant staff

Description: Under this project, staff will monitor actions in the U.S. Congress and other relevant federal agencies that impact our region. Specific continuing areas of focus include implementation of the FAST Act, rail safety legislation, annual appropriations bills, and Water Resources Development Acts.

Products and Key Dates: Federal Agenda (January 2017). Policy Updates on federal legislative issues (On-Going).

CMAAP Committee Support

Team: Porter (policy committees); Dean, Kotarac (coordinating committees); Grover, Dixon (advisory committees); Beck, Dixon, Ostrander, Burch, Weil (working committees); Garritano, Silberhorn

Description: CMAAP has committees at the policy, coordinating, advisory, and working levels that play integral roles in the agency's planning processes. CMAAP provides staff support to these committees. With the adoption of GO TO 2040, committee focus has shifted from the planning process to implementation. While many implementation areas of the plan are led by CMAAP, other areas require leadership from other implementers. Moving forward, CMAAP's committees, primarily at the working level, should be used to ensure that CMAAP can measure progress toward plan implementation on both staff work and efforts by outside implementers.

Products: Agendas, meeting minutes, and supporting materials, for policy, coordinating, advisory, working levels (On-Going). Collect and share information on GO TO 2040 implementation and ON TO 2050 activities occurring throughout the region at the working



committee level (On-Going). Revisit committee structure, purpose, and composition based on agency priorities, and restructure as needed (July 2016).

TABLE 5: BUDGET DETAIL, POLICY ANALYSIS AND DEVELOPMENT PROGRAM

	Policy	Development	Total
PERSONNEL			
Salaries	\$1,433,600	\$0	\$1,433,600
Retirement	\$178,200	\$0	\$178,200
FICA	\$74,400	\$0	\$74,400
Medicare	\$20,800	\$0	\$20,800
Health	\$145,000	\$0	\$145,000
Dental	\$9,900	\$0	\$9,900
Vision	\$2,100	\$0	\$2,100
Education Reimbursement	\$0	\$0	\$0
Interns	\$20,000	\$0	\$20,000
Total, Personnel	\$1,884,000	\$0	\$1,884,000
Employee PY	14.7		14.7
Indirect Charge	\$748,800	\$0	\$748,800
COMMODITIES			
Publications	\$500	\$0	\$500
Office Supplies	\$500	\$0	\$500
Total, Commodities	\$1,000	\$0	\$1,000
OPERATING			
Staff Assoc. Membership	\$1,000	\$0	\$1,000
CMAA Assoc. Membership	\$20,000	\$0	\$20,000
Postage/Postal Services	\$4,000	\$0	\$4,000
Miscellaneous	\$2,000	\$0	\$2,000
Legal Services	\$5,000	\$0	\$5,000
Printing Services	\$5,000	\$0	\$5,000
Meeting Expenses	\$500	\$0	\$500
Conference Registrations	\$9,000	\$0	\$9,000
Training	\$6,000	\$0	\$6,000
Travel Expenses	\$43,000	\$0	\$43,000
Total, Operating	\$95,500	\$0	\$95,500
CONTRACTUAL SERVICES			
Software	\$0	\$0	\$0
Consulting Services	\$80,000	\$45,000	\$125,000
Total, Contractual Services	\$80,000	\$45,000	\$125,000



	Policy	Development	Total
Total, Expenses	\$2,809,300	\$45,000	\$2,854,300
REVENUE			
UWP Operating - FY 2017	\$2,247,440	\$0	\$2,247,440
Match - FY 2017	\$561,860	\$0	\$561,860
General Fund	\$0	\$45,000	\$45,000
Total, Revenue	\$2,809,300	\$45,000	\$2,854,300



Performance-Based Programming Program

Program Oversight: Jesse Elam

Performance-based funding is a major transportation policy priority of GO TO 2040, and the “Invest Strategically in Transportation” chapter devotes an implementation action area section to “Finding Cost and Investment Efficiencies.” While the Plan also recommends new or innovative revenue sources, the larger emphasis is on making more cooperative, transparent, and prioritized decisions, using the best evaluation criteria possible. This core program carries out MPO programming functions (CMAQ, Transportation Alternatives) and refines the region’s capacity to evaluate the larger universe of transportation expenditures and needs in northeastern Illinois. It also carries out federal requirements related to performance measurement and the Congestion Management Process.

CMAQ and TAP Program Development

Project Manager: Doug Ferguson

Team: Menninger, Murtha, Patronsky, Frank, Nicholas, Elam, Brown, Ross, Irvin

Description: CMAP programs the federally-funded Congestion Mitigation and Air Quality Improvement program (CMAQ) and Transportation Alternatives program (TAP). CMAP will issue a joint call for projects for these two programs, followed by staff evaluation and discussion by CMAP committees. Approval of the program is expected to occur in FY18.

Products and Key Dates: Refine project prioritization methodology (fall 2016). Call for projects (January 2017). Committee engagement (spring 2017). Staff program released for public comment (July 2017). MPO approval (October 2017).

Performance Monitoring

Project Manager: Tom Murtha

Team: Schmidt, Nicholas, Frank, Irvin, Bozic

Description: This project oversees the diverse efforts undertaken at CMAP to monitor the performance of the transportation system, including on-going data acquisition, processing, visualization, and updating of the performance measurement pages on the CMAP website. One purpose is for basic performance tracking through a selection of transportation indicators while another is the continued refinement of the information used to guide project programming. Focus areas for this year will include enhancing the analysis of vehicle inspection data to help evaluate the impact of transportation projects and land use on driving behavior as well as improving the understanding of incident clearance times.



Products and Key Dates: Draft list of indicators and measures intended for acquisition and processing in FY17 (July 2016). Finalize list (September 2016). Carry out data acquisition and processing (On-Going).

Congestion Reduction Indicator Refinement

Project Manager: Claire Bozic

Team: Schmidt, Murtha, Ross

Description: The GO TO 2040 plan includes a goal to significantly reduce congestion in the region over the next 25 years. This study will evaluate more specifically what is needed to reach this goal, including highway operations strategies, capacity expansion, etc., and will include consideration of technology and demographic changes. The results will be used to inform the selection of strategies and the process of setting targets for congestion in the region.

Products and Key Dates: Full scope (August 2016). Draft report (May 2017).

Transit Ridership Growth Study

Project Manager: Martin Menninger

Team: Elam, N. Peterson, Bozic, consultant services

Description: The GO TO 2040 plan includes goals to significantly increase public transit ridership over the next 25 years. This study will evaluate more specifically what is needed to reach this goal, including transit investments to increase capacity, policy changes related to parking, roadway pricing, and land use, and changes in external factors related to demographics, travel preferences, and business locations. The results will be used to inform the selection of strategies and the process of setting targets for ridership growth in the region in the next long-range plan. CMAP will collaborate with RTA and the transit service in this project.

Products and Key Dates: Draft report (October 2016). Final report (December 2016).

Greenways and Trails Plan Update

Project Manager: Brian Daly

Team: Bayley, Murtha, O'Neal

Description: The Regional Greenways and Trails Plan was published in 2009 and in many cases relied on older data. This project will update the plan by revisiting originally proposed trails to ensure they are still valid recommendations, proposing new linkages where



appropriate, and making any technical corrections needed, such as trail name changes or altering alignments to reflect local planning. CMAP will engage stakeholders on a draft plan, and work to tie this product and Green Infrastructure Vision more closely together.

Products and Key Dates: Draft regional trails plan map (September 2016).

Truck Freight Movement and Bottleneck Analysis

Project Manager: Tom Murtha

Team: Schmidt, A. Brown, Frank, Beata

Description: Continuing the freight plan development work from FY16, staff will continue to explore and analyze technical data, including the ATRI and NPMRDS trucking datasets. Specific research tasks include an analysis of truck origins and destinations, with a focus on crosstown intermodal trucking, analysis of trucking bottlenecks, and an overall freight network deficiency analysis.

Products and key dates: Truck origin and destination overview (September 2016). Crosstown trucking analysis (November 2016). Updated truck bottleneck analysis (September 2016). Updated freight deficiency analysis (October 2016).

Highway Safety Targets and Strategy Development

Project Managers: Todd Schmidt and Parry Frank

Team: Nicholas

Description: Ensuring the safety of all transportation system users, motorized and non-motorized, is a top priority for all transportation agencies in the region. After declining sharply in the late 2000s, traffic-related serious injuries and fatalities remained steady for several years and now appear to be climbing again. MPOs also have new responsibilities for performance measurement and target-setting under MAP-21 and the FAST Act. This project will provide a synopsis of current crash trends in the region, identify safety strategies and policies for CMAP to consider in ON TO 2050, and develop potential safety targets for the region to meet new requirements under federal law.

Products and Key Dates: Draft report (March 2017); final report (May 2017).

Survey Research and Update of Household Travel Survey

Project Manager: Craig Heither



Team: N. Ferguson, Matthews, Lopez, Frank, consultant services

Description: This project implements the strategic plan for survey research at CMAP, which establishes a strategy and management concept for conducting on-going survey research at the agency. The major FY17 task is to begin CMAP's next regional household travel survey, a multi-year effort that includes procurement of a survey research firm to carry out the survey. For transportation modeling purposes, household travel surveys generally need updating every ten years, and CMAP's last survey was conducted in 2007. Additional tasks will focus on completing data collection for the FY16 bicycle usage survey and subsequent data analysis.

Products and Key Dates: Requests for information from survey research firms (July 2017). Complete data collection of bicycle usage survey (September 2016). Request for proposals for household travel survey (October 2016). Post-survey evaluation of bicycle usage data and collection mechanism (November 2016). Household travel survey launch (January 2017).



TABLE 6: BUDGET DETAIL, PERFORMANCE-BASED PROGRAMMING

PERSONNEL	
Salaries	\$532,600
Retirement	\$46,700
FICA	\$32,800
Medicare	\$7,700
Health	\$112,300
Dental	\$7,000
Vision	\$1,400
Interns	\$10,000
Total, Personnel	\$750,500
Employee PY	7
Indirect Charge	\$297,500
COMMODITIES	
Publications	\$400
Office Supplies	\$300
Total, Commodities	\$700
OPERATING	
Staff Assoc. Membership	\$1,000
Printing Services	\$500
Conference Registrations	\$1,400
Training	\$2,000
Travel Expenses	\$5,000
Total, Operating	\$9,900
CONTRACTUAL SERVICES	
Consulting Services	\$0
Total, Contractual Services	\$0
Total, Expenses	\$1,058,600
REVENUE	
UWP Operating - FY 2017	\$846,880
Match - FY 2017	\$211,720
Total, Revenue	\$1,058,600



Transportation Improvement Program (TIP)

Program Oversight: Ross Patronsky

The purpose of the TIP is to establish and implement a short-range transportation program implementing the long-range transportation goals identified in GO TO 2040. This program develops and actively manages the region's TIP. Products developed under this work program also assess accomplishment of the TIP and evaluate how it meets the goals of GO TO 2040, and moves the region toward performance-based programming.

Federal, state, and local policies and regulations are monitored and analyzed to ensure CMAP's TIP satisfies these requirements. The region is required by federal law to develop and maintain a fiscally constrained TIP which, together with the fiscally constrained major capital projects in GO TO 2040, conforms to the State Implementation Plan (SIP) demonstrating how the region will attain national ambient air quality standards.

Transportation Improvement Program Development and Management

Project Manager: Teri Dixon

Team: Dobbs, Kos, Maddux, Patronsky, Pietrowiak, Zubek

Description: Work with stakeholders in the region to align the TIP with GO TO 2040. Develop and use reporting tools to support project choices implementing GO TO 2040 and performance-based programming. Ensure all local, state, and federal requirements are met including fiscal constraint, public involvement, documentation, conformity (see next project) and reporting. Maintain on-going communication with partner agencies to ensure that the region meets state and federal requirements and that these agencies support the programming needs of the region. Manage TIP project entry and changes and process TIP change approvals through CMAP committees. Produce the annual obligation report documenting expenditure of funds and progress of capital projects in the region.

Products and Key Dates: TIP with updates and amendments (as needed); consultation with local, state, and federal agencies (On-Going); TIP documentation including maps, fiscal marks, general public brochures, training materials/courses, and web pages (On-Going); annual obligation analysis report (October 2016); analysis of expenditure information to identify spending trends (June 2017); fiscal marks (November 2016); Title VI plan as needed (June 2017); data to support certification reviews (June 2017).

Conformity of Plans and Program

Project Manager: Ross Patronsky



Team: Bozic, Heither, Kos, Pietrowiak

Description: Northeastern Illinois does not attain national ambient air quality standards for certain pollutants. It is currently classified as a non-attainment area for the eight-hour ozone standard adopted in 2008, and is in maintenance status for the 1997 fine particulate matter (PM_{2.5}) standard.

To meet the air quality requirements, the region must implement a transportation program which will help reduce levels of these pollutants or maintain the existing levels. As part of the transportation planning and programming process, the impact of proposed transportation activities on the region's air quality is evaluated. This evaluation, called a conformity analysis, is submitted to the U.S. Environmental Protection Agency for review before a long-range regional transportation plan or TIP is approved or amended. The conformity analysis must demonstrate that the emissions resulting from the plan and TIP meet the requirements of ("conform to") the air quality regulations. To ensure the flow of federal transportation funds to the region, state and federal legislative and regulatory changes are tracked and appropriate changes made, informed by the Tier II consultation process.

Products: GO TO 2040/TIP conformity analyses (as needed, generally twice a year in October and March). Documentation of conformity process (On-Going). Updated data and methods used in conformity analyses (On-Going). Support for development of SIPs (as needed). Analyses of air quality issues for regional decision-makers (as needed). Mobile source greenhouse gas emissions estimate to support other agency work (On-Going). Agendas, meeting minutes, findings and interagency agreements, and supporting materials for the Tier II Consultation Team (as needed).

CMAQ and TAP-L Active Program Management

Project Manager: Doug Ferguson

Team: Dixon, Dobbs, Maddux, Patronskey, Pietrowiak

Description: Actively manage the CMAQ and TAP-L programs developed by CMAP to ensure that transportation projects proceed in a timely manner and all available funding is used efficiently, using adopted policies. Prepare active program management reports to document regional expenditure targets and progress towards them.

Products and Key Dates: Review CMAQ project status (December 2016, June 2017); accomplishment of the annual CMAQ obligation goal (September 2017); act on CMAQ project change requests (On-Going); review TAP-L project status (On-Going); act on TAP-L project change requests (On-Going); provide semi-annual updates on the TAP-L program to the Transportation Committee (November 2016, May 2017); prepare agendas, meeting minutes, and supporting materials for the CMAQ Project Selection Committee (as needed); provide



supporting information for CMAQ call for projects (November 2016 through June 2017, continuing to October 2017).

Local STP Active Program Management

Project Manager: Russell Pietrowiak

Team: Dixon, Dobbs, Maddux, Zubek

Description: Develop fiscal marks and maintain fiscal constraint for local STP programs in the TIP. Develop active program management reports and facilitate advance funding.

Products and Key Dates: Fiscal marks (On-Going). Program management reports and recommendations (On-Going). Locally programmed project status assessments (as needed); advance funding analyses and recommendations (as needed)

Council of Mayors Support

Project Manager: Teri Dixon

Team: Dobbs, Maddux, Zubek

Description: Provide guidance and support for the Council of Mayors (COM) and Planning Liaison program. Develop talking points for use while attending sub-regional Council meetings. Ensure communication between CMAP and municipal officials. Ensure coordination and communication among CMAP divisions involved with public outreach. Staff the Council of Mayors Executive Committee.

Products and Key Dates: Talking points for CMAP staff participating in COM/COG/Transportation Committee meetings (On-Going). Agendas, meeting minutes, and supporting materials for the Council of Mayors Executive Committee (as needed, generally four times in a year). Periodic meetings of CMAP divisions involved with public outreach.

Integrated Database Development and Maintenance

Project Manager: Kama Dobbs

Team: Beata, Bozic, Clark, Dixon, D. Ferguson, Heither, Hollander, Kos, Maddux, Murtha, Patronskey, Peterson, Pietrowiak, Schmidt, Tiedemann, Zubek

Description: In 2016 CMAP undertook development of an integrated transportation planning, programming, and tracking database. This database is made up of distinct but connected components: a back end for storing, processing, and organizing data; a user interface for implementers to enter and update data; a GIS-based mapping application for entering,



displaying, querying, and retrieving location-based data; and an analysis and visualization component for displaying and querying data interactively via tables, charts, and/or graphs. The database was rolled out in the spring of 2016. On-going maintenance is required, together with implementation of features not included in the initial rollout.

Products and Key Dates: Ongoing maintenance and minor enhancements (On-Going). Implement direct extract of data from FHWA FMIS system (September 2016). Enable display of GIS-based attribute data (December 2016). Implement online call for projects system to be used for CMAQ and TAP-L (January 2017). Identify data associated with federally-required performance measures to associate with TIP projects (June 2017). Develop queries and reports to support production of obligation report and other data summaries (April 2017).

TABLE 7: BUDGET DETAIL, TRANSPORTATION IMPROVEMENT PROGRAM (TIP)

PERSONNEL	
Salaries	\$539,800
Retirement	\$110,900
FICA	\$33,500
Medicare	\$7,800
Health	\$94,700
Dental	\$6,300
Vision	\$1,200
Education Reimbursement	\$0
Interns	\$10,000
Total, Personnel	\$804,200
Employee PY	6.9
Indirect Charge	\$319,000
COMMODITIES	
Publications	\$500
Office Supplies	\$1,000
Total, Commodities	\$1,500
OPERATING	
Staff Assoc. Membership	\$100
Postage/Postal Services	\$100



Miscellaneous	\$0
Meeting Expenses	\$0
Printing Services	\$300
Conference Registrations	\$1,000
Training	\$500
Travel Expenses	\$10,000
Total, Operating	\$12,000
CONTRACTUAL SERVICES	
Software Maintenance	\$0
Professional Services**	\$0
Consulting Services	\$110,000
Total, Contractual Services	\$110,000
Total, Expenses	\$1,246,700
REVENUE	
UWP Operating - FY 2017	\$997,360
Match - FY 2017	\$249,340
Total, Revenue	\$1,246,700



ON TO 2050 Development

Program Management: Kristin Ihnchak, Liz Schuh

This program will continue developing ON TO 2050, which is due to be complete in 2018. GO TO 2040 provides a solid foundation and vision for the future of the region. Development of the next comprehensive regional plan will build upon that foundation and refine the major policy objectives of GO TO 2040 in a manner that is supportive of the agency's core land use and transportation functions, as well as identify limited new policy directions that are complementary to CMAP's role. More specific policies and recommendations may address both the level of detail in the current plan's policies as well as expand to place-based approaches for some policy areas. Research and analysis performed in FY17 will continue to refine policy approaches as well as develop the required resources for socioeconomic forecasting, scenario planning, the financial plan, and transportation project assessment and selection. Continuing stakeholder and public engagement is also included in this approach.

Area 1: Plan Outreach and Communications

Comprehensive Plan Communications Strategy

Project Manager: Tina Fassett Smith

Team: Ihnchak, Schuh, Garritano, and other relevant staff

Description: This area will support the comprehensive plan program co-leaders by continuing the implementation of a focused communications strategy to enhance the effectiveness of all projects within the program. This effort will include helping program and project leaders to articulate clear priorities that are necessary for successful stakeholder engagement and for the success of the plan itself. This project will develop a new or updated long-term communications and outreach strategy document annually. Support in FY17 will include helping to form messaging and communication strategies for key stakeholders around particular topics of interest for ON TO 2050, developing required supportive web and print materials, and building media and stakeholder awareness of the plan and engagement opportunities.

Products and Key Dates: Continue to develop messaging and communications strategies for plan development work (On-Going). Assist in preparation of regional priorities report (October 2016) and snapshot reports (On-Going). Prepare public-facing materials in preparation for public engagement around alternative futures (spring 2017). Develop web mapping tool for layers and interactives (On-Going). Carry out other on-going communication activities to be identified in support of ON TO 2050.



Comprehensive Plan Outreach Strategy

Project Manager: Jane Grover

Team: Ihnchak, Schuh, Garritano, Harris, and other relevant staff

Description: The outreach strategy for ON TO 2050 will seek to establish a broad coalition of support among a variety of audiences, including elected officials and local governments, service providers, business leaders, nonprofit organizations, philanthropic stakeholders, and others. Specific outreach activities in FY17 will include continued engagement around plan kick-off activities, including facilitating regional opportunities and challenges workshops and topical forums, along with preparation for the intensive summer of engagement around alternative futures in 2017. In addition, the outreach team will provide support to strategy paper leaders in engagement efforts around specific topics of interest to the planning process. This project will contribute substantially to the long-term communications and outreach strategy document described above.

Products and Key Dates: Assist in preparation of regional priorities report (October 2016). Organize and develop topical forums (On-Going). Preparatory tasks for alternative futures engagement (On-Going). On-going stakeholder and partner engagement as needed.

Plan Format Development

Project Managers: Kristin Ihnchak, Liz Schuh

Team: Dean, Fassett Smith, Garritano, Grover, Murdock, Weiskind, and other relevant staff

Description: This project will develop the format and organizational structure for ON TO 2050 to set the foundation for drafting the plan in FY18. Online and printed formats will be considered, and work may include investigation of web platforms that could help communicate the plan to various audiences. It is anticipated that initial ON TO 2050 plan themes, as well as key audiences, will be identified, and peer MPO plans reviewed, to inform the organizational structure and format. This project will also identify preliminary plan implementation priorities to set the agency up for implementation success directly following the plan's adoption.

Products and Key Dates: Review of peer MPOs (December 2016). Proposed plan format (June 2017). Preliminary implementation strategy (June 2017).

Area 2: Analysis and Strategy Development

Alternative Futures Scenario Development

Project Managers: Kristin Ihnchak, Liz Schuh



Team: Fassett Smith, Grover, Heither, Irvin, Komp, Oo, Patronskey, Zwiebach, and other relevant staff

Description: The summer of 2017 will feature public engagement around potential alternative futures for the region. Preparatory work for this engagement will continue in FY17, including identification of various alternative futures (such as the regional impacts of drastic climate change, increased elderly population, advances in transportation technology, etc.), high-level research and analysis of the probable impacts of those futures, selection of a set of futures to focus on during the engagement process, development of selected futures and workshop format (including MetroQuest), and initial deployment of outreach activities.

Products and Key Dates: Research and development of concepts (On-Going). Forum on the set of concepts (October 2016). Proposed alternative futures engagement strategy (March 2017).

Regional Snapshot Analyses

Project Managers: Kristin Ihnchak, Liz Schuh

Team: Project managers and teams as noted, Communications and Outreach staff, and other relevant staff

Description: This project will continue developing a series of snapshot reports that assess existing conditions and regional progress on topics and indicators emphasized in GO TO 2040 as well as selected areas being evaluated for ON TO 2050. Snapshot reports will continue to be brought to CMAP working committees for review and comment. They may also be discussed by appropriate ON TO 2050 Resource Groups. Specific analyses will include (project managers are listed first for each team):

- Highway network and trends (Elam, Murtha, Menninger; July 2016)
- Freight system trends (Beata, Murdock, Murtha, new Policy hire; July 2016)
- Transit network and trends (Elam, Murtha, Menninger, Bozic; August 2016)
- Local governance and tax policy trends (Weil, Hollander, Murdock, Komp; November 2016)
- Natural resources trends (Daly, Beck, Navota, Irvin; December 2016)
- Non-motorized transportation (Bayley, Daly, O'Neal; February 2017)
- Local food (Daly, Navota; March 2017)
- Other key topics as identified in the planning process

Products and Key Dates: Snapshot reports (April 2016 – March 2017).

Assessment of New Policy Directions

Project Managers: Kristin Ihnchak, Liz Schuh



Team: Project managers and teams as noted, Communications and Outreach staff, and other relevant staff

Description: This area will continue to evaluate more specific strategies for selected GO TO 2040 policies and assess some new policy areas through the creation of strategy papers and other narrative products, which will summarize the agency's potential approach to each area. Project areas addressing topics that cross multiple CMAP committees and/or areas of greater potential policy change may utilize Resource Groups comprised of committee representatives and other key stakeholders. Memos and strategy papers developed under this area are expected to be brought to CMAP working committees and key stakeholders for discussion following their completion. Each team will also create a memo assessing options for updated or new related indicators. Topics for evaluation include (project managers are listed first for each team):

- Housing supply and affordability (Burch, Jarr, Oo, New Planning Hire; August 2016)
- Lands in transition (Beck, Daly, Navota, Oo; August 2016)
- Transit modernization (Menninger, Komp, Irvin, Elam; September 2016)
- Reinvestment and infill strategies (Manno and Oo, Zwiebach; September 2016)
- Inclusive growth (Murdock, Harris; October 2016)
- Asset management (Murtha, Elam; November 2016)
- Transportation technology (Irvin, Beata, Murtha; December 2016)
- Community capacity (Day, Hollander, Komp; June 2017)
- Water (Navota, Beck, Hudson; January 2017)
- Stormwater (Beck, Evasic, Navota; February 2017)
- Regional economic cluster analysis (B. Peterson, Komp, Hughes; March 2017)
- Economic resilience (B. Peterson, Weil, Komp; May 2017)
- Disinvested areas (Oo, Murdock, Burch, Manno; March 2017)
- Energy (Olson, Peterson; March 2017)
- Public health (Zwiebach, Johnson; June 2017)
- Other key policy areas identified in the planning process

Products and Key Dates: Strategy papers and other narrative products (March 2016 – June 2017). Regional indicator memos (April 2016 – June 2017).

Place-Based Approach: Layers Development

Project Managers: Kristin Ihnchak, Liz Schuh

Team: Daly, Patronskey, Vernon, Zwiebach, strategy paper project managers, and other relevant staff

Description: One goal of ON TO 2050 is to utilize a “place-based approach” to translate the plan’s broad regional policies into local solutions for a variety of partners. The selected



approach, layers, will use data layers and mapping to provide targeted and more localized recommendations for key policy areas. This program area will further develop the approach by prioritizing potential layers and moving forward with developing the selected layers over the course of FY17. The team will also identify appropriate ways to integrate layers into the context of the regional plan. CMAP committees and other stakeholders will continue to be strategically engaged in the development of this approach.

Products and Key Dates: Select layers for FY17 development (July 2016). Memo on pilot layers and framework for layers integration into ON TO 2050 (August 2016). Pilot layers complete (December 2016). Development of selected layers (deadlines TBD).

Regionally Significant Project Evaluation

Project Manager: Jesse Elam

Team: Bozic, Frank, Heither, Irvin, N. Peterson, Menninger, Murtha, Schuh, D. Ferguson

Description: This project will determine the universe of transportation projects to be considered in ON TO 2050 and evaluate the projects' performance against an appropriate set of metrics. A call for projects to include in the plan is expected early in the fiscal year. Committee engagement will be on-going throughout the process, including verification of the measures to be used and review of the results.

Products and Key Dates: Identify "universe" of regionally significant projects (November 2016). Prepare draft needs analysis and project benefit report (June 2017). Committee engagement (On-Going).

Financial Plan Development

Project Manager: Lindsay Hollander

Team: Beata, Elam, Komp, Patronskey, Schuh, Schmidt

This project will update revenue and expenditure information and the overall fiscal constraint of the plan from GO TO 2040 and develop new forecasts for ON TO 2050. There will be a particular emphasis on understanding the tradeoffs of different investment strategies, as well as in engaging key stakeholders throughout the process. Staff will also conduct analysis of potential new and refined revenue sources, such as a VMT fee and/or congestion pricing. This project will involve close collaboration with the capital project evaluation.

Products and Key Dates: Conduct outreach to key stakeholders on typical project costs, lifecycles, and categorization (On-Going). Scope of work (July 2016). Confirm revenues (November 2016). Develop expenditure categories (May 2017). Financial plan to be completed in FY17.



Area 3: Technical Analysis

Socioeconomic Forecast and Local Area Allocation

Project Manager: David Clark

Team: Ihnchak, Schuh, Heither, B. Peterson, N. Peterson, Prasse, and other relevant staff

Description: With consultant support, develop tools and methodologies necessary to support on-going population forecasting and allocation efforts. FY17 activities include finalizing out-year and interim-year regional totals of population and employment, and implementing the technical approach to localized growth projections to be realized in FY17. Staff and the consultant will hold two separate events to solicit input from local jurisdictions on their development and land use plans to inform the local area allocation. Staff will also assist in development of materials to communicate the results of the regional socioeconomic forecast. Staff will engage CMAP committees and key stakeholders throughout to generate feedback.

Products and Key Dates: Finalize horizon and interim-year regional population and employment projections (July 2016). Assist in development of materials to communicate the initial socioeconomic forecast results (August 2016). Finalize small-area allocation tool and initial local allocation (December 2016).

Plan Indicators Development

Project Manager: Noel Peterson

Team: Ihnchak, Schuh, D. Clark, N. Ferguson, Heither, Vernon, and other relevant staff

Description: GO TO 2040 includes a set of indicators to track the plan's progress toward implementation. The 2014 Plan Update revised several of these indicators, including modifying the way in which the indicator was measured to respond to data availability. This project will build upon that analysis to update the GO TO 2040 indicators, identify new indicators for policies that are new to ON TO 2050, and modify existing measures and future targets if appropriate. This project will assess both the GO TO 2040 indicators and the kindred indicators in the regional economy and tax policy areas.

Products and Key Dates: Memo on possible new indicators (January 2017). Memo on refinement of existing indicators (March 2017). Memo on proposed ON TO 2050 indicators (May 2017).

Long Range Plan Data and Tool Development

Project Manager: Zachary Vernon



Team: D. Clark, N. Ferguson, Heither, Matthews, and other relevant staff

Description: This project supports various projects underway for development of the next long-range plan. FY17 tasks include working in coordination with Plan project managers to acquire or develop tools needed for analysis of critical topic areas; working with the regional snapshot and strategy paper teams to develop analytical approaches and data analyses; with the Data and Information Services team to acquire existing public and proprietary datasets identified in the Data Resources work plan; and coordinating with Regional Inventories team to develop necessary datasets not available elsewhere.

Products and Key Dates: Support the development of snapshots and strategy papers through tasks such as developing and analyzing related metrics (i.e., infill capacity and green coverage) and aiding in data analysis for various topics as needed (On-Going).



**TABLE 8: BUDGET DETAIL, COMPREHENSIVE REGIONAL PLAN
DEVELOPMENT PROGRAM**

PERSONNEL	
Salaries	\$852,800
Retirement	\$85,400
FICA	\$52,100
Medicare	\$12,400
Health	\$119,500
Dental	\$8,300
Vision	\$1,700
Education Reimbursement	\$0
Interns	\$10,000
Total, Personnel	\$1,142,200
Employee PY	11.4
Indirect Charge	\$454,800
OPERATING	
Meeting Expenses	\$500
Printing Services	\$100
Travel Expenses	\$3,000
Total, Operating	\$3,600
CONTRACTUAL SERVICES	
Professional Services	\$0
Software License	\$0
Consulting Services	\$140,000
Total, Contractual Services	\$140,000
Total, Expenses	\$1,740,600
REVENUE	
UWP Operating - FY 2017	\$1,392,480
Match - FY 2017	\$348,120
Total, Revenue	\$1,740,600



Research and Analysis Program

Program Oversight: Craig Heither and David Clark

GO TO 2040 calls for improved access to information and development of advanced modeling and forecasting tools. This core program's primary mission is to ensure that CMAP staff and planning partners have access to quality data resources and state-of-the-art analysis tools supported by a well-trained research team that is fully engaged in the technical implementation challenges of the plan.

This program serves as a primary data resource for regional land use and transportation planning in our region and supports CMAP's on-going data exchange and dissemination activities. It provides data and technical support to several on-going regional planning and policy initiatives including implementation of GO TO 2040. The program benefits CMAP staff and partners who rely on current and reliable data resources to conduct planning analyses.

This program also serves CMAP's longstanding commitment to preparing regional forecasts and modeling analyses to support transportation, land use, and environmental planning. In addition to maintaining standard modeling procedures essential to regional program and plan evaluations, this program implements CMAP's strategic plan for advanced model development in response to priority policy analyses and comprehensive regional planning questions established by GO TO 2040.

Regional Inventories

Project Manager: David Clark

Team: Brown, Cruise, Dryla-Gaca, Morck, Pedersen, N. Peterson, Prasse, Ross, Vernon, Interns

Description: Development and maintenance of specialized datasets used in policy analysis, local planning, programming decisions and modeling activities. On-going tasks include maintaining and updating regional datasets such as: land use inventory, development database (NDD), employment estimates, bikeways inventory (BIS), and Facilities Planning Area (FPA) boundaries. A priority for FY17 is a rigorous update of NDD, land use, and employment data, which are critical inputs to the next long-range socioeconomic forecast. Also for FY17 are the continued development of a Local Technical Assistance data archive as well as a traffic signal inventory and a multi-agency assemblage of bicycle count data.

Products and Key Dates: 2015 Land Use Inventory update (continues into FY18). Employment data (final 2015 estimates at the local level). NDD and BIS datasets (updated continuously, posted quarterly). Aerial imagery scanning project (complete scanning of 1990 set). FPA, Local Technical Assistance Archive (On-Going). Bike Count Data Repository (prototype, September



2016; in production by December 2016). Traffic Signal Inventory (finalize design and work flow September 2016, production begins in Q2). Product documentation (On-Going). Coordinate with Data and Information Services team for internal and external access (On-Going).

Data and Information Services

Project Manager: David Clark

Team: Bozic, Brown, Dubernat, N. Ferguson, Hallas, Matthews, Pedersen, Prasse, Vernon

Description: Maintain in-house collection of public datasets; acquire and catalog new releases and archive obsolete datasets per established schedule. Monitor procurement and licensing of proprietary datasets and enforce dissemination restrictions. Maintain CMAP Data Hub, posting new, historical, or updated datasets as they become available; coordinate maintenance activities with IT. Respond to public requests for static data and information. Respond to external requests for data housed at CMAP and to assist in directing requestors to appropriate sources of information such as Census or other agencies. Respond to Freedom of Information Act (FOIA) and Developments of Regional Importance (DRI) requests. Maintain status as Census State Data Center (SDC) Coordinating Agency and render assistance to SDC Lead Agency as time and resources permit.

Products and Key Dates: Schedule, procure, and document of public and proprietary datasets (On-Going). Populate Data Hub with agency datasets as they are released (On-Going). Accessible documentation of external data (including FOIA) requests, record of responses, and inventory of personnel and level-of-effort required to complete (On-Going).

Advanced Travel Model Implementation

Project Manager: Craig Heither

Team: Bozic, Rice, N. Peterson, Brown, Cruise, Ross

Description: This project continues CMAP's commitment to developing advanced modeling tools and improving the policy responsiveness of the agency's forecasting, evaluation and analysis tools. Many of the modeling improvements implemented since the adoption of GO TO 2040 incorporate advanced agent-based and microsimulation techniques that provide more robust sensitivity to the policy objectives of GO TO 2040. Major tasks for the fiscal year are to continue developing procedures and input datasets to transition the freight demonstration model into a production-quality analysis tool and to develop future-year scenario inputs for the activity-based model. These tasks can help CMAP address policy questions asked during the development of ON TO 2050. This project will also promote and support the use of existing advanced modeling products among partners and GO TO 2040 implementation efforts.



Products and Key Dates: Support congestion pricing, transit modernization, and major capital project implementation efforts at CMAP and among partners (On-Going). Develop advanced modeling tool input datasets (On-Going). Activity-Based Model validation report (September 2016).

Travel and Emissions Modeling

Project Manager: Nick Ferguson

Team: Heither, Bozic, Rodriguez, N. Peterson, Clark

Description: Maintenance and enhancement of existing MPO travel demand models, including incorporation of procedural improvements into production models as well as continuous updates to regional highway and transit network databases. Major tasks are to provide travel demand forecasts for major capital project evaluations and conformity analyses. Continue evaluating improved methods for representing commercial vehicle movements within the travel demand models and test and evaluate improved transit assignment procedures.

Products and Key Dates: Validated regional travel demand model and documentation (On-Going). Air quality conformity analyses (scheduled twice annually). Evaluation of commercial vehicle and transit assignment improvements (May 2017).

Transportation Modeling Services to Regional Partners

Project Manager: Jose Rodriguez

Team: Heither, Bozic, Cruise, Schmidt

Description: This project encapsulates the travel demand modeling services CMAP provides in support of its regional partner agencies, and the related data collection activities. Major tasks are to provide on-going small area traffic forecast assistance to regional partners as well as to support the modeling needs of regional partners' project studies. This project also includes development and support of the Transportation Data Archive, incorporates the catalog of CMAP-prepared traffic projections and houses CMAP's annual traffic count data collection activities, which are used to develop and maintain transportation data and analysis methods for planning and policy analysis within CMAP.

Products and Key Dates: Complete small area traffic forecast requests (On-Going). Provide travel modeling assistance to partner's project studies (as needed). Develop and introduce new applications for Transportation Data Archive (June 2017).



Survey Research and Update of Household Travel Survey

Project Manager: Craig Heither

Team: N. Ferguson, Matthews, Lopez.

Description: This project implements the strategic plan for survey research at CMAP, which establishes a strategy and management concept for conducting on-going survey research at the agency. FY17 tasks are focused on continuing to build professional capacity in survey development, execution and analysis in preparation for the future launch of CMAP's next regional household travel survey. Major tasks will focus on completing data collection for the bicycle usage survey and subsequent data analysis, continued investigation of the use of passively-collected spatial data to infer travel information, and investigation of emerging trends in travel survey data collection and management.

Products and Key Dates: Complete data collection of bicycle usage survey (September 2016).
Post-survey evaluation of bicycle usage data and collection mechanism (November 2016).
Compendium of travel survey "best practices" research scans (June 2017).

Modeling Activity GIS Tool Development

Project Manager: Aaron Brown

Team: Rice, N. Ferguson, Ross, Heither, Clark

Description: This project focuses on the development of GIS procedures and tools to assist CMAP staff in maintaining modeling data inputs and in understanding the outputs of agency analysis tools through data visualization techniques. Data visualization tools will be designed with the ultimate goal of making them external-facing. Major tasks for the fiscal year include refining the user interface for the newly developed bicycle switching model, incorporating additional functionality into the GIS tools supporting highway needs analysis, and developing initial visualization and reporting tools to summarize shipment and commodity flow data from CMAP's freight model.

Products and Key Dates: Bicycle switching model user interface refinements (October 2016).
Highway needs analysis functionality improvements (December 2016). Preliminary freight model reporting tools for internal review (June 2017).



TABLE 9: BUDGET DETAIL, RESEARCH AND ANALYSIS PROGRAM

PERSONNEL	
Salaries	\$1,036,700
Retirement	\$144,200
FICA	\$65,500
Medicare	\$15,300
Health	\$188,800
Dental	\$12,500
Vision	\$2,200
Interns	\$30,000
Total, Personnel	\$1,495,200
Employee PY	14.4
Indirect Charge	\$588,600
COMMODITIES	
Publications	\$500
Data Acquisition	\$400,000
Office Supplies	\$500
Total, Commodities	\$401,000
OPERATING	
Staff Assoc. Membership	\$1,000
CMAA Assoc. Membership	\$5,200
Postage/Postal Services	\$200
Miscellaneous	\$500
Meeting Expenses	\$0
Printing Services	\$500
Conference Registrations	\$2,000
Training	\$5,000
Travel Expenses	\$18,000
Total, Operating	\$32,400
CONTRACTUAL SERVICES	
Software Maintenance	\$0
Professional Services	\$0
Consulting Services	\$50,000
Total, Contractual Services	\$50,000
Total, Expenses	\$2,567,200
REVENUE	
UWP Operating - FY 2017	\$2,053,760
Match - FY 2017	\$513,440
Total, Revenue	\$2,567,200



Communications and Outreach Program

Program Oversight: Tom Garritano

CMAF requires communications and outreach to fulfill its comprehensive planning objectives. The agency must maintain a high standard of communication with stakeholders, the general public, and news media. Interactions with news media will be coordinated internally and, whenever appropriate, externally with CMAF partners. Outreach efforts will focus on keeping partners, stakeholders, and the public engaged in individual projects (including LTA) and broader agency activities. Communications and Outreach staff will place special emphasis on building awareness of and support for activities to develop ON TO 2050 and implement GO TO 2040.

Local Planning Communications and Outreach Support

Project Manager: Tina Fassett Smith

Team: Catalan, Grover, Harris, Silberhorn, Weiskind, plus other relevant staff.

Description: Communications and outreach staff will work to build awareness of GO TO 2040 local implementation activities through the Planning department. Manage LTA media and outreach, including liaison with external partners as needed. Prepare communication strategies for individual projects as needed, with involvement of outreach and legislative staff. Partner with LTA staff to generate a quarterly Municipal Matters e-newsletter. Oversee production and quality control of local planning print and web materials, including plans, guides, toolkits, and other documents developed through the group (e.g., model plans, ordinances, and codes). Provide general communications and outreach support for regional technical assistance products, including managing workflow for production of print and electronic LTA materials.

Products: Develop supporting and promotional materials for LTA call for projects (spring 2017). Develop quarterly Municipal Matters e-newsletter (launch August 2016). Coordinate LTA communication and outreach strategies, working with staff to develop targeted efforts to media and stakeholders and tracking results; train new staff about Communications support services (On-Going).

Policy and Programming Communications and Outreach Support

Project Manager: Tina Fassett Smith

Team: Catalan, Grover, Silberhorn, Weiskind, plus other relevant staff.

Description: Communications and outreach staff will work with policy and programming staff to build awareness of ON TO 2050 and GO TO 2040 activities at the regional, state, and federal



levels. Assist with policy-based media outreach, including liaison with external partners as needed. Prepare communication strategies for individual projects as needed, with involvement of outreach and legislative staff. Oversee production and quality control of programming- and policy-based print and web materials, including drill-down reports, issues-driven content, etc.

Products: Manage publication and promotion of quarterly updates to the Regional Economic Indicator microsite and support on-going publication and promotion of Policy Updates, including major demographic data releases (On-Going). Support and promotion of Metals Supply Chain report and up to three ON TO 2050 Snapshot reports and as many as five strategy papers (July-September 2016). Support and promote up to three Snapshot reports and as many as two strategy papers (October-December 2016). Support and promote any additional snapshot and strategy papers as needed (January-June 2017).

External Talks

Project Manager: Jacki Murdock

Team: Kane, Fassett Smith, Garritano, Grover, Porter, Szabo, plus other relevant staff.

Description: CMAP's experience as a nationally-recognized leader in land use and transportation planning and policy analysis creates an opportunity to share the lessons it has learned and build an on-going conversation about the value of a regional outlook. To identify and create opportunities for the Executive Director and key staff to engage with stakeholders and potential partners in the government, business, and nonprofit sectors, outreach and communications staff will work with external partners. Outreach, communications, and executive staff will collaborate to strategically schedule and organize external talks to complement CMAP's project and priorities, and also prepare talking points and other materials as needed.

Products and Key Dates: Identify and act upon targeted opportunities for external talks by executive director and, as appropriate, by other staff. Work with executive and project staff to develop talking points, remarks, and messaging on topics including but not limited to the ON TO 2050 plan.

External Engagement of Partners, Stakeholders, and Public

Project Manager: Jane Grover

Team: Harris, Fassett Smith, Garritano, plus other relevant staff.

Description: CMAP depends on a broad and deep base of partners and stakeholders -- in government, business, the nonprofit sector, and in our communities -- to both add value to CMAP's work and to build buy-in for it. At key moments, the agency emphasizes engagement



of the broader public. Outreach staff will expand relationships with established partners and identify new partnership opportunities through its outreach for ON TO 2050, opportunities that should include speaking engagements, topical forums, meeting venues, legislative support, and potential committee members. Outreach and communications staff will work with policy, planning, programming, and governmental affairs staff to identify and promote these opportunities.

Products and Key Dates: Collect public comments on draft engagement summary report, which should then be presented to Board and MPO Policy Committee for adoption (July to September 2016). Develop a strategic plan and target list for private sector partnerships, including specific asks for each target along with supporting information about “what CMAP has done for you lately” (September 2016). Conduct engagement activities based on targeted list and supporting information (October 2016 to June 2017). Lead execution of ON TO 2050 monthly forum series (On-Going).

Media Relations and Messaging

Project Manager: Tom Garritano

Team: Fassett Smith, Silberhorn

Description: With an emphasis on transparency, communications staff will proactively identify opportunities for coverage by traditional and new media, while also responding to media requests. Press releases and advisories are sent as needed. Maintain a current database of media contacts. Manage staff interactions with media. Develop messaging and convey for staff to impart it. Maintain up-to-date web archives of news products and media coverage at www.cmap.illinois.gov/news.

Products and Key Dates: Develop media strategy as part of long-term ON TO 2050 engagement plan, including near-term promotion of snapshot reports and forum series (July-September 2016). Refine “elevator speech” (July 2016), then identify and train staff to use it along with related messaging, regardless of whether they interact with reporters (September 2016). Prepare media outreach surrounding early 2017 publication of scenario-based interim plan content (October-November 2016). Prepare for media outreach supporting spring/summer period of broadest ON TO 2050 engagement (March-April 2017). Carry out broad-based ON TO 2050 media outreach (June-August 2017).

2016 Poster

Project Managers: Tina Fassett Smith, Adam Weiskind

Team: Catalan, Garritano, Ihnchak, Schuh, plus other relevant staff.



Description: In 2015, rather than do another annual GO TO 2040 implementation poster and report, CMAP produced an ON TO 2050 poster to coincide with the new plan's launch in February 2016. For release in early 2017, the agency should develop a poster or comparable publication with qualitative and quantitative content geared to on-going development of the new regional plan. Precise format is subject to internal discussion but should be graphically consistent with prior posters. Approximately 4,000 copies should be printed commercially.

Products and Key Dates: Develop poster concept in consultation with plan leadership and consultants (October 2016). Draft design and text for executive review (November 2016). Send final to printer (mid-December 2016). Print copies for the February 2017 board meeting.

Graphic Design

Project Manager: Adam Weiskind

Team: Catalan, Fassett Smith, Garritano, Silberhorn, plus other relevant staff.

Description: Communications staff will provide graphic design and related publications assistance to CMAP staff when materials meet that threshold as identified by deputies and CMAP executive leadership. This project entails creating information graphics and laying out most primary CMAP documents in the appropriate software, primarily Adobe InDesign. Whenever feasible, these materials should be printed in-house, and this project's manager is responsible for determining whether a larger job might require off-site commercial printing.

Products and Key Dates: Various electronic and print materials, as needed throughout FY17. Continuously pursue improvements in standardizing CMAP materials, including publications and infographics.

Photo Library

Project Manager: Nancy Catalan

Team: Fassett Smith, Pedersen, Rogus, Weiskind, plus other relevant staff.

Description: Communications staff is responsible for offering guidance and coordinating with LTA staff in development of a shared agency-wide photo library for use by both departments. The purpose of this project is to develop a shared and searchable photo library using photo-archiving software and an organizational system that best meet staff needs and agency resources. This project entails researching and creating recommendations for appropriate systems and coordinating with LTA staff to ensure training and implementation are successful. This project is meant to address the building of a photo library that will be used into the future and is not a system for archiving past photos.



Products and Key Dates: Present written plan and guidelines for library (including technological approach and implications for staff) to affected deputies, directors, and principals (July-September 2016). Conduct training and/or otherwise guide staff in contributing to maintenance of the photo library (October 2016). Ensure that the library is maintained as an agency-wide resource (On-Going).

Web Administration and Content Management

Project Manager: Joey-Lin Silberhorn

Team: Catalan, Fassett Smith, Garritano, Vernon, Weiskind, plus other relevant staff.

Description: CMAP communications staff is responsible for developing -- and overseeing the development of -- web content using the Liferay content management system and related technologies. Also includes helping others at the agency to prepare, post, and maintain their web-based content. Oversee work of consultants to ensure that all web development projects are accessible on mobile devices, follow CMAP's style guides, and meet high standards of accessibility and usability. Encourage and coordinate efforts of staff to communicate via the web. As part of the responsibility, this project also includes management of CMAP's web consultants. Includes management of e-blasts (Weekly Update, committee communications, others) and social media (Twitter, Facebook, Pinterest, YouTube, and others as they emerge).

Products and Key Dates: Work with consultants and ON TO 2050 leadership to develop (July-October 2016) and deploy (December 2016-June 2017) interactive mapping and infographics capabilities. Conduct web survey of CMAP customers, gaining insight about perception of agency in general and about web and Weekly Update in particular (September 2016). Work with CMAP staff to keep their web content current, complete, and engaging; provide tutorial materials for Liferay and Google Analytics, both via written documentation and video; work with web development consultants to manage large-scale website enhancements and interactive projects, including mapping and infographics for the ON TO 2050 plan and supporting materials (On-Going).

Contacts Management

Project Manager: Kelwin Harris

Team: Grover, Kane, Silberhorn, Garritano, plus other relevant staff.

Description: Communications and Outreach staff will identify and implement an optimal tool and process to manage CMAP's extensive contacts database and community outreach activities. A unified tool customer relationship management (CRM) will enable both local planning and outreach staff to track the timing, nature, and success of agency engagement efforts, avoid duplication, and expand the agency's network.



Products and Key Dates: Develop an up-to-date to support partnering, planning, and outreach activities. Write scope for customer relationship management system (July 2016). Initiate procurement, if needed (September 2016). Develop system (November-December 2016). Deploy system and train staff (January 2017). Maintain system (On-Going).

Outreach Reporting and Analysis

Project Manager: Kelwin Harris

Team: Grover, Silberhorn, plus other relevant staff.

Description: Communications and Outreach staff will collect, document, and report agency engagement activity data in support of general outreach and provide reports and analysis of those activities, both qualitative and quantitative.

Products and Key Dates: Conduct public comment period on summary report of FY16 Q3-Q4 engagement in support of ON TO 2050 (July-September 2016). Collect public input for final summary report prior to adoption (October 2016). Provide various support for outreach activities and ON TO 2050 engagement reporting; maintain thorough archive of engagement activities and feedback, which will become an appendix to the ON TO 2050 plan (On-Going).

MetroQuest Administration and Content Management

Project Manager: New outreach hire

Team: Catalan, Grover, Harris, plus other relevant staff.

Description: CMAP staff use the proprietary MetroQuest web software to facilitate input and engagement of individuals and communities across the region. Generally any LTA project will include a website customized for its purposes and local community. The software is also useful at a regional scale, for example to get stakeholders and even the general public to comment on possible scenarios and other comprehensive plan outcomes. Managing the schedule is important for each MetroQuest implementation, including arranging graphic design and text review in a timely and efficient manner.

Products and Key Dates: Work with the CMAP staff to ensure that they are maximizing benefits of MetroQuest through their projects. Provide assistance for staff to customize the software for individual projects and communities. Work with ON TO 2050 leadership to ensure that MetroQuest is being used effectively in support of the new plan's input and engagement. In particular, prepare to use it for scenario-based outreach in mid-2017.



Future Leaders in Planning (FLIP)

Project Manager: Ricardo Lopez and Marisa Prasse

Team: Daly, Grover, Harris, Irving, Johnson, Maddux, Rivera, Seid, plus other relevant staff.

Description: The FLIP project is a leadership development program for high school students. This year's FLIP program will meet for six days total over two weeks in July rather than its original format of monthly Saturday meetings throughout the school year. The program provides students with the opportunity to learn about past, present, and future regional and local planning issues from elected officials, community leaders, and CMAP staff. Through hands-on activities and field trips, students go "behind the scenes" to explore the region's communities. Session topics are closely related to ON TO 2050 and include: transportation, housing, human services, land use, economic development, and the environment. In addition to learning how local governments address these important issues, students will engage with one another to explore solutions to existing problems. At the end of the program, students will present what they learn to the CMAP Board and others.

Products and Key Dates: FLIP 2016 program application development (January 2016). Recruitment (January to April 2016). Develop program curriculum (February to June 2016). Student selection and notification (June 2016). Parent orientation (June 18, 2016). Week-long session (July 11-13 and July 18-20, 2016). Final presentation (July 20, 2016). 2017 program application development (January 2017). Recruitment (January to April 2017). Develop program curriculum (February to June 2017). Student selection and notification (June 2017).



TABLE 10: BUDGET DETAIL, COMMUNICATIONS AND OUTREACH PROGRAM

	Communications and Outreach	FLIP	Total
PERSONNEL			
Salaries	\$764,249	\$0	\$764,249
Retirement	\$67,019	\$0	\$67,019
FICA	\$45,634	\$0	\$45,634
Medicare	\$11,095	\$0	\$11,095
Health	\$84,226	\$0	\$84,226
Dental	\$5,824	\$0	\$5,824
Vision	\$1,264	\$0	\$1,264
Education Reimbursement	\$10,000	\$0	\$10,000
Interns	\$20,000	\$0	\$20,000
Total, Personnel	\$1,009,312		\$1,009,312
Employee PY	10.2		10.2
Indirect Charge	\$393,400	\$0	\$393,400
COMMODITIES			
Publications	\$500	\$0	\$500
Office Supplies	\$200	\$0	\$200
Total, Commodities	\$700	\$0	\$700
OPERATING			
Staff Assoc. Membership	\$0	\$0	\$0
Postage/Postal Services	\$500	\$500	\$1,000
Miscellaneous	\$500	\$2,400	\$2,900
Meeting Expenses	\$0	\$5,000	\$5,000
Printing Services	\$7,531	\$300	\$7,831
Conference Registrations	\$200	\$0	\$200
Training	\$5,000	\$1,900	\$6,900
Travel Expenses	\$1,000	\$3,000	\$4,000
Total, Operating	\$14,731	\$13,100	\$27,831
CONTRACTUAL SERVICES			
Professional Services	\$0	\$0	\$0
Consulting Services	\$495,000	\$0	\$495,000
Total, Contractual Services	\$495,000	\$0	\$495,000
Total, Expenses	\$1,913,143	\$13,100	\$1,926,243



REVENUE			
UWP Operating - FY 2017	\$1,302,514	\$6,480	\$1,308,994
Match - FY 2017	\$325,629	\$1,620	\$327,249
UWP Contracts - FY 2017	\$228,000	\$0	\$228,000
Match - FY 2017	\$57,000	\$0	\$57,000
General Fund	\$0	\$5,000	\$5,000
Total, Revenue	\$1,913,143	\$13,100	\$1,926,243



Information Technology Management Program

Program Oversight: Matt Rogus

This program provides for the design, acquisition, deployment and management of technology and telecommunications resources at CMAP. This includes managing the resiliency and security of these resources. This program also facilitates the electronic exchange of raw data within and between CMAP and other agencies and organizations, and the management of internal documentation systems. Information Technology (IT) will serve as CMAP technical lead in evaluating all new technology efforts to ensure compatibility with network, and reviewing RFPs for new technology to provide for appropriate technical support, defined technical requirements, and deliverables.

Internal Hardware and Software Management

Project Manager: Matt Rogus

Team: Stromberg, Tiedemann, contract support, intern

Description: CMAP's daily operation depends on a robust and functional computer network for data analysis, work program documentation, employee communications, and software applications. This project consists of daily management and monitoring of the internal computer network performance. It includes the acquisition, licensing, installation, and maintenance of all software applications, as well as server hardware systems and other related equipment. It also provides limited user-support to CMAP employees.

Products: Agency data products, documentation, and employee communications (On-Going).

Web Infrastructure Management

Project Manager: Lance Tiedemann

Team: Stromberg, Rogus, contracted support, CMAP project managers of web sites and services

Description: Web infrastructure management consists of procuring, deploying, and administering the hardware, software, and network infrastructure used by web applications and data services hosted at CMAP. Internally, project collaboration and project management have been augmented by several specialized content management systems. Externally, web applications and data services have become critical to the on-going agency mission of deploying technical analysis content to a broader audience. The web infrastructure management defined



by this project supports web applications and data services, such as SharePoint (collaboration), CKAN (data sharing web application), MediaWiki (collaboration), the TIP Website (web application), the TIP Map (data service), GIS web mapping, Imagery Explorer (web application), the applicant tracking system (for Human Resources) and several others. Support for these applications and data services include: defining content requirements and user controls; user interface designs; and access and integration controls. Under this specific project, a redesign of the Wiki interface and core content will be implemented in coordination with the policy, planning, and communications groups as necessary. Content development will require internal coordination. In addition, this project includes management of web-specific network infrastructure, such as domain name registration and DNS record management.

Products: Web applications, data services, and collaboration portals (On-Going). Wiki Enhancements (July).

Information Security

Project Manager: Lance Tiedemann

Team: Rogus, contracted support, CMAP project managers of web sites and services, various CMAP staff

Description: Information security consists of proactively planning, implementing, and verifying the various tools used to protect CMAP infrastructure and data as well as reactively responding to existing threats. This project fulfills these network roles: enhance network assessment processes with invasive testing, automate assessment of local environments, develop additional plans, policies and standards, continue training staff, recommend improvements for increased network and data protection, and implement new tools or services to aid in identifying and reacting to critical conditions (e.g., cyber-attacks, malicious traffic, etc.). This project fulfills these web sites and services roles: enhance website assessment processes with invasive testing, automate assessments of code, develop additional plans, policies and standards, and continue training staff. In addition, this project fulfills the data management role to develop policies and process improvements to ensure that sensitive data is processed and stored under appropriate access controls in compliance with program and regulatory requirements. These roles are fulfilled through the management of security tools, such as SSL certificates, firewall and IPS policies, VPN access, security scanning applications, and monitoring services. Under this project, annual security audits will be conducted by a third party provider to test security of network, validate security controls and access procedures, provide enhancement recommendations, and provide CMAP with required documentation of a secure network. CMAP staff will also be regularly trained on proper security protocols for email, phone, and internet usage.



Products: Infrastructure auditing and monitoring (On-Going). Annual security audit (September 2016). Staff training (March 2017).

Office Systems Management

Project Manager: Ben Stromberg

Team: Kelley, Rivera, intern, plus other relevant staff

Description: Staff productivity depends on robust systems for managing office operations. This project includes technical support of office support systems including telephone, mobile communication, fax, copiers, web conferencing, audio-visual, etc.

Products: Telephones, internet services, computer peripherals, copiers and printers.

User Support

Project Manager: Ben Stromberg

Team: Kelley, Rivera, intern

Description: Serve as training and instructional resource for internal users. Serve as technical intermediary in resolving IT related problems encountered by CMAP staff.

Products: Documentation of training and instructional resources. Documentation of IT related problems encountered by CMAP staff (On-Going).



**TABLE 11: BUDGET DETAIL, INFORMATION TECHNOLOGY
MANAGEMENT PROGRAM**

PERSONNEL	
Salaries	\$255,300
Retirement	\$68,900
FICA	\$15,300
Medicare	\$3,700
Health	\$33,300
Dental	\$2,000
Vision	\$500
Interns	\$10,000
Total, Personnel	\$389,000
Employee PY	3
Indirect Charge	\$152,300
COMMODITIES	
Publications	\$500
Software-Small Value	\$20,000
Equipment - Small Value	\$20,000
Office Supplies	\$1,000
Total, Commodities	\$41,500
OPERATING	
Postage/Postal Services	\$1,000
Miscellaneous	\$500
Meeting Expenses	\$0
Printing Services	\$0
Conference Registrations	\$2,000
Training	\$5,000
Travel Expenses	\$2,000
Total, Operating	\$10,500
CONTRACTUAL SERVICES	
Software	\$395,000
Maintenance/Licenses	
Professional Services	\$565,000



Contractual Services	\$75,000
Co-Location Hosting Services	\$20,000
Office Equipment Maintenance	\$10,000
Total, Contractual Services	\$1,065,000
CAPITAL OUTLAY	
Equipment - Capital	\$100,000
Office Construction - Capital	\$0
Software - Capital	\$50,000
Total, Capital Outlay	\$150,000
Total, Expenses	\$1,808,300
REVENUE	
UWP Operating - FY 2017	\$1,446,640
Match - FY 2017	\$361,660
Total, Revenue	\$1,808,300



Finance and Procurement Program

Program Oversight: Angela Manning-Hardimon

This program provides for the design, implementation, and management of finance and procurement activities at CMAP. The Finance program is responsible for ensuring that the agency is effectively operating within a fiscally constrained budget and meeting its core MPO responsibilities within the funding structure. This includes managing the accounting and reporting activities of the agency in accordance with accounting and auditing standards as required by the Office of Management and Budget (OMB). The Procurement program is responsible for ensuring that all goods and services procured on behalf of the agency are in compliance with the grant source and federal contracting assurances.

Finance and Accounting

Project Manager: Stan Ryniewski

Team: Becerra, Contreras, Doan, HR Principal, Olson

Description: Provides administration and support for the accounts payable and accounts receivable activities ensuring timely payments to vendors and collection of funds; processes payroll to ensure timely and accurate payments to employees and associated reporting of taxes, insurance, pension and other benefits; ensures that grants are properly funded and expenditures are appropriate based on grant agreements; provides the financial reporting required by federal, state, the CMAP Board, and others; manages all banking activities including the reconciliation of bank statements and general ledger accounts; and performs other financial management for CMAP, as required. In addition, Finance and Accounting staff are responsible for facilitating the annual audit of CMAP's financial records to achieve unqualified results. Provides oversight and training for CMAP's financial and payroll software system.

Products: Issuance of payroll and vendor checks/ETFs, monthly expenditure reports, monthly revenue reports, monthly/quarterly reimbursement requests of funders (On-Going). Annual financial statements (November). Expenditure and revenue reports for grant programs (On-Going).

Budget

Project Manager: Angela Manning-Hardimon

Team: Management; Olson



Description: Prepares annual CMAP budget to ensure that the MPO core activities and contract funding is appropriated. Monitor expenditures and revenues during the fiscal year to ensure that the fiscally constrained budget is being maintained and adjusted as needed to meet that goal. Coordinates UWP Committee review and approval of annual UWP program budget requests. Prepares annual indirect allocation for IDOT identifying costs that are not directly related to specific programs.

Products and Key Dates: UWP budget (January). Semi-annual revisions of budget (January). Draft CMAP budget (May). Annual CMAP budget and UWP Annual report (June). Indirect Allocation Request (September).

Procurements, Contracts and Commercial Datasets

Project Manager: Yesenia Ambriz, Penny DuBernat, Daniel Olson

Description: Manage all procurements for professional consulting services, and other goods and services required for CMAP operations; ensure Request for Proposals comply with policy and federal requirements; participate in procurement selection; and prepare and negotiate contracts, amendments and Intergovernmental agreements. Responsible for ensuring that contracts are updated to reflect appropriate federal requirements. Manage licensing of proprietary datasets. Enforce proprietary dissemination and license agreements. Responsible for posting and archiving RFP/RFQ/RFIs on CMAP's website.

Products: RFP/RFQ/RFIs, contracts, intergovernmental agreements, Purchase Authorization Orders, and contract amendments (On-Going).

External Resources Development and Management

Project Manager: New development/fundraising lead

Team: New finance principal, others staff from planning, policy, government affairs, and communications as relevant to specific topics.

Description: To cover a breadth of topics, CMAP will need to have access to funding resources beyond transportation funding. This project involves seeking external resources to support the LTA program and CMAP's work in general, through competitive applications to public sector (most commonly federal or state) programs or philanthropic organizations, cultivation of relationships with potential funders, and fee-for-service activities. It also involves managing these grants, ensuring that all grant requirements are met, providing periodic financial and program reports, and other activities. Under this program, an external grant seeking strategic plan will be developed to prioritize efforts, provide direction, and performance guidelines.



Current grants which fund the LTA program in FY17 are from the Chicago Community Trust, Cook County Department of Planning and Development, Illinois Attorney General, Illinois Environmental Protection Agency, John D. and Catherine T. MacArthur Foundation, and U.S. Department of Commerce (National Oceanic and Atmospheric Administration).

Products and Key Dates: External Grant Seeking Strategic Plan (September). Monitoring and evaluation of federal and state grant opportunities (On-Going). Periodic communication with philanthropic groups and other potential funders concerning the value of the LTA program (On-Going). Applications submitted in response to funding opportunities (as needed). Quarterly, biannual, or annual reports to funders (On-Going).

TABLE 12: BUDGET DETAIL, FINANCE AND ADMINISTRATION PROGRAM

PERSONNEL	
Salaries	\$1,127,900
Retirement	\$132,300
FICA	\$67,100
Medicare	\$16,400
Health	\$121,900
Dental	\$7,200
Vision	\$2,300
Life	\$55,000
Education Reimbursement	\$8,000
Other Benefits	\$50,000
Interns	\$15,000
Total, Personnel	\$1,603,100
Employee PY	15
COMMODITIES	
General Supplies	\$20,000
Publications	\$500
Equipment - small value	\$3,000
Furniture - small value	\$3,000
Office Supplies	\$15,000
Copy Room Supplies	\$20,000
Total, Commodities	\$61,500
OPERATING EXPENSES	
Workers' Compensation Insurance	\$28,000
Unemployment Compensation	\$30,000
Staff Assoc. Membership	\$500
CMAA Assoc. Membership	\$500



Postage/Postal Services	\$20,000
Storage	\$5,000
Miscellaneous	\$5,000
Meeting Expenses	\$500
Recruitment Expenses	\$3,000
General Insurance	\$38,000
Legal Services	\$5,000
Printing Services	\$500
Bank Service Fees	\$3,000
Conference Registrations	\$1,000
Training	\$2,000
Travel Expenses	\$3,000
Total, Operating Expenses	\$145,000
OCCUPANCY EXPENSES	
Office Maintenance	\$12,000
Rent	\$1,610,000
Telecommunications	\$45,000
Utilities	\$60,000
Willis Tower Parking	\$0
Total, Occupancy Expenses	\$1,727,000
CONTRACTUAL SERVICES	
Professional Services (Sungard)	\$40,000
Audit Services	\$40,000
Office Equipment Leases	\$2,000
Fiscal Mgt. Maintenance/Licenses	\$45,000
Office Equipment Maintenance	\$120,000
Total, Contractual Services	\$247,000
Total, Expenses	\$3,783,600
Overhead Charged to Programs	\$3,796,200



Human Resources and Administration Program

Program Oversight: Angela Manning-Hardimon

This program provides the administrative support to assist with the recruitment and retention of employees, and to assist internal staff in implementing CMAP's work plan initiatives and goals. CMAP views employees as organizational assets and this program is tasked with ensuring employee job satisfaction, efficiency, and effectiveness. This will be accomplished by providing competitive salaries and employee benefits; establishing policies and procedures to inform, supporting balanced work life, and managing employee development and performance. Provides access to training and other resources to support the growth of employees. Fosters the development of an organization that supports diversity and inclusion. This program also provides administrative support to effectively manage the operations of CMAP.

Benefits Administration

Project Manager: HR Principal

Team: Ambriz, King, Ellis

Description: Human Resources will work with third party brokers to obtain knowledge of trending benefits and the best, cost effective, employee benefits possible. Human Resources will also stay abreast of any and all federal or state regulations to maintain compliance with various programs.

Products: Review of affordable, comprehensive benefits package (December).

Diversity and Inclusion

Project Manager: Nicole Ellis

Team: Diversity and Inclusion Group

Description: The Diversity and Inclusion group will focus on educating employees on the importance of diversity and inclusion, and explore opportunities to improve across the agency by implementing various programs or initiatives. This group will be comprised of a representative from each functional area within CMAP with the goal of improving employee, partner, and constituent relationships. The results from the Annual Employee Survey will be instrumental in defining the program and monitoring future performance of efforts.

Products: A diversity and inclusion program that promotes respect for all employees and values each employee contributes to the agency. It will also promote equal opportunity



advancement for all employees (On-Going).

Employee Relations

Project Manager: HR Principal

Team: Senior Managers

Description: Human Resources will work with employees and the management team to address employee performance and professional development. Assistance will be provided to employees and/or management in the implementation of plans to improving work performance and relationships, and professional development. Assistance will also be provided on documentation, communication and other approaches to addressing performance matters. This process should be formalized through the use of CMAP annual performance evaluation process, performance improvement plans, regular employee performance feedback, and performance documentation.

Products: Annual performance evaluations (July). Guidelines and direction for providing employees with performance feedback and professional development opportunities to improve performance (On-Going).

Facilities

Project Manager: Curtis Kelley

Team: Rivera, Witherspoon

Description: Provides administrative support for CMAP operations in the area of conference room management; visitor administration; management of CMAP's library and publication materials; on/off sight storage management; mailroom activities; and office and break room inventories. Coordinates facility maintenance and support; building related safety activities, and other related activities as required.

Payroll Administration

Project Manager: HR Principal

Team: Doan, Ellis, King

Description: Human Resources is responsible for the bi-weekly processing of payroll and routine employee changes in OneSolution to ensure that employee benefits and compensation are accurate. Human Resources will also process all updates to federal and state tax rates in compliance with federal and state regulations. Improvements that enhance employees access to



their personal information, such as time off accruals, paycheck information, and W2s, in OneSolution is implemented under this program.

Products: Accurate and timely bi-weekly payroll and reporting (On-Going).

Human Resources Policy Development

Project Manager: HR Principal

Team: Executive Team

Description: CMAP provides policies and procedures to assist employees in understanding federal, state, and CMAP adapted policies including standards of conduct; performance expectation; and certain internal administrative activities. Human Resources will develop or update policies routinely and distribute to employees at orientation and electronically and via CMAP's intranet. Reference to these policies can be found in the Personnel Handbook. As required, orientation of certain policies and procedures will be facilitated through training sessions (online or presentation). It is also through this program where annual employee surveys will be developed, administered, and results compiled for Executive Management decision making and agency implementation consideration.

Products: Review of policies and the personnel handbook (On-Going). Annual Employee Survey (May). Policy and procedure trainings (On-Going).

Recruitment and Training

Project Manager: Nicole Ellis

Team: Deputy Executive Directors, Ambriz, King, Witherspoon

Description: Human Resources will expand recruitment efforts to provide CMAP with the greatest exposure possible to recruit the best qualified candidates. These efforts will include attending job fairs, universities, and exploring diverse job posting opportunities. Human Resources will also enhance its diversity recruitment efforts by partnering with various programs that give CMAP access to a multitude of candidates from varying backgrounds. Human Resources are also responsible for maintaining job postings and recruitment efforts on CMAP website and through the use of the Hyrell Applicant Tracking System. On-going professional development and training is fundamental to the success of every employee and as such, appropriate opportunities will be provided to CMAP employees to ensure CMAP is in compliance with federal and state regulations, as well as to improve knowledge, skills, leadership ability, and performance. To advance new employees' acclimation to CMAP and provide orientation support, this program will develop, by department, a checklist for managers to use as a core employee integration tool. Focus areas to include: benefits, CMAP



policy and procedures, identifying an appropriate mentor, overview of CMAP and the responsibilities of each department, review of GO TO 2040, training on required tools to perform job, performance expectations and evaluation process, professional development plan, and training on non-job related activities such as telephone system, audio/meeting technology, cyber-security and other training as developed. This program will also be responsible for developing and maintaining a list of staff expertise for access by all employees to be archived on CMAP intranet. Human Resources will also be responsible for developing resource plans for cross training opportunities.

Products: New Employee Integration Checklist (July). Identification, development and facilitation of professional development and training (On-Going). Develop cross training resource plan (October).



APPENDIX A: LOCAL DUES STRUCTURE

At its [meeting](#) on April 13, 2016, the CMAP Board approved establishment of a local dues structure to reduce the agency's overreliance on the state to match its federal funding. As shown in Table 13, dues are anticipated to total nearly \$1.5 million in FY18, after beginning in FY17 with an intermediate level of approximately \$900,000.

Local dues are proposed to be split evenly between the three types of agencies that support and govern CMAP: Counties, municipalities, and transportation agencies. Each of these agency types would be charged \$300,000 in dues in FY17, and \$500,000 in dues in FY18. Total local dues in FY17 -- after waivers and reductions for selected municipalities based on size and economic distress -- are anticipated to be \$887,486. Table 13 shows contributions by agency, grouping suburban municipalities together; Table 14 shows contributions by municipality, along with the waivers and reductions. As of May 2016, CMAP is in discussion with other transportation stakeholders, such as railroads and private transportation providers, about providing their fair share.

TABLE 13: OVERALL DUES STRUCTURE, FY17 AND FY18

	FY 2017	FY 2018
Cook	\$134,823	\$224,705
DuPage	\$36,359	\$60,598
Kane	\$27,143	\$45,238
Kendall	\$17,822	\$29,703
Lake	\$31,102	\$51,836
McHenry	\$22,030	\$36,717
Will	\$30,721	\$51,202
County subtotal	\$300,000	\$500,000
City of Chicago	\$101,928	\$169,880
Suburban municipalities	\$185,558	\$309,648
Municipal subtotal	\$287,486	\$479,528
Transit agencies (through RTA)	\$240,000	\$400,000
Tollway	\$60,000	\$100,000
Transportation agency subtotal	\$300,000	\$500,000
Total	\$887,486	\$1,479,528



TABLE 14: MUNICIPAL DUES STRUCTURE, FY17 AND FY18

Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Addison	37,297		\$1,396	\$2,327
Algonquin	30,410		\$1,139	\$1,898
Alsip	19,427		\$727	\$1,212
Antioch	14,411		\$540	\$899
Arlington Heights	76,024		\$2,846	\$4,744
Aurora	200,456		\$7,505	\$12,509
Bannockburn	1,575		\$59	\$98
Barrington	10,373		\$388	\$647
Barrington Hills	4,259		\$159	\$266
Bartlett	41,632		\$1,559	\$2,598
Batavia	26,424		\$989	\$1,649
Beach Park	13,988		\$524	\$873
Bedford Park	576	waived (size)	\$0	\$0
Beecher	4,461		\$167	\$278
Bellwood	19,152	reduced (economic)	\$359	\$598
Bensenville	18,487		\$692	\$1,154
Berkeley	5,230		\$196	\$326
Berwyn	56,693		\$2,123	\$3,538
Big Rock	1,160		\$43	\$72
Bloomington	22,299		\$835	\$1,391
Blue Island	23,785	waived (economic)	\$0	\$0
Bolingbrook	74,180		\$2,777	\$4,629
Braceville	775	waived (size)	\$0	\$0
Braidwood	6,185		\$232	\$386
Bridgeview	16,491		\$617	\$1,029
Broadview	7,959		\$298	\$497
Brookfield	19,023		\$712	\$1,187
Buffalo Grove	41,701		\$1,561	\$2,602
Bull Valley	1,107		\$41	\$69
Burbank	29,218		\$1,094	\$1,823
Burlington	636	waived (size)	\$0	\$0
Burnham	4,229	reduced (economic)	\$79	\$132
Burr Ridge	10,761		\$403	\$671
Calumet City	37,213	reduced	\$697	\$1,161



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
		(economic)		
Calumet Park	7,903	reduced (economic)	\$148	\$247
Campton Hills	11,317		\$424	\$706
Carol Stream	40,349		\$1,511	\$2,518
Carpentersville	38,407		\$1,438	\$2,397
Cary	17,991		\$674	\$1,123
Channahon	12,616		\$472	\$787
Chicago	2,722,389		\$101,928	\$169,880
Chicago Heights	30,436	reduced (economic)	\$570	\$950
Chicago Ridge	14,434		\$540	\$901
Cicero	84,354	reduced (economic)	\$1,579	\$2,632
Clarendon Hills	8,658		\$324	\$540
Coal City	5,521		\$207	\$345
Country Club Hills	16,865		\$631	\$1,052
Countryside	6,023		\$226	\$376
Crest Hill	20,771		\$778	\$1,296
Crestwood	11,029		\$413	\$688
Crete	8,227		\$308	\$513
Crystal Lake	40,493		\$1,516	\$2,527
Darien	22,315		\$835	\$1,392
Deer Park	3,245		\$121	\$202
Deerfield	18,385		\$688	\$1,147
Des Plaines	58,947		\$2,207	\$3,678
Diamond	2,501		\$94	\$156
Dixmoor	3,622	waived (economic)	\$0	\$0
Dolton	23,307	reduced (economic)	\$436	\$727
Downers Grove	49,715		\$1,861	\$3,102
East Dundee	3,198		\$120	\$200
East Hazel Crest	1,552	waived (economic)	\$0	\$0
Elburn	5,682		\$213	\$355
Elgin	111,117		\$4,160	\$6,934
Elk Grove Village	33,379		\$1,250	\$2,083
Elmhurst	45,751		\$1,713	\$2,855



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Elmwood Park	24,954		\$934	\$1,557
Elwood	2,267		\$85	\$141
Evanston	75,658		\$2,833	\$4,721
Evergreen Park	19,935		\$746	\$1,244
Flossmoor	9,522		\$357	\$594
Ford Heights	2,785	waived (economic)	\$0	\$0
Forest Park	14,196		\$532	\$886
Forest View	697	waived (size)	\$0	\$0
Fox Lake	10,578		\$396	\$660
Fox River Grove	4,704		\$176	\$294
Frankfort	18,446		\$691	\$1,151
Franklin Park	18,404		\$689	\$1,148
Geneva	21,742		\$814	\$1,357
Gilberts	7,556		\$283	\$472
Glen Ellyn	27,763		\$1,039	\$1,732
Glencoe	8,923		\$334	\$557
Glendale Heights	34,530		\$1,293	\$2,155
Glenview	46,767		\$1,751	\$2,918
Glenwood	9,036		\$338	\$564
Godley	670	waived (size)	\$0	\$0
Golf	506	waived (size)	\$0	\$0
Grayslake	21,018		\$787	\$1,312
Green Oaks	3,854		\$144	\$240
Greenwood	252	waived (size)	\$0	\$0
Gurnee	31,207		\$1,168	\$1,947
Hainesville	3,682		\$138	\$230
Hampshire	5,976		\$224	\$373
Hanover Park	38,476		\$1,441	\$2,401
Harvard	9,230	reduced (economic)	\$173	\$288
Harvey	25,347	waived (economic)	\$0	\$0
Harwood Heights	8,675		\$325	\$541
Hawthorn Woods	7,875		\$295	\$491
Hazel Crest	14,182	reduced (economic)	\$265	\$442
Hebron	1,205		\$45	\$75
Hickory Hills	14,177		\$531	\$885



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Highland Park	29,871		\$1,118	\$1,864
Highwood	5,387		\$202	\$336
Hillside	8,195		\$307	\$511
Hinsdale	17,446		\$653	\$1,089
Hodgkins	1,881		\$70	\$117
Hoffman Estates	52,347		\$1,960	\$3,267
Holiday Hills	593	waived (size)	\$0	\$0
Homer Glen	24,364		\$912	\$1,520
Hometown	4,365	reduced (economic)	\$82	\$136
Homewood	19,464		\$729	\$1,215
Huntley	25,603		\$959	\$1,598
Indian Creek	546	waived (size)	\$0	\$0
Indian Head Park	3,839		\$144	\$240
Inverness	7,592		\$284	\$474
Island Lake	8,031		\$301	\$501
Itasca	8,800		\$329	\$549
Johnsburg	6,297		\$236	\$393
Joliet	147,928		\$5,539	\$9,231
Justice	13,022	reduced (economic)	\$244	\$406
Kaneville	491	waived (size)	\$0	\$0
Kenilworth	2,562		\$96	\$160
Kildeer	3,958		\$148	\$247
La Grange	15,759		\$590	\$983
La Grange Park	13,665		\$512	\$853
Lake Barrington	4,985		\$187	\$311
Lake Bluff	5,698		\$213	\$356
Lake Forest	19,379		\$726	\$1,209
Lake in the Hills	28,893		\$1,082	\$1,803
Lake Villa	8,825		\$330	\$551
Lake Zurich	20,054		\$751	\$1,251
Lakemoor	6,005		\$225	\$375
Lakewood	3,811		\$143	\$238
Lansing	28,522		\$1,068	\$1,780
Lemont	16,661		\$624	\$1,040
Libertyville	20,512		\$768	\$1,280
Lily Lake	1,024		\$38	\$64



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Lincolnshire	7,292		\$273	\$455
Lincolnwood	12,687		\$475	\$792
Lindenhurst	14,468		\$542	\$903
Lisbon	295	waived (size)	\$0	\$0
Lisle	22,827		\$855	\$1,424
Lockport	25,119		\$940	\$1,567
Lombard	43,893		\$1,643	\$2,739
Long Grove	8,181		\$306	\$511
Lynwood	9,313	reduced (economic)	\$174	\$291
Lyons	10,773		\$403	\$672
Manhattan	7,302		\$273	\$456
Maple Park	1,313		\$49	\$82
Marengo	7,508		\$281	\$469
Markham	12,688	reduced (economic)	\$238	\$396
Matteson	19,156		\$717	\$1,195
Maywood	24,133	waived (economic)	\$0	\$0
McCook	231	waived (size)	\$0	\$0
McCullom Lake	1,026	waived (economic)	\$0	\$0
McHenry	26,630		\$997	\$1,662
Melrose Park	25,511		\$955	\$1,592
Merrionette Park	1,897		\$71	\$118
Mettawa	571	waived (size)	\$0	\$0
Midlothian	14,911		\$558	\$930
Millbrook	347	waived (size)	\$0	\$0
Millington	665	waived (size)	\$0	\$0
Minooka	11,194		\$419	\$699
Mokena	19,447		\$728	\$1,214
Monee	5,105		\$191	\$319
Montgomery	19,301		\$723	\$1,204
Morton Grove	23,497		\$880	\$1,466
Mount Prospect	54,951		\$2,057	\$3,429
Mundelein	31,562		\$1,182	\$1,970
Naperville	146,128		\$5,471	\$9,119
New Lenox	25,426		\$952	\$1,587
Newark	1,017		\$38	\$63



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Niles	30,000		\$1,123	\$1,872
Norridge	14,674		\$549	\$916
North Aurora	17,342		\$649	\$1,082
North Barrington	3,029		\$113	\$189
North Chicago	30,395	waived (economic)	\$0	\$0
North Riverside	6,698		\$251	\$418
Northbrook	33,655		\$1,260	\$2,100
Northfield	5,483		\$205	\$342
Northlake	12,372		\$463	\$772
Oak Brook	8,065		\$302	\$503
Oak Forest	28,174		\$1,055	\$1,758
Oak Lawn	57,034		\$2,135	\$3,559
Oak Park	52,008		\$1,947	\$3,245
Oakbrook Terrace	2,171		\$81	\$135
Oakwood Hills	2,070		\$78	\$129
Old Mill Creek	224	waived (size)	\$0	\$0
Olympia Fields	5,045		\$189	\$315
Orland Hills	7,277		\$272	\$454
Orland Park	58,666		\$2,196	\$3,661
Oswego	33,099		\$1,239	\$2,065
Palatine	69,387		\$2,598	\$4,330
Palos Heights	12,597		\$472	\$786
Palos Hills	17,627		\$660	\$1,100
Palos Park	4,906		\$184	\$306
Park City	7,440	waived (economic)	\$0	\$0
Park Forest	22,034	reduced (economic)	\$412	\$687
Park Ridge	37,856		\$1,417	\$2,362
Peotone	4,136		\$155	\$258
Phoenix	1,969	waived (economic)	\$0	\$0
Pingree Grove	5,878		\$220	\$367
Plainfield	42,138		\$1,578	\$2,629
Plano	11,175		\$418	\$697
Plattville	251	waived (size)	\$0	\$0
Port Barrington	1,508		\$56	\$94
Posen	6,021	reduced	\$113	\$188



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
		(economic)		
Prairie Grove	1,876		\$70	\$117
Prospect Heights	16,418		\$615	\$1,025
Richmond	1,895		\$71	\$118
Richton Park	13,751	reduced (economic)	\$257	\$429
Ringwood	825		\$31	\$51
River Forest	11,208		\$420	\$699
River Grove	10,271		\$385	\$641
Riverdale	13,604	waived (economic)	\$0	\$0
Riverside	8,881		\$333	\$554
Riverwoods	3,659		\$137	\$228
Robbins	5,480	waived (economic)	\$0	\$0
Rockdale	1,957		\$73	\$122
Rolling Meadows	24,279		\$909	\$1,515
Romeoville	39,679		\$1,486	\$2,476
Roselle	23,030		\$862	\$1,437
Rosemont	4,226		\$158	\$264
Round Lake	18,536		\$694	\$1,157
Round Lake Beach	28,012		\$1,049	\$1,748
Round Lake Heights	2,734		\$102	\$171
Round Lake Park	7,371	reduced (economic)	\$138	\$230
Sandwich	7,410		\$277	\$462
Sauk Village	10,545	waived (economic)	\$0	\$0
Schaumburg	74,896		\$2,804	\$4,674
Schiller Park	11,857		\$444	\$740
Shorewood	16,569		\$620	\$1,034
Skokie	65,112		\$2,438	\$4,063
Sleepy Hollow	3,340		\$125	\$208
South Barrington	4,822		\$181	\$301
South Chicago Heights	4,157		\$156	\$259
South Elgin	22,226		\$832	\$1,387
South Holland	22,144		\$829	\$1,382
Spring Grove	5,725		\$214	\$357
St. Charles	33,387		\$1,250	\$2,083
Steger	9,557	reduced	\$179	\$298



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
		(economic)		
Stickney	6,818		\$255	\$425
Stone Park	4,957	reduced (economic)	\$93	\$155
Streamwood	40,345		\$1,511	\$2,518
Sugar Grove	9,192		\$344	\$574
Summit	11,447		\$429	\$714
Symerton	89	waived (size)	\$0	\$0
Third Lake	1,194		\$45	\$75
Thornton	2,401		\$90	\$150
Tinley Park	57,280		\$2,145	\$3,574
Tower Lakes	1,264		\$47	\$79
Trout Valley	530	waived (size)	\$0	\$0
Union	562	waived (size)	\$0	\$0
University Park	7,095		\$266	\$443
Vernon Hills	25,911		\$970	\$1,617
Villa Park	22,038		\$825	\$1,375
Virgil	336	waived (size)	\$0	\$0
Volo	3,870		\$145	\$241
Wadsworth	3,759		\$141	\$235
Warrenville	13,336		\$499	\$832
Wauconda	13,896		\$520	\$867
Waukegan	88,915		\$3,329	\$5,548
Wayne	2,442		\$91	\$152
West Chicago	27,507		\$1,030	\$1,716
West Dundee	7,391		\$277	\$461
Westchester	16,807		\$629	\$1,049
Western Springs	13,284		\$497	\$829
Westmont	24,963		\$935	\$1,558
Wheaton	53,644		\$2,008	\$3,347
Wheeling	38,010		\$1,423	\$2,372
Willow Springs	5,709		\$214	\$356
Willowbrook	8,631		\$323	\$539
Wilmette	27,446		\$1,028	\$1,713
Wilmington	5,712		\$214	\$356
Winfield	9,569		\$358	\$597
Winnetka	12,490		\$468	\$779
Winthrop Harbor	6,730		\$252	\$420
Wonder Lake	3,944		\$148	\$246



Municipality	Population (2014 Census)	Waived or Reduced	FY 2017 Dues	FY 2018 Dues (will be adjusted based on population change)
Wood Dale	13,945		\$522	\$870
Woodridge	33,378		\$1,250	\$2,083
Woodstock	25,178		\$943	\$1,571
Worth	10,838		\$406	\$676
Yorkville	18,096		\$678	\$1,129
Zion	24,264		\$908	\$1,514



APPENDIX B: CATEGORY AND LINE ITEM DEFINITIONS

Personnel Object Codes

Regular Salaries. Includes expenditures to all permanent CMAP employees paid on a bi-weekly basis for the entire budget year. Includes both full time and part time employees.

Medicare – ER Contribution. Includes all payments made to the IRS by CMAP for the employer share of Medicare taxes related to payroll costs paid.

FICA – ER Contribution. Includes all payments made to the IRS by CMAP for the employer share of Federal Insurance Contributions Act (FICA) taxes related to payroll costs paid.

Retirement – ER Contribution. Includes all payments made to the Illinois Municipal Retirement System Fund (IMRF) and the State Employee Retirement System Fund (SERS) for the employer share of pension costs. These payments are a percentage of salary costs for all regular employees covered under the pension plan.

Life Insurance – ER Contribution. Includes the employer share of life insurance benefits paid for all regular employees.

Medical/Dental/Vision – ER Contribution. Includes the employer share of medical, dental and vision insurance benefits paid for all regular employees.

Other Benefits – ER Contribution. Includes any other miscellaneous employer paid costs related to employee benefits provided. An example of this type of costs would be administrative fees paid to the financial services company that monitors the International City/County Management Association (ICMA) accounts or the firm that processes the employee flexible spending accounts.

Commodities Object Codes

Commodities are supplies, materials, and articles which are consumed during their use or are materially altered when used. These items have a unit cost under \$3,000, a limited life, and are not subject to depreciation. Commodities are materials and supplies purchased by CMAP for use by CMAP employees.

General Supplies. Includes supplies used in the break room and at various coffee stations throughout the CMAP office. This includes coffee, tea, sugar/sugar substitutes, paper supplies, and cleaning supplies.

Publications. Includes the costs of books, subscriptions, journals, newspapers, etc.



Software – Small Value. Purchase of computer software that has a unit cost of under \$3,000 in value.

Equipment – Small Value. Includes office machines, furnishings and equipment with a unit cost under \$3,000; such as, adding machines, printers, calculators, computers, etc.

Data Acquisition. This object code is used for the acquisition of data sets used by CMAP staff in the completion of the work.

Office Supplies. Includes supplies and materials necessary for the general operation of the CMAP office; such as, pens, pencils, folders, files, adding machine paper and ribbons. These would be items ordered by the administrative assistance team from the office supply catalogs.

Copy Room Supplies. Includes the purchase of paper, toner, ink used in the operations of the copy room and the related copy machines.

Professional Services Object Codes

Contractual services are expenditures for services performed by non-employees which are required by a division or the board in the execution of its assigned function. Contractual services are further broken down into three sections: Professional Services; General Operating; and Rent/Utilities. These are described below in detail

Professional services are expenditures for services performed by non-employees which are required by CMAP to carry out its function. Included under this category of object codes will be consulting contracts, professional services, audit services, etc.

The Office Equipment Maintenance object code refers to those contractual services which tend to preserve or restore the original value of real or personal property but which do not increase the original value. This includes any parts or materials used by the vendor in the course of the repair or maintenance activity.

Audit Services. Includes charges for the performance of the annual CMAP audit.

Office Equipment Leases. Includes the rental of office and data processing equipment used in the CMAP offices.

Software Maintenance/Licenses. Includes payments for software maintenance and the purchase of licenses for software used by CMAP.

Fiscal Management Maintenance/Licenses. Includes payments for the maintenance and licenses related to the use of the fiscal management software used by CMAP.

Professional Services. This object code is for contracts with various vendors who provide professional services to CMAP and are located in the CMAP offices.



Consulting Services. This object code is for contracts entered into with vendors to provide consulting services to CMAP staff.

Office Equipment Maintenance. Includes service charges associated with the repair and maintenance of office equipment and machinery used by CMAP.

Web-based Software Licenses. This object code is for the purchase and renewal of licenses of web-based software used by CMAP staff.

General Operating Object Codes

General operating expenses include payments for services provided to CMAP in the normal operations of a business. These include postage, meeting expenses, memberships, conferences, etc. Employee travel reimbursements are also under this category of expenditure including both in-region and out-of-region travel and related training expenses. These object codes are not to be used for the purchase of tangible items. Direct purchases of tangible items are charged to the proper commodity or capital object code.

Workers' Compensation Insurance. This object code is for premiums and/or related workers' compensation expenses.

Unemployment Compensation. This object code is for premiums and/or claims for the payment of unemployment related costs as billed by the State of Illinois.

Staff Association Memberships. Includes payments for dues and memberships to professional organizations by individual CMAP staff members. This is limited to a maximum of \$250 per year at the discretion of the employee's deputy executive director.

CMAP Association Memberships. Includes the payment of dues and memberships to professional organizations for the agency; these are not individual memberships.

Postage/Postal Services. Includes stamps, stamped envelopes, stamped postal cards, postage meter settings, postal permit deposits, and charges for couriers such as FedEx, UPS, etc.

Storage. Includes payment of monthly fees for the use of off-site facilities for the storage of CMAP materials and documents and remote IT servers.

Moving Expenses. Includes the payment of fees incurred for the moving of CMAP materials and equipment from one location to another.

Legal/Bid Notices. Include costs related to the posting of required legal and/or bid notices.

Miscellaneous. This object code will be used for various operating costs incurred that do not meet the definition of any other operating cost object code.



Meeting Expenses. This object code will be used for expenses incurred to conduct various meeting held by CMAP.

Recruitment Expenses. Includes the costs related to the recruitment of CMAP staff, such as posting of employment ads, job fair costs, etc.

General Insurance. This object code is for premiums and/or related liability insurance expenses paid by CMAP.

Legal Services. Includes payments to attorneys or law firms for services rendered to CMAP.

Printing Services. Includes printing services, microfilm services, photographic services and survey maps prepared by non-employees.

Bank Service Fees. This object code is used to record service fees paid related to CMAP's checking accounts and merchant service fees charged by credit card companies for the collection of payments made to CMAP.

Conference Registrations. This object code is for the payment of registration fees for attendance at conferences by CMAP staff and board members.

Training and Education Reimbursement. **Includes payments made to employees for tuition reimbursement** or non-credit classes taken at the discretion of their deputy executive director. Related covered expenses such as books and/or fees would also be paid from this object code.

Travel Expenses. Includes all expenses related to both in and out of region travel by CMAP staff and board members; such as, hotel, mileage, car rental, per diem, gas, tolls, parking, etc. Amounts requested for reimbursement must be in compliance with the CMAP travel policy.

Rent/Office Maintenance Object Codes

Rent/office maintenance expenses include payment of utility costs, real estate taxes, lease, telephone charges, monthly parking fees related to the leases, and office maintenance provided by the building operations, covering all costs paid by CMAP to occupy the physical office space.

Office Maintenance. Includes all office maintenance costs billed to CMAP by the landlord. This would include replacement of light bulbs, repair work completed, employee access cards, office construction/remodeling performed by the landlord, etc.

Rent. Includes the monthly rental fee for the office space occupied in the Willis Tower.

Telecommunications. Includes all payments made to vendors for telecommunication monthly charges, such as payments made to Verizon, AT&T, etc.

Utilities. Includes all payments made to vendors for the various utility costs; such as, electricity, heat, water, etc.



Capital Object Codes

Capital expenses include payments for the acquisition, replacement or substantial increase in value of assets that are not expendable in first use, with a life expectancy exceeding one year, subject to depreciation and with a unit cost greater than \$3,000. Capital object codes should be charged with any freight or delivery costs incidental to delivering these items to CMAP.





CMAP

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The Chicago Metropolitan Agency for Planning (CMAP) is our region's official comprehensive planning organization. The agency and its partners are developing ON TO 2050, a new comprehensive regional plan to help the seven counties and 284 communities of northeastern Illinois implement strategies that address transportation, housing, economic development, open space, the environment, and other quality-of-life issues.

See www.cmap.illinois.gov for more information.

FY16-0081

**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

**ANNUAL FINANCIAL REPORT AND
INDEPENDENT AUDITOR'S REPORT**

For the Year Ended
June 30, 2016



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CHICAGO, ILLINOIS
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Members of American Institute of Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT

The Honorable Chairman
and Members of the Board
Chicago Metropolitan Agency for Planning
233 South Wacker, Suite 800
Chicago, Illinois 60606

We have audited the accompanying financial statements of the Chicago Metropolitan Agency for Planning, Chicago, Illinois (the Agency) as of and for the year ended June 30, 2016, and the related notes to financial statements, which collectively comprise the Agency's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Agency's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Agency's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the Chicago Metropolitan Agency for Planning, Chicago, Illinois as of June 30, 2016, and the respective changes in financial position and cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

Change in Accounting Principle

The Agency adopted GASB Statement No. 72, *Fair Value Measurement and Application*, which addresses accounting and financial reporting issues related to fair value measurements. The statement modifies certain disclosures in the notes to financial statements. Our opinion is not modified with respect to this matter.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis and the required supplementary information listed in the table of contents be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the Agency's basic financial statements. The supplementary information is presented for purposes of additional analysis and is not a required part of the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis, as required by the Uniform Guidance and is also not a required part of the basic financial statements. The supplementary information and schedule of expenditures of federal awards are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of

the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the basic financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October 21, 2016 on our consideration of the Agency's, internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Agency's internal control over financial reporting and compliance.

Sikich LLP

Naperville, Illinois
October 21, 2016

**GENERAL PURPOSE EXTERNAL
FINANCIAL STATEMENTS**

Chicago Metropolitan Agency for Planning

Management's Discussion and Analysis (Unaudited)

June 30, 2016

Background

The Chicago Metropolitan Agency for Planning (CMAP) was created in 2005 as the comprehensive regional planning organization for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. Through the Regional Planning Act (Public Act 094-510) in 2005, there was a merger of the Northeastern Illinois Planning Commission (NIPC) and the Chicago Area Transportation Study (CATS) to create the new Regional Planning Board, which was renamed as CMAP in 2006. The merger was completed at the end of fiscal year 2007.

By state and federal law, CMAP is responsible for producing the region's official, integrated plan for land use and transportation. The agency projects that metropolitan Chicago will gain 2.8 million new residents and 1.8 million jobs in the next three decades. CMAP developed and now leads the implementation of *GO TO 2040*, metropolitan Chicago's first comprehensive regional plan in more than 100 years. To address the anticipated population growth, *GO TO 2040* was adopted on October 13, 2010 to establish coordinated strategies that help the region's 284 communities address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. The agency and its partners are now developing *ON TO 2050*, the new comprehensive regional plan slated for adoption in 2018.

CMAP has published an annual report highlighting the accomplishments for fiscal year 2016. A copy of the CMAP annual report can be obtained at www.cmap.illinois.gov.

Management's Discussion and Analysis

This section of CMAP's financial statements presents management's discussion and analysis (MD&A) of the financial activities of CMAP during the fiscal year ended June 30, 2016. Please read it in conjunction with the basic financial statements, including the accompanying notes to financial statements, which follow this section.

Financial Highlights

The fiscal year 2016 expenses focused on facilitating the implementation of *GO TO 2040* and the development of *ON TO 2050*, the new comprehensive regional plan slated for adoption in 2018. The agency partnered with stakeholder organizations and individuals on a wide range of planning strategies set forth in the region's comprehensive plan. Fiscal year 2016 expenses also focused on upgrading the technology associated with transportation project management and reporting, data modeling and website design and functionality. The upgrade of these systems will be instrumental in providing information and public engagement activities to inform the next plan.

Government-wide Financial Statements

The two main components to the government-wide financial statements are: (1) the statement of net position and (2) the statement of revenues, expenses and changes in net position. These are the two major statements that are analyzed in terms of obtaining a broad overview of the finances, value and annual operations of CMAP.

Generally, government-wide statements can present two different components: governmental activities, which are operations primarily supported by tax revenues, and business-type activities, which are those activities that are self-funded. All the operations of CMAP are considered to be business-type activities.

Chicago Metropolitan Agency for Planning

Management's Discussion and Analysis (Unaudited)

June 30, 2016

Fund Financial Statements

A fund is a grouping of related accounts that is used to maintain control over resources that have been segregated for specific activities or objectives. CMAP uses fund accounting to ensure and demonstrate compliance with finance related legal requirements. CMAP is unique to many governments since it is an entity with only one fund, proprietary in nature.

Notes to the financial statements

The notes to the financial statements provide additional information that is essential to a full understanding of the data provided in the basic financial statements.

Other information

In addition to the basic financial statements and accompanying notes, this report also presents certain required supplementary information.

Government-wide Financial Analysis

Net position may serve over time as a useful indicator of the entity's financial position. The following tables highlight the increase in net position of the entity from \$(2,810,914) as of June 30, 2015 to \$(2,690,786) an increase of \$120,128. The Agency's negative net position was the result of the adoption in 2015 of GASB Statement No. 68, Accounting and Financial Reporting for Pensions and GASB Statement No. 71, Pension Transition for Contributions Made Subsequent to the Measurement Date, which establishes standards for measuring and recognizing liabilities, deferred inflows and outflows of resources and expenses. With the adoption of GASB No. 68 and 71, the Agency was required to retroactively record the net pension liability and related deferred inflows and outflows of resources related to its participation in the Illinois Municipal Retirement Fund (IMRF) and the State Employees' Retirement System (SERS).

Chicago Metropolitan Agency for Planning
Management's Discussion and Analysis (Unaudited)
June 30, 2016

Table 1
Condensed Statement of Net Position
(in thousands)

	<i>Business-type Activities</i>	
	2015	2016
Current and other assets	\$6,588	\$7,939
Long-Term assets	<u>\$1,735</u>	<u>\$969</u>
Total assets	<u>\$8,323</u>	<u>\$8,908</u>
Deferred Outflow	\$2,481	\$3,531
Current liabilities	\$3,308	\$4,648
Long-Term liabilities	<u>\$8,104</u>	<u>\$7,801</u>
Total liabilities	<u>\$11,412</u>	<u>\$12,449</u>
Deferred Inflow	\$2,203	\$2,681
Net position		
Invested in capital assets	\$1,264	\$863
Restricted for grant projects	\$385	\$334
Unrestricted	<u>\$(4,460)</u>	<u>\$(3,888)</u>
Total net position	<u>\$(2,811)</u>	<u>\$(2,691)</u>

The statement of net position is a snapshot as of the end of the fiscal year, reporting information on all of CMAP's assets and deferred outflows of resources as well as liabilities and deferred inflows of resources, with the difference between the two reported as net position. The net position may serve over time as a useful indicator of whether the financial position of an organization is improving or deteriorating. CMAP reported \$(2,690,786) net position as of June 30, 2016, as compared to net position of \$(2,810,914) as of June 30, 2015 an increase of \$120,128. The largest component of net position, unrestricted, reflects CMAP's adoption of GASB No. 68 and 71 for pension reporting in 2015. Restricted net position represents those grant projects that have provided advance funds for restricted purposes. Invested in capital assets represents the book value of capital assets.

NIPC entered into a new office lease in the fiscal year ended June 30, 2006. As an incentive to enter into the lease, NIPC was granted rent abatements for certain months throughout the term of the lease, including the first twelve months of the lease, two months in FY 08, three months in FY 09, and three months in FY 10. The benefit of these abatements is being recognized evenly over the life of the lease. Consequently, a liability is reported ("rent abatement") for the portion of the abatements received since the beginning of the lease that will be recognized over the remaining lease term. As part of the enabling legislation, CMAP assumed all of NIPC obligations and is now responsible for the office lease.

The largest component of the assets is cash and accounts receivable, which account for 87% of the total assets.

Chicago Metropolitan Agency for Planning
Management's Discussion and Analysis (Unaudited)
June 30, 2016

The largest components of the total liabilities are accounts payable, which had a balance of \$2,228,503 and \$3,582,858 at June 30, 2015 and 2016, respectively, and the value of the rent abatement of \$785,746 and \$615,012 on June 30, 2015 and 2016, respectively.

Table 2 Changes in Net Position (in thousands)				
	2015	% of Total	2016	% of Total
Operating revenues				
Grant revenue				
Federal	\$16,839	74%	\$17,901	87%
State	\$3,890	17%	\$949	5%
Other	\$1,543	7%	\$1,587	8%
Contributions	\$495	2%	\$88	0%
Miscellaneous	<u>\$22</u>	<u>0%</u>	<u>\$21</u>	<u>0%</u>
Total Operating revenues	<u>\$22,789</u>	100%	<u>\$20,546</u>	100%
Operating expenses				
Personnel services	\$10,385	47%	\$9,417	47%
Operating expenses	\$1,844	8%	\$1,743	9%
Commodities	\$569	3%	\$232	1%
In-kind expenses	\$1,246	5%	\$1,258	6%
Contractual services	\$7,820	35%	\$7,151	35%
Subcontractor expense	\$0	0%	\$0	0%
Depreciation expense	<u>\$399</u>	<u>2%</u>	<u>\$405</u>	<u>2%</u>
Total operating expenses	<u>\$22,263</u>	100%	<u>\$20,206</u>	100%
Non-operating income				
Interest	<u>\$3</u>	<u>100%</u>	<u>\$5</u>	<u>100%</u>
Total Non-operating income	<u>\$3</u>	<u>100%</u>	<u>\$5</u>	<u>100%</u>
Increase (decrease) in net position	\$529		\$345	

The largest component of operating revenues is federal grants. For its core operating activities, federal grants are passed to CMAP through the appropriate state agency—primarily Illinois Department of Transportation and Illinois Environmental Protection Agency. The FY16 budget was developed with grants awarded to CMAP to support its 9 programs. Primary funding for CMAP is from the Unified Work Program (UWP) for transportation planning for northeastern Illinois programs with metropolitan planning funds from the Federal Transit Administration (FTA), the Federal Highway Administration (FHWA), and state and local sources.

Chicago Metropolitan Agency for Planning

Management's Discussion and Analysis (Unaudited)

June 30, 2016

In 2007, the Regional Planning Act was amended and included the creation of the Comprehensive Regional Planning Fund (CRPF), of which \$3.5 million was allocated to CMAP. The CRPF was used for matching grant funds and other comprehensive regional planning purposes before it was eliminated in FY 12. Since that time the Illinois state budget has annually provided up to \$3.5 million in state transportation funds in lieu of funding for the CRPF.

The operating expenses of \$22,262,866 and \$20,205,808 at June 30, 2015 and 2016, respectively, decreased by \$2,057,058 or 9%.

Capital Assets

The capital assets are the furniture, office equipment, leasehold improvements and software owned by CMAP. The capital assets of \$1,264,485 and \$863,504 at June 30, 2015 and 2016, respectively, decreased by \$400,981, or 32%. Further capital asset information can be found in Note 3 of the notes to the financial statements.

Summary and Future Considerations

In 2007, CMAP initiated the development of the Regional Comprehensive Plan, now known as the *GO TO 2040* plan. The plan has guided growth and investment for Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will Counties since its inception. In addition to land use and transportation, *GO TO 2040* also addresses the full range of quality-of-life issues, including the natural environment, economic development, housing, and human services such as education, health care and other social services. The *GO TO 2040* Plan was adopted on October 13, 2010. After the adoption of the Plan, CMAP has focused on implementing the Plan recommendations. The development of the next comprehensive regional plan, *ON TO 2050*, is currently underway. It is slated for adoption in 2018.

Requests for Information

The financial report is designed to provide a general overview of the financial operations of the Chicago Metropolitan Agency for Planning. Questions concerning any of the information in this report or requests for additional information should be sent to the Deputy Executive Director for Finance and Administration, Chicago Metropolitan Agency for Planning, 233 South Wacker Drive, 8th Floor, Chicago, Illinois 60606.

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

STATEMENT OF NET POSITION

June 30, 2016

CURRENT ASSETS

Cash and cash equivalents	\$ 2,286,265
Receivables	5,493,642
Prepaid expenses	<u>159,420</u>
Total current assets	<u>7,939,327</u>

LONG-TERM ASSETS

Net other postemployment benefit asset	105,201
Capital assets, net of accumulated depreciation	<u>863,504</u>
Total long-term assets	<u>968,705</u>
Total assets	<u>8,908,032</u>

DEFERRED OUTFLOWS OF RESOURCES

Pension items - IMRF	2,748,795
Pension items - SERS	<u>781,835</u>
Total deferred outflows of resources	<u>3,530,630</u>
Total assets and deferred outflows of resources	<u>12,438,662</u>

CURRENT LIABILITIES

Accounts payable	3,582,858
Accrued payroll	342,868
Compensated absences	388,303
Unearned revenue	<u>333,812</u>
Total current liabilities	<u>4,647,841</u>

LONG-TERM LIABILITIES

Net pension liability - IMRF	1,136,018
Net pension liability - SERS	6,049,769
Rent abatement	<u>615,012</u>
Total long-term current liabilities	<u>7,800,799</u>
Total liabilities	<u>12,448,640</u>

DEFERRED INFLOWS OF RESOURCES

Pension items - IMRF	469,742
Pension items - SERS	<u>2,211,066</u>
Total deferred inflows of resources	<u>2,680,808</u>
Total liabilities and deferred inflows of resources	<u>15,129,448</u>

NET POSITION

Investment in capital assets	863,504
Restricted for grant projects	333,812
Unrestricted	<u>(3,888,102)</u>
TOTAL NET POSITION	<u><u>\$ (2,690,786)</u></u>

See accompanying notes to financial statements.

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

STATEMENT OF REVENUES, EXPENSES, AND
CHANGES IN NET POSITION

For the Year Ended June 30, 2016

OPERATING REVENUES

Grant revenue	
Federal	\$ 17,900,618
State	949,409
Other	1,586,723
Contributions	87,653
Miscellaneous	<u>21,727</u>
 Total operating revenues	 <u>20,546,130</u>

OPERATING EXPENSES

Personnel services	9,417,281
Operating expenses	1,742,919
Commodities	231,559
In-kind expenses	1,258,506
Contractual services	7,150,723
Depreciation expense	<u>404,820</u>
 Total operating expenses	 <u>20,205,808</u>

OPERATING INCOME	<u>340,322</u>
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NON-OPERATING REVENUES (EXPENSES)

Investment income	<u>4,899</u>
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CHANGE IN NET POSITION	<u>345,221</u>
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NET POSITION, BEGINNING OF YEAR	(2,810,914)
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Prior period adjustment	<u>(225,093)</u>
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NET POSITION, BEGINNING OF YEAR, RESTATED	<u>(3,036,007)</u>
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NET POSITION, END OF YEAR	<u><u>\$ (2,690,786)</u></u>
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See accompanying notes to financial statements.

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

STATEMENT OF CASH FLOWS

For the Year Ended June 30, 2016

CASH FLOWS FROM OPERATING ACTIVITIES

Received from other local governments	\$ 57,962
Received from operating grants	16,601,589
Paid to suppliers for goods and services	(7,948,197)
Paid to employees for services	(9,944,744)
	<u>(1,233,390)</u>
Net cash from operating activities	<u>(1,233,390)</u>

**CASH FLOWS FROM NONCAPITAL
FINANCING ACTIVITIES**

None	<u>-</u>
Net cash from noncapital financing activities	<u>-</u>

**CASH FLOWS FROM CAPITAL AND RELATED
FINANCING ACTIVITIES**

Acquisition of capital assets	<u>(3,839)</u>
Net cash from capital and related financing activities	<u>(3,839)</u>

CASH FLOWS FROM INVESTING ACTIVITIES

Interest received	<u>4,899</u>
Net cash from investing activities	<u>4,899</u>

NET DECREASE IN CASH AND CASH EQUIVALENTS	(1,232,330)
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CASH AND CASH EQUIVALENTS, BEGINNING OF YEAR	<u>3,518,595</u>
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CASH AND CASH EQUIVALENTS, END OF YEAR	<u><u>\$ 2,286,265</u></u>
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**RECONCILIATION OF OPERATING INCOME TO NET
CASH FLOWS FROM OPERATING ACTIVITIES**

Operating income	<u>\$ 340,322</u>
Adjustments to reconcile operating income to net cash from operating activities	
Noncash activity	
Depreciation expense	404,820
Deferred rent credit	(170,734)
Changes in	
Receivables	(2,576,655)
Prepaid expenses	(6,617)
Accounts payable	1,354,355
Accrued payroll	68,421
Compensated absences payable	(31,661)
Unearned revenue	(51,418)
Deferred pension items	(571,906)
Net pension asset/liability	17,545
Net other postemployment benefit asset	(9,862)
	<u>(1,573,712)</u>
Total adjustments	<u>(1,573,712)</u>

NET CASH FROM OPERATING ACTIVITIES	<u><u>\$ (1,233,390)</u></u>
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NONCASH TRANSACTIONS

Contribution of subcontractor services	<u><u>\$ 1,258,506</u></u>
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See accompanying notes to financial statements.

**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

NOTES TO FINANCIAL STATEMENTS

June 30, 2016

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

On August 8, 2005, the Illinois state legislature approved the Regional Planning Act (the Act) to create a Regional Planning Board, also known as the Chicago Metropolitan Agency for Planning (the Agency). The Act called for the merger of the functions of the Chicago Area Transportation Study (CATS), the region's federally designated metropolitan planning organization, and the Northeastern Illinois Planning Commission (NIPC). Effective July 1, 2007, these entities were merged to form the Agency. These financial statements for the Agency reflect this broadened organization. No assets, liabilities, and net position from CATS were acquired or combined as a result of the merger. Before the merger, CATS was supported entirely by the Illinois Department of Transportation. All assets, liabilities, and net assets from NIPC were assumed by the Agency during the merger. The Agency is a unit of local government incorporated under the Illinois State Statutes as a "special agency" form of government. The Agency is the comprehensive regional planning organization and is responsible for producing the integrated plan for land use and transportation for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will.

The financial statements of the Agency have been prepared in accordance with accounting principles generally accepted in the United States of America, as applied to government units (hereinafter referred to as generally accepted accounting principles (GAAP)). The Governmental Accounting Standards Board (GASB) is the accepted standard-setting body for establishing governmental accounting and financial reporting principles. The more significant of the Agency's accounting policies are described below.

a. Reporting Entity

The Agency is considered to be a primary government pursuant to GASB Statement No. 61 since it is legally separate and fiscally independent. These financial statements include all functions, programs, and activities under the control of the Board of Directors of the Agency.

b. Fund Accounting

Governmental resources are allocated to and accounted for in individual funds based on the purposes for which they are to be spent and the means by which spending activities are controlled. Fund accounting segregates funds according to their intended purpose, and is used to aid management in demonstrating compliance with finance related legal and contractual provisions. The Agency utilizes a single proprietary fund (enterprise fund) to account for its operations.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

b. Fund Accounting (Continued)

Enterprise Fund

The Enterprise Fund is used to account for operations (a) that are financed and operated in a manner similar to private business enterprises - where the intent of the Agency is that the costs (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges or (b) where the Agency has decided that periodic determination of revenues earned, expenses incurred, and net income or loss is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

c. Measurement Focus and Basis of Accounting

The accounting and financial reporting treatment applied to a fund is determined by its measurement focus. All proprietary funds are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets deferred outflows of resources, liabilities, and deferred inflows of resources associated with the operation of these funds are included on the balance sheet. Proprietary fund operating statements present increases (e.g., revenues) and decreases (e.g., expenses) in total net position. Operating revenues/expenses include all revenues/expenses directly related to providing proprietary fund services. Incidental revenues/expenses are reported as non-operating.

The accrual basis of accounting is utilized by proprietary funds. Under this method, revenues are recorded when earned and expenses are recorded at the time liabilities are incurred.

d. Accounting Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from these estimates.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

e. Cash and Cash Equivalents

For purposes of the statement of cash flows, the Agency considers all highly liquid investments with an original maturity of three months or less when purchased, including bank money market accounts and Illinois Funds accounts, to be cash equivalents.

f. Investments

Investments, if any, with a maturity date greater than one year from the date of purchase are recorded at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Agency categorizes its fair value measurements within the fair value hierarchy established by generally accepted accounting principles. The hierarchy is based on the valuation inputs used to measure the fair value of the asset. Level 1 inputs are quoted prices in active markets for identical assets; Level 2 inputs are significant other observable inputs; and Level 3 inputs are significant unobservable inputs.

The Agency held no investments at June 30, 2016.

g. Accounts Receivable

Accounts receivable, which primarily represent amounts due from other federal, state, and local governments in the form of grant payments, totaled \$5,493,642 at June 30, 2016. Accounts receivable are stated at the amount billed to the grantor or government. The Agency has determined that an allowance for doubtful accounts is not necessary at June 30, 2016, based on management's evaluation of the aged accounts receivable. This evaluation of the collectability of accounts receivable is based on prior experience, known and inherent risks in the accounts, adverse situations that may affect the grantor's or government's ability to pay, and current economic conditions. Amounts deemed uncollectible are charged to expense.

h. Prepaid Expenses

Payments made to vendors for services that will benefit periods beyond the date of this report, if any, are recorded as prepaid expenses.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

i. Capital Assets

Capital assets consist of furniture and fixtures, office equipment, leasehold improvements, and software with an initial, individual cost of more than \$3,000 and an estimated useful life in excess of one year. Capital assets are capitalized at cost when purchased or constructed and at acquisition value when donated. Major additions are capitalized, while replacements, maintenance, and repairs which do not improve or extend the lives of the respective assets are expensed in the period incurred. Interest incurred during the construction phase is reflected in the capitalized value of the asset constructed. Depreciation is computed over their estimated useful lives and is charged as an expense against operations. Depreciation is computed on a straight-line basis and accumulated depreciation is reported as a deduction from asset cost in the balance sheet. Estimated useful lives used by the Agency are as follows:

	<u>Years</u>
Furniture and fixtures	5-15
Office equipment	3-6
Software	3

Leasehold improvements had been amortized using the straight-line method over the term of the related leases.

j. Compensated Absences Payable

The Agency accrues for vesting and accumulated unused sick leave and vacation time. Sick leave is earned at a rate of one day per month for full-time employees, and a pro-rated amount for regular part-time staff based on the percentage of time worked. There is no limit on the overall amount of sick leave that can be accrued. Upon termination, the sick leave accrued balance will be credited towards pension service, in accordance with the guidelines of the Illinois Municipal Retirement Fund (IMRF) and the State Employees' Retirement System (SERS or the System). Vacation is earned by full-time employees at a rate of one day per month for the first three years, 1.33 days per month for the next three years, and 1.66 days per month thereafter. Up to 30 days of unused vacation can be carried forward. Vacation must be used within 18 months of when it is earned, unless approved by the Executive Director. Compensated absences payable at June 30, 2016 were \$388,303.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

k. Unearned Rent Credit

The Agency has recognized a liability for the rent abatements received in the current year under the office lease, and will recognize the benefit of the current and future rent abatement over the life of the lease.

l. Net Position

Net position is classified into three components: Net investment in capital assets; restricted; and unrestricted. Net investment in capital assets represents the book value of capital assets less any outstanding long-term debt principal issued to construct or acquire capital assets. Restricted net position is legally restricted by outside parties for a specific purpose. Unrestricted net position does not meet the definition of restricted or invested in capital assets.

m. Deferred Outflows/Inflows of Resources

In addition to assets, the statement of net position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element represents a consumption of net assets that applies to a future period(s) and so will not be recognized as an outflow of resources (expense/expenditure) until then. In addition to liabilities, the statement of net position will sometimes report a separate section for deferred inflows of resources. This separate financial statement element represents an acquisition of net assets that applies to a future period(s) and so will not be recognized as an inflow of resources (revenue) until that time.

n. Federal and State Agency Grant Revenues

Project funds authorized under federal and state agency grants are requisitioned from such agencies, either on an advance basis, or for reimbursement of eligible costs incurred, up to maximum amounts established under each grant. Revenues are generally recognized as eligible costs are incurred or requirements have been met. A local matching contribution is required for many federal and state grants. The Agency requests, and has been successful in the past in obtaining, contributions from local government agencies to provide for the local matching portions of the grants. Such contributions are generally recognized as revenue when received. Grants receivable represents amounts earned under grant agreements but not yet received. The balance in accounts receivable at June 30, 2016 includes \$5,491,423 of grants receivable.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

2. DEPOSITS AND INVESTMENTS

Permitted Deposits and Investments - The Agency's investment policy authorizes the Agency to make deposits/invest in insured commercial banks, savings and loan institutions, obligations of the U.S. Treasury and U.S. agencies, insured credit union shares, money market mutual funds with portfolios of securities issued or guaranteed by the United States Government, or agreements to repurchase these same obligations, repurchase agreements, short-term commercial paper rated within the three highest classifications by at least two standard rating services, Illinois Funds, and Illinois Metropolitan Investment Fund.

It is the policy of the Agency to invest its funds in a manner which will provide the highest investment return with the maximum security while meeting the daily cash flow demands of the Agency and conforming to all state and local statutes governing the investment of public funds, using the "prudent person" standard for managing the overall portfolio. The primary objectives of the policy is safety of principal, liquidity, maximum rate of return, and public trust.

Interest Rate Risk

The Agency limits its exposure to interest rate risk, the risk that changes in interest rates will adversely affect the fair value of investments, by remaining sufficiently liquid to meet all operating costs, which may be reasonably anticipated. The investment policy does not limit the maximum maturity length of investments. The Agency held no investments at June 30, 2016.

Concentration of Credit Risk

Concentration of credit risk is the risk that the Agency has a high percentage of its investments in one type of investment. The Agency places no limit on the amount that may be invested in any one issuer. The Agency held no investments at June 30, 2016.

Custodial Credit Risk - Deposits

Custodial credit risk is the risk that in the event of a bank failure, the Agency's deposits may not be returned to it. The Agency's investment policy strives to limit its custodial credit risk by not maintaining amounts in excess of Federal Deposit Insurance Corporation limits and by securing bank balances in excess of these limits by collateral held at an independent third party institution in the name of the Agency.

CHICAGO METROPOLITAN AGENCY FOR PLANNING**CHICAGO, ILLINOIS****NOTES TO FINANCIAL STATEMENTS (Continued)****3. CAPITAL ASSETS**

A summary of changes in capital assets follows:

	Balances July 1	Additions	Retirements	Balances June 30
Capital assets being depreciated				
Furniture	\$ 904,269	\$ -	\$ -	\$ 904,269
Office equipment	2,325,510	3,249	-	2,328,759
Leasehold improvements	870,758	-	-	870,758
Software	448,194	590	-	448,784
Total capital assets being depreciated	4,548,731	3,839	-	4,552,570
Less accumulated depreciation for				
Furniture	790,932	22,667	-	813,599
Office equipment	1,756,088	276,888	-	2,032,976
Leasehold improvements	331,161	87,077	-	418,238
Software	406,065	18,188	-	424,253
Total accumulated depreciation	3,284,246	404,820	-	3,689,066
Total capital assets being depreciated, net	1,264,485	(400,981)	-	863,504
CAPITAL ASSETS, NET	\$ 1,264,485	\$ (400,981)	\$ -	\$ 863,504

4. RISK MANAGEMENT

The Agency is exposed to various risks of loss related to torts; theft of, damage to and destruction of assets; errors and omissions; injuries to employees; illness of employees; and natural disasters. Those risks are covered by commercial insurance purchased from independent third parties. Settled claims from these risks have not exceeded commercial insurance coverage for the past three fiscal years.

5. INDIRECT COSTS

To facilitate equitable distribution of common purpose costs that benefit more than one direct cost objective, the Agency has established an agency-wide indirect cost allocation plan. Rates are based on a percentage of direct wages.

CHICAGO METROPOLITAN AGENCY FOR PLANNING**CHICAGO, ILLINOIS****NOTES TO FINANCIAL STATEMENTS (Continued)**

6. CONTINGENCIES

The Agency has received significant financial assistance from federal and state agencies. The disbursement of funds received under these programs generally requires compliance with terms and conditions specified in the grant agreements, and may be subject to audit by the grantor agencies. Any disallowed claims resulting from such audits could become a liability of the Agency. The Agency is not aware of any disallowed claims.

7. ILLINOIS MUNICIPAL RETIREMENT FUND

The Agency's defined benefit pension plan, Illinois Municipal Retirement Fund (IMRF), provides retirement, disability, annual cost of living adjustments, and death benefits to plan members and beneficiaries. IMRF is an agent multi-employer pension plan that acts as a common investment and administrative agent for local governments and school districts in Illinois. The Illinois Pension Code establishes the benefit provisions of the plan that can only be amended by the Illinois General Assembly. IMRF issues a publicly available financial report that includes financial statements and supplementary information for the plan as a whole but not by individual employer. That report may be obtained at www.imrf.org or by writing to the Illinois Municipal Retirement Fund, 2211 York Road, Suite 500, Oak Brook, Illinois 60523.

Plan Administration

All employees hired in positions that meet or exceed the prescribed annual hourly standard must be enrolled in IMRF as participating members.

The plan is accounted for on the economic resources measurement focus and the accrual basis of accounting. Employer and employee contributions are recognized when earned in the year that the contributions are required, benefits and refunds are recognized as an expense and liability when due and payable.

Plan Membership

At December 31, 2015, IMRF membership consisted of:

Inactive employees or their beneficiaries currently receiving benefits	90
Inactive employees entitled to but not yet receiving benefits	39
Active employees	<u>86</u>
TOTAL	<u>215</u>

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

7. ILLINOIS MUNICIPAL RETIREMENT FUND (Continued)

Benefits

IMRF provides two tiers of pension benefits. Employees hired prior to January 1, 2011, are eligible for Tier 1 benefits. For Tier 1 employees, pension benefits vest after eight years of service. Participating members who retire at age 55 (reduced benefits) or after age 60 (full benefits) with eight years of credited service are entitled to an annual retirement benefit, payable monthly for life, in an amount equal to 1 2/3% of their final rate of earnings, for each year of credited service up to 15 years, and 2% for each year thereafter.

Employees hired on or after January 1, 2011, are eligible for Tier 2 benefits. For Tier 2 employees, pension benefits vest after ten years of service. Participating members who retire at age 62 (reduced benefits) or after age 67 (full benefits) with ten years of credited service are entitled to an annual retirement benefit, payable monthly for life, in an amount equal to 1 2/3% of their final rate of earnings, for each year of credited service up to 15 years, and 2% for each year thereafter. IMRF also provides death and disability benefits. These benefit provisions and all other requirements are established by state statute.

Contributions

Employees participating in IMRF are required to contribute 4.5% of their annual covered salary. The member rate is established by state statute. The Agency is required to contribute at an actuarially determined rate. The employer rate for calendar year 2015 was 12.02% of payroll. The employer contribution requirements are established and may be amended by the IMRF Board of Trustees.

Actuarial Assumptions

The Agency's net pension liability was measured as of December 31, 2015 and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation performed as of the same date using the following actuarial methods and assumptions.

ATTACHMENT 7

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

7. ILLINOIS MUNICIPAL RETIREMENT FUND (Continued)

Actuarial Assumptions (Continued)

Actuarial valuation date	December 31, 2015
Actuarial cost method	Entry-age normal
Assumptions	
Price inflation	2.75%
Salary increases	3.75% to 14.50%
Interest rate	7.50%
Cost of living increases	3.00%
Asset valuation method	Market value

For nondisabled retirees, an IMRF specific mortality table was used with fully generational projection scale MP-2014 (base year 2014). IMRF specific rates were developed from the RP-2014 Blue Collar Health Annuitant Mortality Table with adjustments to match current IMRF experience. For disabled retirees, an IMRF specific mortality table was used with fully generational projection scale MP-2014 (base year 2014). IMRF specific rates were developed from the RP-2014 Disabled Retirees Mortality Table applying the same adjustment that were applied for nondisabled lives. For active members, an IMRF specific mortality table was used with fully generational projection scale MP-2014 (base year 2014). IMRF specific rates were developed from the RP-2014 Employee Mortality Table with adjustments to match current IMRF experience.

Discount Rate

The discount rate used to measure the total pension liability was 7.5%. The projection of cash flows used to determine the discount rate assumed that member contributions will be made at the current contribution rate and that the Agency contributions will be made at rates equal to the difference between actuarially determined contribution rates and the member rate. Based on those assumptions, the IMRF's fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

CHICAGO METROPOLITAN AGENCY FOR PLANNING**CHICAGO, ILLINOIS****NOTES TO FINANCIAL STATEMENTS (Continued)****7. ILLINOIS MUNICIPAL RETIREMENT FUND (Continued)**

Changes in the Net Pension Liability (Asset)

	(a) Total Pension Liability	(b) Plan Fiduciary Net Position	(a) - (b) Net Pension Liability (Asset)
BALANCES AT JANUARY 1, 2015, RESTATED	\$ 24,329,104	\$ 24,478,812	\$ (149,708)
Changes for the period			
Service cost	629,735	-	629,735
Interest	1,792,628	-	1,792,628
Difference between expected and actual experience	401,518	-	401,518
Changes in assumptions	-	-	-
Employer contributions	-	773,024	(773,024)
Employee contributions	-	289,402	(289,402)
Net investment income	-	121,339	(121,339)
Benefit payments and refunds	(1,484,519)	(1,484,519)	-
Administrative expense/other	-	354,390	(354,390)
Net changes	1,339,362	53,636	1,285,726
BALANCES AT DECEMBER 31, 2015	\$ 25,668,466	\$ 24,532,448	\$ 1,136,018

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

7. ILLINOIS MUNICIPAL RETIREMENT FUND (Continued)

Pension Expense and Deferred Outflows of Resources and Deferred Inflows of Resources

For the year ended June 30, 2016, the Agency recognized pension expense of \$461,790. At June 30, 2016, the Agency reported deferred outflows of resources and deferred inflows of resources related to IMRF from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Difference between expected and actual experience	\$ 324,550	\$ 469,742
Changes in assumption	583,320	-
Agency contributions subsequent to the measurement date	284,520	-
Net difference between projected and actual earnings on pension plan investments	1,556,405	-
TOTAL	<u><u>\$ 2,748,795</u></u>	<u><u>\$ 469,742</u></u>

Amounts reported as deferred outflows of resources and deferred inflows of resources related to IMRF will be recognized in pension expense as follows:

<u>Year Ending June 30,</u>	
2017	\$ 798,996
2018	514,476
2019	514,475
2020	434,428
2021	16,678
Thereafter	<u>-</u>
TOTAL	<u><u>\$ 2,279,053</u></u>

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

7. ILLINOIS MUNICIPAL RETIREMENT FUND (Continued)

Discount Rate Sensitivity

The following is a sensitivity analysis of the net pension liability (asset) to changes in the discount rate. The table below presents the net pension liability (asset) of the Agency calculated using the discount rate of 7.5% as well as what the Agency's net pension liability (asset) would be if it were calculated using a discount rate that is 1 percentage point lower (6.5%) or 1 percentage point higher (8.5%) than the current rate:

	1% Decrease (6.5%)	Current Discount Rate (7.5%)	1% Increase (8.5%)
Net pension liability (asset)	\$ 4,226,931	\$ 1,136,018	\$ (1,382,386)

8. STATE EMPLOYEES' RETIREMENT SYSTEM

As of September 2008, employees who were eligible to participate in the State Employees' Retirement System under Chicago Area Transportation Study were allowed to participate in SERS, a pension trust fund in the State of Illinois (the State) reporting entity. CATS merged with the Northeastern Illinois Planning Commission (NIPC) to create the current agency. SERS is a single-employer defined benefit Public Employee Retirement System (PERS) in which state employees, except those covered by the State Universities, Teachers', General Assembly, and Judges' Retirement Systems, participate. Although SERS is a single-employer defined benefit plan, the Agency's participation in SERS is considered to be that of a cost-sharing, multiple employer pension plan. The financial position and results of operations of SERS for fiscal year 2015 are included in the State's Comprehensive Annual Financial Report (CAFR) for the year ended June 30, 2016. SERS issues separate financial statements that may be obtained by writing to SERS, 2101 South Veterans Parkway, Springfield, Illinois 62794-9255 or at www.srs.illinois.gov.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)

Plan Administration

The plan is accounted for on the economic resources measurement focus and the accrual basis of accounting, the same basis as they are reported by SERS. Employer and employee contributions are recognized when earned in the year that the contributions are required, benefits and refunds are recognized as an expense and liability when due and payable. Investments are reported at fair value.

Benefits Provided

The System is governed by Chapter 40, Article 5/14 of the ILCS. Vesting and benefit provisions of the System are defined in the ILCS. The retirement annuity is based on the member's final average compensation and the number of years of service credit that have been established. The retirement benefit formula available to general state employees is 1.67% for each year of covered service and 2.2% for each year of noncovered service. Alternative formula employees have a formula of 2.5% for covered service and 3% for noncovered service. The maximum retirement annuity payable is 75% of final average compensation for regular employees and 80% for alternative formula employees. The minimum retirement annuity payable is \$15 for each year of covered employment and \$25 for each year of noncovered employment.

Contributions

Employees participating in SERS are required to contribute 4% of their annual salary. The member rate is established by state statute. The Agency pays employer retirement contributions based upon an actuarial determined percentage of their payroll. For fiscal year 2016, the employer contribution rate was 45.60%. Effective for pay periods beginning after December 31, 1991, the State opted to pay the employee portion of retirement of most state agencies (including the Agency) with employees covered by the State Employees' and Teachers' Retirement Systems. However, effective with the fiscal year 2004 budget, the State opted to stop paying the portion of the retirement for any state agencies (including the Agency) for certain classes of employees covered by the State Employees' and Teachers' Retirement Systems. The pickup, when applicable, is subject to sufficient annual appropriations and those employees covered may vary across employee groups and state agencies. For the year ended June 30, 2016, salaries totaling \$700,819 were paid that required employer contributions of \$319,580, which was equal to the Agency's actual contributions.

ATTACHMENT 7

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)

Net Pension Liability

At June 30, 2016, the District reported a liability of \$6,049,769 for its proportionate share of the net pension liability. The net pension liability was measured as of June 30, 2015, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of that date. The Agency's proportion of the net pension liability was based on the Agency's actual contributions to the System for the year ended June 30, 2015 plan relative to the contributions of all participating employers, actuarially determined. At June 30, 2016, the Agency's proportion was 0.0216%, which was a decrease from its proportion of 0.0270% measured as of June 30, 2015.

Actuarial Assumptions

The Agency's net pension liability was measured as of June 30, 2015, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation performed as of the same date using the following actuarial methods and assumptions.

Actuarial valuation date	June 30, 2015
Actuarial cost method	Entry-age normal
Assumptions	
Inflation	3.00%
Salary increases	Various
Interest rate	7.25%
Cost of living adjustments	Tier 1 - 3.00% Tier 2 - 3.00% or ½ of CPI, whichever is less
Asset valuation method	Market value

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)

Actuarial Assumptions (Continued)

Mortality was assumed to be 105% of the RP2014 Health Annuitant mortality table, sex distinct, with rates projected to 2015.

The long-term expected real rate of return on pension plan investments was determined based on information provided by the Illinois State Board of Investment (ISBI) in conjunction with its investment consultant, Marquette Associates, Inc. The ISBI and Marquette Associates, Inc. provided the simulated average 10-year annualized geo-metric return for each major asset class. These returns are combined to produce the long-term expected rate of return by weighting the expected future rates of return by the target asset allocation percentage. For each major asset class that is included in the pension plan's target asset allocation as of June 30, 2015, the 10-year simulated real rates of return are summarized in the following table:

Asset Class	Target	Long-Term Expected Real Rate of Return
U.S. Equity	30%	5.69%
Fixed Income	20%	1.62%
Hedge Funds	10%	4.00%
International Equity	20%	6.23%
Real Estate	10%	5.50%
Infrastructure	5%	6.00%
Private Equity	5%	10.10%

CHICAGO METROPOLITAN AGENCY FOR PLANNING**CHICAGO, ILLINOIS****NOTES TO FINANCIAL STATEMENTS (Continued)****8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)***Discount Rate*

A single discount rate of 7.02% (7.09% in 2014) was used to measure the total pension liability. This single discount rate was based on the expected rate of return on pension plan investments of 7.25% and a municipal bond rate of 3.80%, based on an index of 20 year general obligation bonds with an average AA credit rating as published by the Federal Reserve. The projection of cash flows used to determine this single discount rate assumed that plan member contributions will be made at the current contribution rate and that employer contributions will be made at rates equal to the difference between actuarially determined contribution rates and the member rate. Based on these assumptions, the pension plan's fiduciary net position and future contributions were sufficient to finance the benefit payments through the year 2067. As a result, the long-term expected rate of return on pension plan investments was applied to projected benefit payments through the year 2067, and the municipal bond rate was applied to all benefits payments after that date.

Pension Expense and Deferred Outflows of Resources and Deferred Inflows of Resources

For the year ended June 30, 2016, the Agency recognized pension expense of \$(25,116). At June 30, 2016, the Agency reported deferred outflows of resources and deferred inflows of resources related to SERS from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Difference between expected and actual experience	\$ 18,400	\$ 78,541
Changes in assumption	443,855	-
Agency contributions subsequent to the measurement date	319,580	-
Net difference between projected and actual earnings on pension plan investments	-	91,629
Changes in proportion	-	2,040,896
TOTAL	\$ 781,835	\$ 2,211,066

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)

Pension Expense and Deferred Outflows of Resources and Deferred Inflows of Resources (Continued)

Amounts reported as deferred outflows of resources and deferred inflows of resources related to SERS will be recognized in pension expense as follows:

Year Ending June 30,	
2017	\$ (238,759)
2018	(558,339)
2019	(468,879)
2020	(163,254)
2021	-
Thereafter	-
TOTAL	<u>\$ (1,429,231)</u>

Discount Rate Sensitivity

The following is a sensitivity analysis of the Agency's proportionate share of the net pension liability to changes in the discount rate. The table below presents the proportionate share of the net pension liability of the Agency calculated using the discount rate of 7.02% as well as what the Agency's proportionate share of the net pension liability would be if it were calculated using a discount rate that is 1 percentage point lower (6.02%) or 1 percentage point higher (8.02%) than the current rate:

	1% Decrease (6.02%)	Current Discount Rate (7.02%)	1% Increase (8.02%)
Agency's proportionate share of the net pension liability	\$ 7,282,917	\$ 6,049,769	\$ 5,026,160

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

8. STATE EMPLOYEES' RETIREMENT SYSTEM (Continued)

Pension Plan Fiduciary Net Position

Detailed information about SERS' fiduciary net position is available in the separately issued SERS financial report.

Amounts Due to SERS

At June 30, 2016, amounts due and payable to SERS was \$16,979.

9. OTHER POSTEMPLOYMENT BENEFITS

a. Plan Description

In addition to providing the pension benefits described, the Agency provides other postemployment health care benefits (OPEB) for retired employees through a single-employer defined benefit plan (the Plan). The benefits, benefit levels, employee contributions, and employer contributions are governed by the Agency and can be amended by the Agency through its personnel manual. Certain benefits are controlled by state laws and can only be changed by the Illinois legislature. The Plan is not accounted for as a trust fund, as an irrevocable trust has not been established to account for the Plan. The Plan does not issue a separate report.

b. Benefits Provided

The Agency provides pre and post-Medicare postretirement health insurance to retirees, their spouses, and dependents (enrolled at time of employee's retirement). To be eligible for benefits, the employee must qualify for retirement under the Agency's IMRF retirement plan. The retirees pay 100% of the blended premium. Upon a retiree becoming eligible for Medicare, the amount payable under the Agency's health plan will be reduced by the amount payable under Medicare for those expenses that are covered under both.

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

9. OTHER POSTEMPLOYMENT BENEFITS (Continued)

c. Membership

At June 30, 2015 (census date), membership consisted of:

Retirees and beneficiaries currently receiving benefits	2
Terminated employees entitled to benefits but not yet receiving them	-
Active vested plan members	8
Active nonvested plan members	<u>82</u>
 TOTAL	 <u><u>92</u></u>
 Participating employers	 <u><u>1</u></u>

d. Funding Policy

The Agency is not required to and currently does not advance fund the cost of benefits that will become due and payable in the future. Active employees do not contribute to the Plan until retirement.

e. Annual OPEB Costs and Net OPEB Obligation

The Agency's annual OPEB cost, the percentage of annual OPEB cost contributed to the Plan, and the net OPEB obligation (asset) was as follows:

Fiscal Year Ended	Annual OPEB Cost	Employer Contributions	Percentage of Annual OPEB Cost Contributed	Net OPEB Obligation (Asset)
2014	\$ 22,826	\$ 52,630	227.24%	\$ (88,411)
2015	20,470	27,398	134.84%	(95,339)
2016	17,536	27,398	156.24%	(105,201)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

9. OTHER POSTEMPLOYMENT BENEFITS (Continued)

e. Annual OPEB Costs and Net OPEB Obligation (Continued)

The net OPEB obligation (asset) as of June 30, 2016 was calculated as follows:

Annual required contribution	\$ 19,090
Interest on net OPEB obligation	(3,814)
Adjustment to annual required contribution	<u>2,260</u>
Annual OPEB cost	17,536
Contributions made	<u>27,398</u>
Increase in net OPEB obligation (asset)	(9,862)
Net OPEB obligation (asset), beginning of year	<u>(95,339)</u>
NET OPEB OBLIGATION (ASSET), END OF YEAR	<u>\$ (105,201)</u>

Funded Status and Funding Progress: The funded status of the Plan as of June 30, 2014 (the most recent information available) was as follows:

Actuarial accrued liability (AAL)	\$ 158,889
Actuarial value of plan assets	-
Unfunded actuarial accrued liability (UAAL)	158,889
Funded ratio (actuarial value of plan assets/AAL)	0.00%
Covered payroll (active plan members)	\$ 6,548,364
UAAL as a percentage of covered payroll	2.43%

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include assumptions about future employment, mortality, and the healthcare cost trend. Amounts determined regarding the funded status of the Plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The schedule of funding progress, presented as required supplementary information following the notes to financial statements, presents multi-year trend information that shows whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

9. OTHER POSTEMPLOYMENT BENEFITS (Continued)

e. Annual OPEB Costs and Net OPEB Obligation (Continued)

Actuarial methods and assumptions - projections of benefits for financial reporting purposes are based on the substantive plan (the Plan as understood by the employer and plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

In the June 30, 2014 actuarial valuation (the most recent information available), the projected unit credit actuarial cost method was used. The actuarial assumptions included as investment rate of return of 4% and an initial healthcare cost trend rate of 6.2% to 7.9% with an ultimate healthcare inflation rate of 5%. The actuarial value of assets was not determined as the Agency has not advance funded its obligation. The Plan's unfunded actuarial accrued liability is being amortized on the level dollar method on an open, 30-year basis.

10. OPERATING LEASE COMMITMENTS

The Agency conducts its operations in facilities rented under a noncancelable operating lease entered into September 1, 2005. The lease period extends through August 31, 2020. Under the Agency agreement with the landlord, the rent was abated for the first 12 months of the term of the lease as well as months 23, 24, 37, 38, 39, 49, 50, and 51. The Agency will recognize the benefit of the rent abatements over the life of the lease. The following schedule reflects the Agency's gross commitment for the future minimum annual rental payments. The schedule below does not reflect the proportionate share of any increase in expenses or taxes for those years.

Year Ending June 30,	Agency Payments
2017	\$ 1,553,543
2018	1,579,507
2019	1,605,472
2020	1,631,436
2021	272,627
TOTAL	<u>\$ 6,642,585</u>

CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS
NOTES TO FINANCIAL STATEMENTS (Continued)

11. PRIOR PERIOD ADJUSTMENT

The Agency's beginning net position was restated by \$(225,093) to correct differences in the prior year fiduciary net position as reported by IMRF.

REQUIRED SUPPLEMENTARY INFORMATION

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF FUNDING PROGRESS
OTHER POSTEMPLOYMENT BENEFIT PLAN

June 30, 2016

Actuarial Valuation Date June 30	(1) Actuarial Value of Assets	(2) Actuarial Accrued Liability (AAL) Entry-Age Normal	(3) Funded Ratio (1) / (2)	(4) Unfunded (AAL) (UAAL) (2) - (1)	(5) Active Members Covered Payroll	(6) UAAL as a Percentage of Covered Payroll (4) / (5)
2012	\$ -	\$ 209,308	0.00%	\$ 209,308	\$ 5,403,686	3.87%
2013	N/A	N/A	N/A	N/A	N/A	N/A
2014	-	158,889	0.00%	158,889	6,548,364	2.43%
2015	N/A	N/A	N/A	N/A	N/A	N/A
2016	N/A	N/A	N/A	N/A	N/A	N/A

The Agency implemented GASB Statement No. 45 for the fiscal year ended June 30, 2012. Information for prior years is not available.

N/A - Actuarial valuation not performed

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF EMPLOYER CONTRIBUTIONS
ILLINOIS MUNICIPAL RETIREMENT FUND

June 30, 2016

	<u>2016</u>	<u>2015</u>
Actuarially determined contribution	\$ 671,455	\$ 825,900
Contributions in relation to the actuarially determined contribution	<u>671,455</u>	<u>825,900</u>
CONTRIBUTION DEFICIENCY (Excess)	<u>\$ -</u>	<u>\$ -</u>
Covered-employee payroll	\$ 6,431,154	\$ 6,123,410
Contributions as a percentage of covered-employee payroll	10.44%	13.49%

Notes to Required Supplementary Information

Actuarially determined contribution rates are calculated as of December 31 each year, which are 12 months prior to the beginning of the fiscal year in which contributions are reported. Additional information as of the latest actuarial valuation presented is as follows: the actuarial cost method was aggregate entry-age normal; the amortization method was level percent of pay, closed, and the remaining amortization period was ten years rolling; the asset valuation method was five-year smoothed market; and the significant actuarial assumptions were an investment rate of return at 7.5% annually, projected salary increases assumption of 4.4% to 16% compounded annually, and postretirement benefit increases of 3% compounded annually.

(See independent auditor's report.)

ATTACHMENT 7
**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

SCHEDULE OF EMPLOYER CONTRIBUTIONS
STATE EMPLOYEES' RETIREMENT SYSTEM

June 30, 2016

	2015	2016
Contractually required contribution	\$ 396,441	\$ 319,580
Contributions in relation to the contractually required contribution	<u>396,441</u>	<u>319,580</u>
CONTRIBUTION DEFICIENCY (Excess)	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>
Covered-employee payroll	\$ 936,342	\$ 700,819
Contributions as a percentage of covered-employee payroll	42.34%	45.60%

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF EMPLOYER CONTRIBUTIONS
OTHER POSTEMPLOYMENT BENEFIT PLAN

June 30, 2016

Fiscal Year	Employer Contributions	Annual Required Contribution (ARC)	Percentage Contributed
2012	\$ 52,630	\$ 23,492	224.03%
2013	52,630	23,492	224.03%
2014	52,630	23,492	224.03%
2015	27,398	19,090	143.52%
2016	27,398	19,090	143.52%

The Agency implemented GASB Statement No. 45 for the fiscal year ended June 30, 2012.
Information for prior years is not available.

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF CHANGES IN THE EMPLOYER'S
NET PENSION LIABILITY AND RELATED RATIOS
ILLINOIS MUNICIPAL RETIREMENT FUND

June 30, 2016

	December 31, 2015	December 31, 2014, Restated
TOTAL PENSION LIABILITY		
Service cost	\$ 629,735	\$ 675,097
Interest	1,792,628	1,709,161
Changes of benefit terms	-	-
Differences between expected and actual experience	401,518	(741,396)
Changes of assumptions	-	920,656
Benefit payments, including refunds of member contributions	(1,484,519)	(1,371,360)
Net change in total pension liability	1,339,362	1,192,158
Total pension liability - beginning	24,329,104	23,136,946
TOTAL PENSION LIABILITY - ENDING	\$ 25,668,466	\$ 24,329,104
PLAN FIDUCIARY NET POSITION		
Contributions - employer	\$ 773,024	\$ 838,907
Contributions - member	289,402	282,021
Net investment income	121,339	1,446,147
Benefit payments, including refunds of member contributions	(1,484,519)	(1,371,360)
Administrative expense/other	354,390	(549,452)
Net change in plan fiduciary net position	53,636	646,263
Plan fiduciary net position - beginning	24,478,812	23,832,549
PLAN FIDUCIARY NET POSITION - ENDING	\$ 24,532,448	\$ 24,478,812
EMPLOYER'S NET PENSION LIABILITY (ASSET)	\$ 1,136,018	\$ (149,708)
Plan fiduciary net position as a percentage of the total pension liability (asset)	95.57%	100.62%
Covered-employee payroll	\$ 6,431,154	\$ 6,123,410
Employer's net pension liability (asset) as a percentage of covered-employee payroll	17.66%	(2.44%)

The 2014 changes in assumptions related to retirement age and mortality were made since the prior measurement date.

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF THE EMPLOYERS' PROPORTIONATE
SHARE OF THE NET PENSION LIABILITY
STATE EMPLOYEES' RETIREMENT SYSTEM

June 30, 2016

	2015	2016
Employer's proportion of the net pension liability	0.0270%	0.0216%
Employer's proportionate share of the net pension liability	\$ 7,317,950	\$ 6,049,769
Employer's covered-employee payroll	936,342	700,819
Employer's proportionate share of the net pension liability as a percentage of its covered-employee payroll	781.55%	863.24%
Plan fiduciary net position as a percentage of the total pension liability	34.98%	35.27%

The amounts presented each year were determined as of June 30 of the previous year.

(See independent auditor's report.)

SUPPLEMENTARY INFORMATION

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF REVENUES, EXPENSES, AND
CHANGES IN NET POSITION - BUDGET AND ACTUAL

For the Year Ended June 30, 2016

	Original and Final Budget	Actual
REVENUES		
Grants	\$ 21,847,937	\$ 19,178,244
Contributions	188,130	87,653
Product sales, fees, and interest income	13,000	13,988
In-kind contributions	1,318,992	1,258,506
Miscellaneous	5,000	12,638
Total revenues	23,373,059	20,551,029
EXPENSES		
Personnel services	11,477,330	9,746,549
Operating expenses	402,575	268,824
Commodities	515,244	231,559
Occupancy expense	1,710,000	1,644,829
Contractual services	7,798,918	7,150,723
Capital outlay	150,000	3,839
In-kind services	1,318,992	1,258,506
Total expenses	23,373,059	20,304,829
CHANGE IN BUDGETARY NET POSITION	\$ -	246,200
NET POSITION, BEGINNING OF YEAR		(2,810,914)
Prior period adjustment		(225,093)
NET POSITION, BEGINNING OF YEAR, RESTATED		(3,036,007)
BUDGETARY NET POSITION, END OF YEAR		(2,789,807)
BUDGET TO GAAP RECONCILIATION		
Depreciation and amortization		(404,820)
Amortization - rent abatement		170,734
Pension expense		329,268
Capital outlay capitalized		3,839
Net increase in net position, budget to GAAP		99,021
NET POSITION, END OF YEAR		\$ (2,690,786)

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF GRANT RECEIPTS, EXPENSES, AND BALANCES

For the Year Ended June 30, 2016

Grant. No.	Grantor	Grant Period		Total Project Amount	Grant Amount	Grant Receipts					Expenses			Status
						Prior FY 16 Receipts	FY 16 Receipts	Receivable 6/30/2016	Refund	Remaining Grant 6/30/2016	Prior FY 16 Expenditures	FY 16 Expenditure	Grant Balance 6/30/2016	
		From	To											
S736	IDOT	7/11/2011	6/30/2016	\$ 4,038,750	\$ 4,038,750	\$ 3,007,805	\$ 152,558	\$ 591,179	\$ -	\$ 287,208	\$ 3,160,363	\$ 591,179	\$ 287,208	Open
S746	IDOT	7/1/2012	6/30/2017	3,452,282	2,761,826	1,910,371	280,000	286,466	-	284,989	2,190,371	286,465	284,990	Open
S750	IEPA	9/4/2013	12/31/2015	244,000	244,000	168,141	75,859	-	-	-	178,165	65,835	-	Closed
S751	ILAG	1/1/2014	12/31/2016	596,213	448,448	224,224	149,483	39,371	-	35,370	294,611	118,467	35,370	Open
S752	DOC	10/1/2013	9/30/2015	400,000	200,000	109,380	90,620	-	-	-	200,000	-	-	Closed
S754	IDNR	4/1/2014	3/31/2016	250,000	250,000	250,000	-	-	-	-	145,880	-	104,120	Returned Funds
S756	IDOT	7/1/2013	6/30/2018	4,079,730	3,263,784	770,268	8,611	899,102	-	1,585,803	778,879	899,102	1,585,803	Open
S759	IDNR	4/19/2014	10/18/2015	75,000	75,000	65,416	9,584	-	-	-	75,000	-	-	Closed
S760	CCT	10/10/2014	12/1/2015	150,000	150,000	17,377	61,356	-	-	71,267	17,377	61,356	71,267	Open
S761	MacArthur	1/1/2015	12/31/2015	250,000	250,000	75,561	129,662	-	-	44,777	75,561	130,050	44,389	Open
S762	HUD/McHen	6/1/2015	6/30/2016	65,000	65,000	-	65,000	-	-	-	-	65,000	-	Closed
S765	IDOT	7/1/2014	6/30/2015	18,477,858	17,508,589	14,113,346	2,285,290	158,878	-	951,075	16,361,396	196,118	951,075	Closed
S766	IDOT	7/1/2014	6/30/2015	2,827,500	2,415,000	118,675	13,250	566,195	-	1,716,880	131,925	566,195	1,716,880	Open
S769	IEPA	1/1/2015	12/31/2016	360,000	360,000	44,546	172,037	23,755	-	119,662	57,480	182,858	119,662	Open
S770	Cook Cty/HU	7/1/2015	6/30/2018	750,000	750,000	-	108,726	80,960	-	560,314	-	189,686	560,314	Open
S771	IEPA	10/1/2015	12/31/2017	256,400	256,400	-	27,410	6,376	-	222,614	-	33,786	222,614	Open
S772	CCT	2/1/2016	1/31/2017	150,000	150,000	-	-	-	-	150,000	-	-	150,000	Open
S775	IDOT	7/1/2015	6/30/2017	18,710,358	17,761,089	-	12,574,410	2,807,240	-	2,379,439	-	15,381,650	2,379,439	Open
S776	IDOT	7/1/2015	6/30/2020	2,445,000	2,196,000	-	45,894	24,181	-	2,125,925	-	70,075	2,125,925	Open
S777	IDOT	7/1/2015	6/30/2017	300,636	300,636	-	-	-	-	300,636	-	-	300,636	Open

(See independent auditor's report.)

ATTACHMENT 7
**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

COMPUTATION OF FRINGE BENEFITS RATE
AND STATEMENT OF FRINGE BENEFITS

For the Year Ended June 30, 2016

Computation of fringe benefits rate:

Total fringe benefits	\$ 2,634,755	35.75%
Total salaries	<u>7,370,353</u>	

Statement of fringe benefits:

Medicare	102,076
FICA	426,728
IMRF	671,455
SERS	319,580
Life insurance	45,180
Medical/dental/vision	984,656
Workers' compensation	19,113
Unemployment compensation	3,351
Other benefits	<u>62,616</u>
	<u><u>\$ 2,634,755</u></u>

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

COMPUTATION OF INDIRECT COST RATE

For the Year Ended June 30, 2016

Total indirect costs:

Management and administrative salaries and leave	\$ 1,387,487	
Other indirect costs	<u>1,848,406</u>	
	<u><u>\$ 3,235,893</u></u>	

Total base costs:

Direct salaries, leave, and fringe benefits	<u>\$ 8,633,049</u>	
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Indirect cost rate:

Total indirect costs	<u>\$ 3,235,893</u>	37.48%
Total base costs	8,633,049	

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF OTHER INDIRECT COSTS

For the Year Ended June 30, 2016

Breakroom supplies	\$ 15,257
Publications	445
Equipment - small value	1,595
Office supplies	7,041
Copy room supplies	7,748
Audit services	37,350
Office equipment leases	7,995
Fiscal management maintenance/licenses	43,909
Professional services	9,774
Consulting services	3,040
Office equipment maintenance	34,289
Web-based software licenses	3,000
Staff association memberships	365
CMAP association memberships	195
Postage/postal services	4,179
Storage	6,527
Miscellaneous	1,090
Recruitment expenses	5,695
General insurance	37,591
Legal services	868
Bank services fees	4,297
Travel expenses	872
Office maintenance	6,265
Rent	1,498,928
Telecommunications	45,752
Utilities	58,459
Willis Tower parking	5,880
	<hr/>
TOTAL	\$ 1,848,406
	<hr/> <hr/>

(See independent auditor's report.)

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

DESCRIPTION OF GRANTS

For the Year Ended June 30, 2016

CMAP No.	Pass-Through Agency	Grant Number	Description
<u>Illinois Attorney General</u>			
S-751		13-003	Housing Counseling & Community Revitalization
<u>United States Environmental Protection Agency</u>			
S-750	IEPA	604131	Boone Creek Watershed-Based Plan
S-769	IEPA	604141	Water Quality Management Program
S-771	IEPA	604151	Lower Salt Creek Watershed-Based Plan
<u>United States Department of Housing and Urban Development</u>			
S-762	HUD		Regional Housing Initiative
S-770	Cook County/HUD		Disaster Recovery Program
<u>Department of Commerce</u>			
S-752		06-79-05857	Economic Development Local Technical Assistance
S-759	IDNR	14-032-N13-15	Local Technical Assistance Sustainable Coastal Planning
<u>United States Department of Transportation</u>			
S-736	IDOT	MPO CMAP 3C 12BOB33	FY2012 Unified Work Program Contracts
S-746	IDOT	MPO CMAP 3-C Core FY13 13BOB24	FY2013 Unified Work Program Contracts

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

DESCRIPTION OF GRANTS (Continued)

For the Year Ended June 30, 2016

CMAP No.	Pass-Through Agency	Grant Number	Description
<u>United States Department of Transportation (Continued)</u>			
S-756	IDOT	MPO CMAP Competitive	FY2014 Unified Work Program Contracts
S-765	IDOT	MPO-CMAP Operations UPP 3-C 2015BOBS874	FY2015 Unified Work Program Contracts
S-766	IDOT	MPO-CMAP UPP 30C 2015BOBS876	FY2015 Unified Work Program Contracts
S-775	IDOT	MPO-CMAP Operations UPP 3-C Plan1575104001	FY2016 Unified Work Program Contracts
S-776	IDOT	MPO-CMAP UPP Competitive 3-C Plan 1575103801	FY2016 Unified Work Program Contracts
S-777	IDOT	MPO-CMAP UPP Community Planning & Research 1575104101	FY2016 Unified Work Program Contracts
<u>The Chicago Community Trust</u>			
S-760		C2014-01322	Sustainable Development
S-772		C2016-10171	Sustainable Development
<u>MacArthur Foundation</u>			
S-761		14-107642	Stormwater Management Models
<u>Illinois Department of Natural Resources</u>			
S-754			Regional Water Supply Planning

**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

NOTES TO SUPPLEMENTARY INFORMATION

June 30, 2016

BUDGETS

The Executive Director presents an annual operating budget, first to the Finance Committee, and later to the full Board of Directors. The Board of Directors approves the budget prior to the beginning of the fiscal year. The Executive Committee serves as the audit and finance committee for the Board of Directors and approves revisions to the annual budget. At a minimum, the Executive Committee considers revisions when reviewing the six month financial report. The budget is adopted on a basis consistent with accounting principles generally accepted in the United States of America, except that the Agency budgets for capital outlay expenses and does not budget for depreciation and amortization. The various funding sources have different beginning and ending dates funding the activities. The budget was approved on June 24, 2015.

SINGLE AUDIT INFORMATION



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**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED
IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

The Honorable Chairman
and Members of the Board
Chicago Metropolitan Agency for Planning
Chicago, Illinois

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the basic financial statements of the Chicago Metropolitan Agency for Planning, Chicago, Illinois (the Agency) as of and for the year ended June 30, 2016, and the related notes to financial statements, and have issued our report thereon dated October 21, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Agency's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Agency's internal control. Accordingly, we do not express an opinion on the effectiveness of the Agency's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over financial reporting was for limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Agency's basic financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Agency's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Agency's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Sikich LLP

Naperville, Illinois
October 21, 2016

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INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

The Honorable Chairman
and Members of the Board
Chicago Metropolitan Agency for Planning
Chicago, Illinois 60606

Report on Compliance for Each Major Federal Program

We have audited the Chicago Metropolitan Agency for Planning, Chicago, Illinois' (the Agency) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Compliance Supplement* that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016. The Agency's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the Agency's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Agency's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination on the Agency's compliance.

Opinion on Each Major Federal Program

In our opinion, the Chicago Metropolitan Agency for Planning complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016.

Report on Internal Control Over Compliance

Management of the Agency is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Agency's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine our auditing procedures that are appropriate in the circumstances for the purpose of expressing our opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Agency's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonably possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Sikich LLP

Naperville, Illinois
October 21, 2016

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the Year Ended June 30, 2016

Federal Grantor/ Pass-through Grantor/ Program Title	Federal CFDA Number	Agency or Pass-Through Number	Federal Expenditure	Amount Provided to Subrecipients
MAJOR PROGRAMS				
U.S. Department of Transportation				
Direct Awards				
Unified Work Program for Planning and Programming Transportation Planning Activities - Other Agencies	20.505	MPO-CMAP Operations UPP 3-C Plan 1575104001	\$ 1,195,482	\$ 1,195,482
Unified Work Program for Planning and Programming Transportation Planning Activities	20.505	MPO-CMAP Operations UPP 3-C Plan 1575104001	886,563	-
Unified Work Program Consulting Services - Other Agencies	20.505	MPO-CMAP UPP Competitive 3-C Plan 1575103801	45,894	45,894
Total Direct awards			2,127,939	1,241,376
Pass-through programs from:				
Illinois Department of Transportation:				
Unified Work Program for Planning and Programming Transportation Planning Activities - Other Agencies	20.505	MPO-CMAP Operations UPP 3-C Plan 1575104001	326,526	326,526
Unified Work Program for Planning and Programming Transportation Planning Activities - Other Agencies	20.505	MPO CMAP Operation UPP 3-C 2015BOBS874	158,879	158,879
Unified Work Program Consulting Services - Other Agencies	20.505	MPO-CMAP UPP Competitive 3-C Plan 1575103801	11,568	11,568
Unified Work Program Consulting Services	20.505	MPO_CMAP UPP 30C 2015BobS876	358,147	-
Unified Work Program Consulting Services - Other Agencies	20.505	MPO_CMAP UPP 30C 2015BobS876	118,511	118,511
Unified Work Program Consulting Services	20.505	MPO-CMAP UPP 3-C 14BOB22	215,414	-
Unified Work Program Consulting Services - Other Agencies	20.505	MPO-CMAP Competitive 3-C 14BOB22	629,834	629,834
Unified Work Program Consulting Services - Other Agencies	20.505	MPO-CMAP 3-C Core FY13	286,465	286,465
Total Pass-through awards			2,105,344	1,531,783
Total U.S. Department of Transportation			4,233,283	2,773,159

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (Continued)

For the Year Ended June 30, 2016

Federal Grantor/ Pass-through Grantor/ Program Title	Federal CFDA Number	Agency or Pass-Through Number	Federal Expenditure	Amount Provided to Subrecipients
MAJOR PROGRAMS (Continued)				
U.S. Environmental Protection Agency				
Pass-through programs from:				
Illinois Environmental Protection Agency:				
Boone Creek Watershed-Based Plan	66.454	604131 ((604(b)))	\$ 65,835	\$ -
Water Quality Management Planning	66.454	604141 ((604(b)))	182,858	-
Lower Salt Creek Watershed-Based Plan	66.454	604151 ((604(b)))	33,786	-
			<hr/>	
Total U.S. Environmental Protection Agency			282,479	-
			<hr/>	
Total major programs			4,515,762	2,773,159
			<hr/>	
NONMAJOR PROGRAMS				
U.S. Department of Housing and Urban Development				
Pass-through programs from:				
McHenry County Housing Authority				
Regional Housing Initiative	41.871	RHI 2015	65,000	-
Pass-through programs from:				
Cook County CDBG				
Disaster Recovery Program	14.269	DR-PL-R2-01	189,686	-
			<hr/>	
Total U.S. Department of Housing and Urban Development			254,686	-
			<hr/>	
U.S. Department of Transportation				
Direct Awards				
Highway Planning and Construction -				
Council of Mayors	20.205	MPO CMAP Operations UPP 3-C 1575104001	1,122,369	1,122,369
Unified Work Program for Planning and Programming				
Transportation Planning Activities	20.205	MPO-CMAP Operations UPP 3-C Plan 1575104001	10,810,198	-
			<hr/>	
Total Direct awards			11,932,567	1,122,369
			<hr/>	

ATTACHMENT 7
CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (Continued)

For the Year Ended June 30, 2016

Federal Grantor/ Pass-through Grantor/ Program Title	Federal CFDA Number	Agency or Pass-Through Number	Federal Expenditure	Amount Provided to Subrecipients
NONMAJOR PROGRAMS (Continued)				
U.S. Department of Transportation (Continued)				
Pass-through programs from:				
Illinois Department of Transportation				
Highway Planning and Construction - Council of Mayors	20.205	MPO CMAP Operations UPP 3-C 1575104001	\$ 198,858	\$ 198,858
Unified Work Program for Planning and Programming Transportation Planning Activities	20.205	MPO-CMAP Operations UPP 3-C Plan 1575104001	496,010	-
Unified Work Program for Planning and Programming Transportation Planning Activities	20.205	MPO CMAP Operation UPP 3-C 2015BOBS874	29,792	-
Unified Work Program Consulting Services -	20.205	MPO CMAP Competitive 3-C FY12	472,943	-
Total Pass-through awards			1,197,603	198,858
Total U.S. Department of Transportation			13,130,170	1,321,227
Total nonmajor programs			13,384,856	1,321,227
TOTAL EXPENDITURES OF FEDERAL AWARDS			<u>\$ 17,900,618</u>	<u>\$ 4,094,386</u>

**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

June 30, 2016

Note A - Significant Accounting Policies

The accompanying schedules of expenditures of federal awards have been prepared in accordance with accounting principles generally accepted in the United States of America as promulgated by the Governmental Accounting Standards Board (GASB). It is a summary of the activity of the Agency's federal awards program prepared on the accrual basis of accounting. Accordingly, expenditures are recognized when the fund liability has been incurred and revenues are recognized when the qualifying expenditure has been incurred.

Note B - Nonmonetary Assistance

The Agency neither received nor disbursed federal awards in the form of nonmonetary assistance during the fiscal year ended June 30, 2016.

Note C - Insurance and Loans or Loan Guarantees

During the year ended June 30, 2016, the Agency received no insurance, loans, loan guarantees, or other federal assistance for the purposes of administering federal programs.

Note D - Oversight Agency

The U.S. Department of Transportation has been designated as the Agency's oversight agency for the single audit.

Note E - Indirect Cost Rate

The Agency did not elect to use the 10% de minimus indirect cost rate.

**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

For the Year Ended June 30, 2016

Section I - Summary of Auditor's Results

Financial Statements

Type of auditor's report issued: *unmodified*

Internal control over financial reporting:
 Material weakness(es) identified? ☐ yes ☒ no

Significant deficiency(ies) identified? ☐ yes ☒ none reported

Noncompliance material to financial statements noted? ☐ yes ☒ no

Federal Awards

Internal control over major federal programs:
 Material weakness(es) identified? ☐ yes ☒ no

Significant deficiency(ies) identified ☐ yes ☒ none reported

Type of auditor's report issued on compliance
 for major federal programs: *unmodified opinion on
 Metropolitan Transportation Planning
 unmodified opinion on
 Water Quality Management Planning*

Any audit findings disclosed that are required
 to be reported in accordance with
 2 CFR 200.516(a)? ☐ yes ☒ no

Identification of major federal programs:

<u>CFDA Number(s)</u>	<u>Name of Federal Program or Cluster</u>
20.505	Metropolitan Transportation Planning
66.454	Water Quality Management Planning

Dollar threshold used to distinguish
 between Type A and Type B programs: \$ 750,000

Auditee qualified as low-risk auditee? ☒ yes ☐ no

ATTACHMENT 7
**CHICAGO METROPOLITAN AGENCY FOR PLANNING
CHICAGO, ILLINOIS**

SCHEDULE OF FINDINGS AND QUESTIONED COSTS (Continued)

For the Year Ended June 30, 2016

Section II - Financial Statement Findings

None

Section III - Federal Award Findings and Questioned Costs

None

Section IV - Prior Year Award Findings and Questioned Costs

None