



NORTH CENTRAL  
COUNCIL OF MAYORS

# **Surface Transportation Program Methodology and Active Program Management Policies**

Approved Final Sep 25, 2019

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## North Central Council of Mayors Member Communities

Bellwood  
Berkeley  
Broadview  
Elmwood Park  
Forest Park  
Franklin Park  
Harwood Heights  
Hillside  
Maywood  
Melrose Park  
Norridge  
Northlake  
North Riverside  
Oak Park  
River Forest  
River Grove  
Rosemont  
Schiller Park  
Stone Park  
Westchester

## STP Overview

Federal surface transportation funding operates under multiyear congressional authorizations and is administered through the U.S. DOT's Federal Highway Administration (FHWA). The current federal authorization is the Fixing America's Surface Transportation Act (FAST Act). The FAST Act provides federal funding, guidelines and requirements for federally funded transportation projects. Under the FAST Act, the Surface Transportation Block Grant Program (STBG) provides funding to state departments of transportation.

STBG provides flexible funding that states and localities can use for projects on any federal aid eligible roadways, bridge projects on any public road, transit capital projects, or intracity and intercity bus terminals and facilities. A portion of the Illinois Department of Transportation's (IDOT) STBG funding, known locally as STP funding, is designated for northeast Illinois through the Chicago Metropolitan Planning Organization, which is housed at the Chicago Metropolitan Agency for Planning (CMAP). Programming authority for a portion of the region's STP funding is delegated to the regional Councils of Mayors and City of Chicago by the MPO Policy Committee. Additional STP funds are programmed by CMAP for regional projects from the STP – Shared Fund. The distribution of funding and programming procedures is outlined in an [agreement](#) between the Council of Mayors and the City of Chicago.

Made up of units of local governments located within West Cook County, the North Central Council of Mayors (the Council hereinafter) is one of eleven sub regional Councils of Mayors in the Chicago metropolitan region that have been delegated STP programming authority. Each council and the City of Chicago is responsible for programming an annual allocation of STP funds. Allocations by council are based on system needs, as defined in the agreement between the Council of Mayors and the City of Chicago.

Local agencies that wish to participate in the local STP program must do so through their designated sub-regional council, according to the methodology of that council.

## North Central Council Implementation Policy

### Eligible Routes

The functional classification (FAU) of a road determines its eligibility for federal funding. The routes eligible for STP funding should be routes which promote regional and/or sub-regional travel. Roads classified as arterials (principal or minor) or collectors (major or minor) are eligible to receive funding. Federal-aid eligible routes must serve more than a local land access function. Recognizing that the function of a roadway may change as land development and travel patterns change over time, Council members may propose additions or deletions to the system (along with justification for the addition or deletion). Additions or deletions to the system will be considered by Council members via a written request from the local agency sponsor with jurisdiction over the route. The Council will forward its recommendations for additions and deletions to IDOT for a final determination in consultation with FHWA. The final determination of a route must be approved by IDOT and FHWA for a project application to be submitted for the route during a call for projects. The functional classification of a route must be federally eligible at the time of application to be considered for STP funding.

Further, depending upon IDOT and FHWA approval, the Council will consider projects along active primary purpose bike routes and alternative transportation projects. Such projects may be in forest preserves and connecting several municipalities.

The Council will not fund projects that are under the jurisdiction of IDOT or any private entity.

### Eligible Projects

The improvement of federal-aid eligible routes and facilities will require strict adherence to federal and state standards and policies. For example, a project adding capacity may be required to go through a regional air quality conformity analysis by CMAP before the project can be added to the Transportation Improvement Program (TIP). The below list of eligible projects is subject to change and may be revised based on subsequent interpretation of the current federal transportation, clean air, or other related Acts and the priorities of the Council. In support of addressing federal performance targets, the Council has determined the following categories of projects and project elements are eligible for STP funding through Central Council:

- Resurfacing
- Local Agency Functional Overlay (LAFO)
- Reconstruction
- Rehabilitation
- Signing and Pavement Markings as part of larger project
- Safety Enhancements
- Pedestrian Improvements as part of larger project
- Bikeway Improvements as part of larger project

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- Intersection Improvements
- Traffic Flow Improvements
- Traffic Signals – installation, modification, or modernization
- Storm sewer inlets, additional treatments on a case by case basis

In order to focus on the above priority project types, the Council has deemed the following work types to be ineligible as stand-alone projects for council STP funding, though they may be eligible for the STP – Shared Fund, or other federal programs administered by CMAP, IDOT, and/or FHWA:

- 
- Enhancements such as potters, plants, lighting, or decorative installations
- New Roadway Construction
- Parking Lots, vertical or horizontal
- Storm Sewer retention, sanitary, and water related infrastructure
- Bus facilities
- Wetland mitigation

\*The above list is in not in any particular order or priority

### Phase Eligibility

#### Phase I Engineering

This phase is only available for projects with total construction costs exceeding \$7.5 million dollars, exclusive of construction engineering, storm and fresh water infrastructure, and rail and utility movements, or for projects with 4 or more municipal sponsors. If STP funding is used for this phase, Construction and Construction Engineering will be ineligible. If STP funding is used for this phase prior to October 1, 2021, Construction and Construction Engineering will be ineligible. Funding for this phase may not exceed \$1,000,000 in STP Funding.

#### Phase II Engineering

This phase is only available for projects with total construction costs exceeding \$7.5 million dollars, exclusive of construction engineering, storm and fresh water infrastructure, and rail and utility movements, or for projects with 4 or more municipal sponsors. If STP funding is used for this phase, Construction and Construction Engineering will be ineligible. If STP funding is used for this phase prior to October 1, 2021, Construction and Construction Engineering will be ineligible. Funding for this phase may not exceed \$1,000,000 in STP Funding.

#### Construction and Construction Engineering

Funding for these phases combined may not exceed \$2,800,000 in STP funding for an entire project.

### Assistance for Disadvantaged Communities

As part of the agreement for STP funding, the Council of Mayors Executive Committee and the City of Chicago agreed that aiding disadvantaged communities so that they may have more opportunities to access the federal funds was a desired outcome. While not the only barrier to reinvesting in local infrastructure, supplying the required non-federal match can be challenging and may discourage local officials in disadvantaged communities from seeking funding for needed projects. Federal law allows states to accrue transportation development credits (TDCs), also known as Toll Credits, when capital investments are made on federally approved tolled facilities. The TDCs can be used in place of the 20 percent local/state match and a project can be funded at essentially 100 percent federal funds. The Illinois Tollway has historically generated a great deal of these credits, considerably more than are used each year, and previously the Illinois Department of Transportation (IDOT) policy has allowed them to be used on transit projects but not local roads projects. IDOT has now drafted approved a new policy that includes local use on non-transit project types, referred to as Transportation Development Credits for Highways (TDCH).

Eligible municipal jurisdictions are determined based [upon CMAP's Local Technical Assistance \(LTA\) program community need measures](#), which may be updated from time to time. Only jurisdictions in the highest need (Cohort 4) are considered eligible to utilize TDCHs as local match for STP-L. Eligibility is determined at the time of application for STP funds. Eligibility for TDCHs does not guarantee that the project will be selected for STP funding or that IDOT will ultimately approve the use of TDCHs for that project. The Council will follow both CMAP's and IDOT's policies.

## Program Development

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

## Timeline

1. January to March - The Council will solicit for project applications starting in January of even years for the next five federal fiscal years (FFYs). Final applications will be due in March.
2. April to August - From April through August, evaluations, development of recommended programs, Transportation Committee reviews, and public comment will occur.

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3. August - September - CMAP TIP Amendment(s) to incorporate the recommended program(s) will be prepared in the fall for CMAP Transportation Committee consideration.
4. September – October - The CMAP Transportation Committee will be asked to recommend approval of the program(s) and the TIP amendment(s) to the MPO Policy Committee.
5. October - Final approval of the program(s) will occur when the MPO Policy Committee acts on the TIP Amendment(s) in October.

### Project Proposal Requirements

Any member of the Council may propose a project to be funded through the program if the following requirements are met:

- A. The project is on a federal-aid eligible route and has logical termini, as determined by the Council and concurred by IDOT, in accordance with FHWA requirements;
- B. The project is an STP eligible project type as specified in the current federal transportation program bill, and on the Council eligible project list;
- C. The proposed project can be obligated within the five year program period
- D. The project sponsor(s) can fund the required local match and adopts a resolution/ordinance committing these funds. Multijurisdictional projects must specify which municipality will be responsible for each component or phase of the project. Each participating agency will also need to adopt a resolution/ordinance.
- E. The project sponsor is a member of the Council as identified in this manual. Any other public or government entity wishing to apply must have a Council member as the sponsor. Both entities will need to demonstrate hard financial commitment, not in the form of staff time or Right of Way.
- F. The project sponsor completes the Project Application and submits it for consideration during a Call for Projects.

### Call for Projects

The Council will only consider projects for the Program that are submitted during the Call for Projects (CFP). The Council will solicit projects for a five federal fiscal year program during January of even years (2020, 2022, 2024 etc.). During these future CFP dates, the Council will consider additional out year projects and make adjustments to the current program. Final applications will be due in March and must be submitted by the deadline to be considered for funding. For each CFP, Council staff, in conjunction with CMAP staff and IDOT, will determine necessary funding requirements to ensure funding availability.

### Project Applications

An STP Project Application must be prepared on the approved application form for eligible projects to be considered for STP funding. The application form will be available from Council Staff as well as on the CMAP and Council Websites. Appropriate staff should be assigned to

complete the application, depending on complexity. Applications should be fully completed by the deadline in order to ensure proper evaluation of projects. Missing information will not be accepted after the deadline. Applications can be submitted directly to the PL and may also require input into the CMAP eTIP system.

### Project Evaluation Process

Once the Call for Projects has closed and all applications have been received, the Project Evaluation process will begin. Project evaluations shall be based the Council methodology and criteria.

The first step in the evaluation process will be a one on one meeting between the chief elected official of the sponsor agency and Council staff, along with the Village Manager or Administrator, at the discretion of the chief elected official. The purpose of this meeting will be to explain the process and to ensure that the sponsor is willing to move forward with the project.

Following the initial meeting, Council staff will rank each project using the appropriate selection methodology. While projects will be evaluated using the separate ranking systems as described below, once scored, all projects will be ranked in a single program of projects in order to generate the recommended program. A recommended Active program of projects and Contingency program will be released at the end of the evaluation period.

The Council will review the recommended program and public comment will occur after all projects have been evaluated. Following this period, Council staff along with the assistance of sponsor agencies will prepare the required eTIP Amendments for CMAP Transportation Committee consideration. The CMAP Transportation Committee will be asked to recommend approval of the program(s) and the TIP amendment(s) to the MPO Policy Committee. Final approval of the program(s) will occur when the MPO Policy Committee acts on the TIP Amendment(s) in October. In accordance with conformity analysis requirements, proposed new projects and previously programmed projects with significant changes to scope and/or schedule that include not-exempt work types cannot be included in the TIP until the next semi-annual conformity analysis. These projects will be identified and recommended for inclusion in the Council program, contingent upon the next conformity determination. Based on the semi-annual conformity amendment schedule, the Council will not program new non-exempt projects in the first year of any program.

### Active Program

The result of each CFP will be the development of a fiscally constrained multi-year program of projects to be completed, in whole or in part, with STP funds. The Active Program will be included in the region's TIP and are therefore subject to fiscal constraint. The first year of the active program will be considered the "current year" and will be subject to obligation deadlines described in the Active Program Management section of this document. The next four years will be considered the "out years." Project phases programmed in out years are not subject to

obligation deadlines and can be actively reprogrammed in other out years at any time, subject to each year of the multi-year Active Program maintaining fiscal constraint at all times. Projects that are moved in the out years of a given program may have to be further managed by Council staff in order to ensure the completion of timely projects.

Since the Active Program contains projects selected through a performance-based ranking process, funding is awarded to specific phases of specific projects and cannot be reallocated from one awarded project to another project even if it is in the same community. Additionally, sponsors of project phases that are programmed in out years shall reaffirm their commitment to the scheduled implementation in subsequent calls, but will not be required to reapply, as described in the Program Management section of this document. This reaffirmation for out year projects will require a letter by the chief elected official of the sponsor agency to the Council informing them of the commitment to the project. Projects that fall off the Active Program may receive negative consideration for future applications for the project and the sponsor agency.

### Contingency Program

It is anticipated that during each call for projects there will be more applications than can be programmed within the years of the call cycle. To facilitate the region's goal of obligating 100% of available funding each year, the Council can effectively over-program by developing a Contingency Program of projects during each call cycle. The Contingency Program should include, in rank order, the next highest ranked projects that were unable to be funded in the call for projects due to fiscal constraint. Sponsors of contingency projects must be committed to keeping projects active and moving forward toward obligation of federal funding in the two years between calls for projects. If sponsors of potential Contingency Program projects are not committed to moving forward, those projects should not be included in the Contingency Program. If a contingency project is called forward and unable to obligate without prior notice to the Council, then that project shall be removed from the Contingency Program, and any future application for that project will receive negative consideration. Projects requiring a conformity determination that are not already included in the current conformed TIP, may be included in Contingency Programs, but cannot be reprogrammed into the current year of the Active Program after the TIP change submittal deadline for the spring semi-annual conformity analysis. These projects can be reprogrammed into an out year of the Active Program. Projects, or phases of projects, that did not apply for funding during a call for projects cannot be added to a Contingency Program until the next applicable call for projects.

Inclusion of a project in a Contingency Program is not a guarantee of future federal funding for any phase of a project. The Contingency Program will expire with each subsequent call for projects. Projects included in the Contingency Program from the prior call for projects must reapply for funding consideration during the next call. If the first phase of a project in the contingency program is moved to the active program, there is no guarantee that the subsequent phases will be funded via the Contingency Program or future Active Programs. There shall be no "automatic" reprogramming from the Contingency Program to the Active Program at the time of each call for projects.

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

## Active Program Management

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

## Training

Stakeholders throughout the region, including public and private sector implementers, have indicated that a thorough understanding of the project implementation process is critical for the successful completion of projects. An understanding of the process leads to realistic

expectations and better overall scheduling and project planning. Project sponsors that have projects recommended for inclusion in either the Council's Active Program or the Contingency Program may be required to attend an STP workshop prior to the formal adoption of the program.

### Designated Project Managers

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

1. A *Technical Project Manager* that will be responsible for overseeing the implementation of the project, managing any consultants involved in the project, ensuring that all federal, state, and local requirements are met and, in conjunction with the Financial Project Manager, ensuring that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner. This person shall be staff of the sponsor agency.
2. A *Financial Project Manager* that will be responsible for ensuring that any required local matching funds are included in the sponsor agency budget in the appropriate fiscal year(s) in which federal obligation and/or project expenditures will occur, and, in conjunction with the Technical Project Manager, that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner. This person shall be staff of the sponsor agency.
3. A *Consultant Project Manager* that will oversee the day to day operation of the project and serve as a communication link between the Council, IDOT, CMAP, and the sponsor agency.

The Technical Project Manager and Financial Project Manager may be the same person, however it must be different from the Consultant Project Manager. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities. As a whole, including Council staff, these individuals comprise the Project Team. The Project Team is responsible for moving the project forward, requiring extensive communication. In the event of staff changes, a new designee(s) shall be assigned as soon as possible, and this shall be reported to Council staff.

### Status Updates

Upon inclusion of any phase of a project within an active or contingency program, quarterly status updates detailing initial (time of application) estimated dates, current adjusted estimated dates (based on progress made since the application was submitted), and actual accomplishment dates of all project milestones, regardless of the phase(s) programmed with

STP funds, shall be submitted by one of the project's designated project managers through CMAP's eTIP website. These updates are required to be submitted in December, March, June, and September of every federal fiscal year. Updates submitted any day within the required month will be considered to have met the deadline. Updates submitted in any other month of the year will not be considered an official quarterly update. Failure to submit these updates may result in the project being removed from the Active Program and placed onto the Contingency list. Lack of reporting results in the assumption that the project is no longer active, or no longer being pursued.

Required project status updates described below may only be submitted by one of these managers, and all managers are jointly responsible for the content and timely submittal of updates. Submittals shall be verified by Council staff, in consultation with IDOT. Status updates may be submitted more often than required, at the Council’s request and/or sponsor’s discretion. Status updates must be submitted even if no progress has been made since the prior update. Failure to submit required status updates, as outlined below, may result in significant project delay or the loss of funding for current and subsequent phases of projects.

**Communication is KEY.**

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

**Obligation Deadlines**

Any project phase(s) programmed in the current Federal Fiscal Year (FFY) on or after the first day (October 1) of that FFY is required to fully obligate the programmed federal funds prior to the end of that FFY (September 30). For the purposes of obligation deadlines, a project phase is considered to be “obligated” if federal funds have been authorized as “current” or “Advance Construction (AC)” in FHWA’s FMIS database. The entire phase must be obligated, up to the programmed amount or the final engineer’s estimate, whichever is less, to be considered fully funded. “Staged” construction, or “combined” engineering phases are not considered fully obligated until all stages/phases under a single State Job or Federal Project Number are fully

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obligated. The action(s) necessary to obligate each federally funded phase, and the milestone deadlines that should be met to meet the obligation requirement can be found below.

Federally Funded Phase	Federal Obligation Action	Milestone(s)	Milestone Deadline
Phase I Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase I QBS Completed	
Phase II Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase I Design Approval (DA) Received	Before submitting draft agreements
		2. Phase II QBS Completed	Before submitting draft agreements (may be completed with Phase 1 QBS; may begin before DA received)
		3. Draft agreements submitted to IDOT (6-9 month review)	April 30 <sup>th</sup> (approx.)
Construction (state let)	Execution of Local Agency Agreement*	1. Phase II pre-final plans submitted	Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early June)

\*Approximately 6 weeks prior to letting

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

1. Request a one time, six (6) month extension of the phase obligation deadline.
  - a. For Phase 1 Engineering, Phase 2 Engineering, the extended deadline will be March 30 of the following calendar year.
  - b. For Construction/Construction Engineering, the extended deadline will be the federal authorization date for the April state letting in the following calendar year.

Programmed funds will be eligible to be carried over (subject to carryover limitations described later in this document) to the next FFY if the request is approved. Each project phase may only be granted one extension. If an extended project phase misses the extended obligation deadline, the phase, and all subsequent phases of the project, will immediately be moved to the contingency program, and the funds programmed in the current year will be removed from Council's programming mark. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration. If the end of the six-month

- extension period has been reached, and the phase remains unobligated solely due to agreement review and the agreement was submitted to IDOT before August 1st of the prior year in a good faith attempt to ensure timely obligation of funds within the programmed FFY, an additional three-month extension will be automatically granted for that phase. Proof will be required for this extension. The additional extension will be to June 30 for engineering, and to the federal authorization date for the August state letting for construction/construction engineering phases.
2. Request the current phase and all subsequent phases be immediately removed from the active program and placed in the contingency program. Programmed funds will not be automatically carried over but will be available for immediate active reprogramming in the current FFY as described below. The obligation deadline for the phase will be removed, and the phase will remain eligible for a future extension request. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration.
  3. Proceed at their own risk. If the programmed funds are not obligated as of September 30, the programmed phase and all subsequent phases will be removed from the active program and will not be added to the contingency program. Programmed funds will not be carried over or available for reprogramming and will be permanently removed from Council's programming mark. The sponsor may reapply for funding during the next call for projects.

Requests for extensions will be reviewed by Council staff, in consultation with CMAP, IDOT, and/or FHWA staff as needed, and will be granted based only on the ability of the sponsor to meet the extended obligation deadline. The reason for delay, whether within sponsor control or not, shall not be a factor in decisions to grant extensions. If an extension request is denied by staff, the sponsor may appeal to the Council membership, or may choose another option.

Following review of the March status updates, and any subsequent requests for extensions, sponsors of project phases included in the Contingency Program that have indicated potential for current year obligation of funds will be notified of the possible availability of funding and will be encouraged to take necessary actions to prepare for obligation of funds between June and October. Program changes to move project phases from the Contingency Program to the Active Program will occur no later than June 30. As formal TIP Amendments will be required to move contingency project phases into the current year of the TIP, the current CMAP TIP Amendment schedule should be considered when making re-programming decisions. Request for extensions after April 15th will not be accepted and the project will be reprogrammed to a later fiscal year or the contingency list.

### Active Reprogramming and Adjustments

Council staff will actively reprogram funds in both the Active and Contingency program in order to help achieve the goal of 100% obligation. Project amounts will be adjusted following a letting as well. Such reprogramming will not require a vote of the full membership. Updated programs will be released via the Council website as changes occur.

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In order to achieve this goal of 100% obligation, Council staff will prioritize the following changes for the current FFY. These changes are within the discretion of Council staff.

- a. Cost changes for already obligated phases before,
- b. Cost increases for phases already in the current year before,
- c. Accelerating construction phases programmed in out years of the active program before,
- d. Accelerating engineering phases programmed in out years of the active program before,
- e. Accelerating construction phases included in the contingency program before,
- f. Accelerating engineering phase included in the contingency program.

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

### Right of Way Clearances for Program Management

Right of Way (ROW) Acquisition is solely a local responsibility. An applicant agency must make sure to inform the Council of any potential ROW issues that may affect the project schedule. Because ROW has the ability to delay a project significantly, ROW must be certified by IDOT by June 30<sup>th</sup> of the preceding fiscal year in which the Construction/Construction Engineering phase is programmed. If not certified by June 30<sup>th</sup>, the Construction/Construction Engineering phases will be reprogrammed in a later FFY (subject to fiscal constraint), or placed in the Contingency Program on September 30<sup>th</sup> of the current year.

### Cost Increase Guidelines

A project phase that has already received the maximum federal funding allowed by the Council for the Phase is not eligible for a cost increase. Project phases below the federal funding cap for the Phase as permitted by the Council are eligible for a cost increase of no more than 10% subject to the Council funding cap, and the availability of additional STP funds. Cost increases cannot be guaranteed. For projects phases programmed in the first two years of the Council's Active program, cost increases can only be granted for project phases in the current fiscal year that are ready for obligation. Projects that are in the last three years of the Council's Active Program can seek cost increases only during the Council's next Call for Projects. Artificial inflating of project costs during the application process on projects completing phase 1 engineering will receive negative consideration in the following CFP.

Cost increases in the current federal fiscal year are subject to the availability of funding through active reprogramming and the STP shared fund and cannot be guaranteed. If the Council has the available funding at the time of the request, additional funds will be programmed, up to the maximum funding limitation. If Council funds are not available at the time of the request, an eligible project seeking a cost increase for a project phase in the current fiscal year may make a request from the Shared Fund. To be eligible for a cost increase for:

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- a. Phase I Engineering in the current federal fiscal year, the project sponsor must submit draft Phase I engineering agreements to Council Staff by April 30th of the current year.
- b. Phase II Engineering in the current federal fiscal year, the project sponsor must submit draft Phase II engineering agreements to Council Staff by April 30th of the current year.
- c. Construction or Phase III Engineering in the current federal fiscal year, Pre-Final Plans must be submitted to IDOT in accordance with the published Bureau of Local Roads and Streets Letting Schedule to make the September bid letting.

Cost increases for all phases of engineering will receive lowest priority over Construction phases. If Council funds are available due to active reprogramming, cost increases will be funded in the order they were received until all funds are programmed or the requests are exhausted. If the council has obligated 100% of the council's funds at the time that a cost increase is requested, and the project phase for which additional funds are being sought is ready for immediate obligation, cost increases will be requested from CMAP through the STP Shared Fund. If additional funds are not available from either the Council Program or the STP Shared Fund to accommodate a cost increase, the project sponsor must notify Council how they wish to proceed by June 1st. The options for sponsors are:

- a. Delay the project phase; and actively reprogram it to await additional federal funding (If funding does not become available, the project will be removed); or
- b. Keep the project in the current year and fund the increased project cost with local funds

### Sponsor Commitment

Each call for projects is an additional opportunity for out-year projects to request reprogramming in a different FFY. Sponsors may request to have project phases reprogrammed in a different FFY, based on the implementation status of those projects, without the need to re-apply or be re-ranked if the sponsor reaffirms their commitment to completing the project according to the requested schedule. Sponsors may reaffirm their commitment to completing a project(s) according to the requested schedule(s) by:

- Submitting a resolution specific to the project(s) and schedule(s);
- Submitting a resolution or appropriate record of elected body action within one year of the CFP adopting a Capital Improvements Program (CIP), or similar, containing the project(s); or
- Submitting a letter signed by the Village Manager/Administrator, Clerk, Mayor/President, or similar, that addresses the sponsor's commitment to the project(s) and schedule(s).

For sponsors with multiple projects being reaffirmed, a single resolution or letter may be submitted that addresses each project.

In the event that a project included in the Active program has not started Phase I Engineering (or equivalent) since the prior call for projects, whether that phase is to be federally or locally funded, that project must re-apply in the next call, except if it is a pavement rehabilitation project.

### Carryover Limitations and Redistribution of Unobligated Funding

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

Funds can only be carried over under the following circumstances:

1. The unobligated funds were programmed for a project(s) that was granted an extension.
2. The unobligated funds are the result of an "obligation remainder" that occurs when the actual federal obligation was less than the funding programmed for the project phase.
3. The unobligated funds were unprogrammed at the end of the FFY due to one of the following:
  - a. The cost of ready to obligate project(s) exceeds the unprogrammed balance available, no funds are available from the shared fund to fill the gap, and the selecting body has not accessed the shared fund in the current FFY; or
  - b. No projects are ready to obligate the available funds, but the selecting body can demonstrate a reasonable expectation for using the carried over funds in the following FFY.

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

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

### Accessing Unobligated Funds

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

- Regional program projects shall be accommodated before local program projects
- Construction phases shall be accommodated before right-of-way\*, right-of-way before phase 2 engineering, and phase 2 engineering before phase 1 engineering
- Cost increases shall be accommodated before advancing active or contingency project phases
- Active out year phases shall be accommodated before contingency project phases
- Readiness for obligation will have more weight than the date of the request for funding

\*The Council does not fund ROW, therefore the Shared Fund cannot be used to access unobligated funds for ROW for Council projects.

Shared funds may be requested for increases in STP-eligible costs at the time of obligation, based on the IDOT approved estimated cost at the time, or for cost increases after obligation due to higher than estimated bids, change orders, or engineering supplements. STP funds cannot be requested for increased costs on project elements specifically funded with other sources (such as CMAQ, TAP, Economic Development, ICC, Invest in Cook, etc.). Cost increases from the shared fund are limited to the lesser of 20% of the programmed STP funds or the Council maximum increase amount. For example, if the project was selected by a local council that limits individual projects to \$2.8million in STP funds for Construction, the shared fund cannot be used to provide funds beyond that \$2.8 million limit. Shared funds may also be requested to advance ready-to-obligate phases from out years of any selecting body's active program or from any selecting body's contingency program. If a project sponsor requests and receives shared funds but is unable to obligate those funds by the end of the current FFY, future requests from that sponsor may be denied. Extended phases that missed the extended obligation deadline are never eligible to utilize shared funds.

The paragraph above applies only to projects programmed exclusively through the Council Local Program. A project may apply and receive funding from both the Council Local Program and the STP Shared Fund. Projects within the Council are encouraged to apply directly to the STP Shared fund to receive additional STP funding, so long as they meet the eligibility requirements of the STP Shared Fund.

## Additional Provisions

### Grant Accountability and Transparency Act (GATA)

All sponsor agencies applying for federal funding must have completed Illinois GATA pre-qualification and Fiscal and Administration Risk Assessment (ICQ) for the current year prior to submitting an application, and must maintain qualified status each subsequent year, until all phases of the selected project(s) are complete. Failure to maintain qualified status will result in all programmed funds being withdrawn from all phases of all projects programmed for the

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sponsor, whether programmed in the shared fund or local program. All sponsor agencies with a project(s) included in a recommended program(s) must complete the GATA Programmatic Risk assessment by the first day (October 1) of the federal fiscal year in which the first federally funded phase is programmed and must agree to and comply with any special conditions that are imposed because of the assessment.

### Qualifications Based Selection (QBS)

Local agencies utilizing federal funds for any engineering phase must use QBS procedures for hiring the consultant for each federally funded phase. The QBS process can begin prior to the start of the FFY in which the engineering phase is programmed to facilitate execution of local agency and engineering agreements as soon as possible after the start of the FFY.

### Grandfathering

The Council's current program will not be grandfathered in. Those projects that may not have an obligation by the end of FFY 2020 will have to re-apply. If a project will not obligate by the end of the close of the call for projects, it is encouraged that those projects apply and adjustments may be made if the project is able to be obligated.

## North Central Council Project Selection Methodology

Project Selection Methodology		
Category	Max Points	Possible Scoring
1. Project Readiness	15	See Chart Below
2. Multiple Jurisdiction Participation	10	10, 7.5, 5, 2.5, 0
3. Traffic Volumes (ADT)	10	See Formula
4. Other Fund Sources	5	5,0
5. Safety (Crashes)	10	15, 12, 9, 6, 0, 3
6. Pavement Condition Rating	25	25,20,15,10
7. Planning Factor: Inclusive Growth	5	5,4,3,2
8. Planning Factor: Green Infrastructure	5	5,0
9. Planning Factor: Freight Movement	5	5, 4, 3, 2, 1, 0
10. Planning Factor: Complete Streets	5	5,0
11: Planning Factor: Transit Supportive Density	5	5,0
<b>Total</b>	<b>100</b>	

### 1. Project Readiness (15 Possible Points)

Projects will receive project readiness points based on their status relative to completion of Phase I and Phase II Engineering as well as land acquisition.

Project Readiness	Points
Phase II substantially complete/ready to submit to IDOT	12.5
Phase II engineering contract executed	10
Phase I engineering Report completed	10
Phase I engineering report (PDR) draft submitted to IDOT	7.5
ROW clear or not needed	2.5

### 2. Multiple Jurisdiction Participation (10 possible points)

If additional financial project participants (e.g. adjacent municipality, county, township, IDOT, transit agency, private developer) are identified, the project will receive additional points. Each participant after the initial sponsor is worth 2.5 points up to four participants, for a total of 10 points. Project participants must have hard financial commitments to the project not in the form of staff time. Financial commitment to the project must be at least 2.5% of total phase cost.

**3. Traffic Volumes- ADT (10 possible points)**

These points will be based on a ratio of the existing ADT and on projects with multiple segments, it will be the length weighted average, to the ADT corresponding to the maximum points possible. The point value for a project with an existing ADT of 7,500 or more will be 10. For existing ADT's of less than 7,500, the point value will be determined by the following calculation:

$$\frac{(\text{Existing ADT} \times 10)}{7,500}$$

**4. Other Fund Sources**

A project will be awarded five points if any phase of the project used or has a commitment to use any other fund source, besides local funds. Confirmation of future use of non-local funds, such as a program award letter from IDOT, CMAP, Cook County, etc. must be included with the project application in order to receive points.

**5. Safety (10 possible points)**

Safety is calculated using IDOT's Safety Road Index (SRI) for roadway segments and intersections. If there are multiple segments, then we will use the maximum score. The SRI score is based on the location's Potential for Safety Improvement (PSI) score. IDOT developed SRI scores for local and state routes and categorized them by peer group into critical, high, medium, low, or minimal. The applicant may also submit a narrative regarding safety improvements of the project.

Safety	Points
Critical	10
High	8
Medium	6
Low	4
Minimal	2
New Alignment	5

**6. Pavement Condition Rating (25 possible points)**

The pavement condition testing done by CMAP will be used to rank all projects where data is available. IDOT's Condition Rating Survey (CRS) data will be used where Pavement Condition Index (PCI) data is not available. If neither data source is available, local pavement testing data will be considered. If no testing data is available, Council staff will estimate pavement condition index score. If a project contains multiple segments, then the length-weighted average method will be used. The performance measure for pavements shall be based on four condition ratings of Excellent, Satisfactory, Fair and Poor.

Pavement Condition	Points
Poor (0-45)	25

Fair (46-60)	20
Satisfactory (61-75)	15
Excellent (76-100)	10

**7. Planning Factor: Inclusive Growth (5 Points)**

In order to ensure parity between all communities within the Council, CMAP’s Inclusive Growth premises will be factored in based on minority population according to the following chart. This information should be supported with Census documentation. Minority populations include any population non-Caucasian.

Minority Population	Points
Greater than 50%	5
40-49.99%	4
30-39.99%	3
20-29.99%	2

**8. Planning Factor: Green Infrastructure (5 possible points)**

Implementing green infrastructure as part of transportation investments can help achieve a number of regional priorities, including reducing flooding, improving water quality, and mitigating the urban heat island effect. The maximum score in this category is 5 points. A project will receive 5 points if the community has a green infrastructure plan or if the project has a single green infrastructure component such as bioswales, infiltration trenches, permeable pavers, and vegetated filter strips. For more resources and examples of green infrastructure in transportation projects, see the [US EPA Green Streets Website](#), The Metropolitan Water Reclamation District of Greater Chicago’s [technical guidance manual](#), and the National Association of City Transportation Officials [Urban Street Stormwater Guide](#).

**9. Planning Factor Freight Movement (5 possible points)**

Maintaining the region’s status as North America’s Freight hub is one of the recommendations of ON TO 2050. While some of the shared fund priority project types are specifically aimed at improving freight movement in the region (rail-highway grade crossings, and truck route improvements), other project types can also have substantial freight benefits. For projects with multiple segments, the length-weighted average

method will be used. Projects receive points in this category based on the percentage of truck volume on the road segment:

Freight Movement	Points
10%+	5
8-10%	4
6-8%	3
4-6%	2
2-4%	1
0-2%	0

**10. Planning Factor Complete Streets (5 possible points)**

Complete streets aim to prioritize projects that account for all users of the transportation network. The adoption of a complete streets policy and incorporation of complete streets design elements into all projects is encouraged. A project receives 5 points if the project sponsor has adopted a complete streets policy or if the project contains complete streets elements. For more information about complete streets, see the [CMAP Complete Streets Toolkit](#).

**11. Planning Factor: Transit Supportive Density (5 possible points)**

In order to maintain a robust multi-modal transportation network, it is necessary to support projects in areas which have density required for transit. Up to 4.5 points will be awarded based on the permitted density for residential and non-residential land uses within one-half mile of the transit station. If more than one residential or non-residential classification is zoned within the station area, points will be assigned to the classification with the highest permitted density. Points will be assessed based on both residential *and* non-residential densities. If the two categories yield different point totals, the average of the two point totals will be awarded. Permitted Densities:

Residential (DU/buildable acre)	Non-Residential (Building Height*)	Points
< 6	1 story (12 ft.)	0
> 6 and ≤ 10	2 story (24 ft.)	1.0
> 10 and ≤ 16	3 story (36 ft.)	2.0
> 16 and ≤ 24	4 story (48 ft.)	3.0
> 24	> 4 story (> 48 ft.)	4.5

\*Building height given in feet based on 12 feet per story.