# Statewide Planning & Research Funds Program Guidance

Illinois Department of Transportation

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# Contents

## Questions?

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# Introduction

The Illinois Department of Transportation receives approximately $20 million annually in Federal Highway Administration State Planning and Research Funds to conduct statewide planning and research activities as identified in 23 USC 135 and 49 USC 5304.

Statewide Planning & Research funds are used to support planning and research activities. The funds are used to establish a cooperative, continuous, and comprehensive framework for making transportation investment decisions and to carryout transportation planning and research activities throughout the State. Eligible activities include:

- Planning studies
- Data purchase, collection, and/or analysis
- Program development activities
- Performance management activities
- Coordination/outreach activities

IDOT is conducting a call for projects for SPR funded projects.  All proposed projects should be related to further studying or implementing a goal, strategy, or objective within the State's Long Range Transportation Plan or one of the Department's modal plans.  IDOT will evaluate projects based on their ability to further study or implement the Long Range Transportation Plan or one of the Department's modal plans.

# Eligibility of Funds

SPR funds are **not** for use on preliminary engineering, design, right-of-way, construction or maintenance projects.  Transportation planning is multi-modal in nature and SPR funds may be used for highways, active transportation, rail (passenger and freight) and transit.  However, other non-surface transportation modes such as air and water are not generally eligible.  Planning studies or data collection related to air and water may be partially funded based on the portion of the study related to goods movement or surface transportation.  IDOT, in coordination with FHWA, will determine if project proposals are eligible for SPR funding.

Proposed projects can be used to support internal agency staff, hire a consultant for assistance, purchase data, or equipment.  The procurement of these services, data, or equipment, must follow federal and state procurement rules.

Eligible entities must meet the requirements identified in 23 USC 135 and include a number of government entities, such as IDOT, other state agencies, planning organizations, or other local jurisdictions.  Joint applications are encouraged, such as when multiple sponsors may be interested in a project a joint application may be submitted.  Private entities or non-profits are also eligible to apply if they have a public sponsor such as a municipality, park district, county, etc.

# Requesting SPR funds

IDOT's Bureau of Planning will conduct a call for projects in the spring of every year in which bureaus within IDOT, other state agencies, planning organizations, or other local jurisdictions identify planning projects that meet the eligibility requirements identified in 23 USC 135 can request funds.

## Process for Requesting Funds

Public agencies, including IDOT and other state agencies that are interested in applying for these funds must complete an online application by the deadline, May 16, 2018 AT 11:59:59 p.m. CDT. A copy of the application is available in Appendix A. The application includes general information regarding the project including:

- Project Sponsor
- Type of Agency
- Project Sponsor Contact Information
- Scope of Project
- Total Cost of Project
- Federal Amount Request
- Source and Amount of Match Funds
- Timeframe for accomplishing project
- Associated project numbers
- How the project implements the goals, objectives, strategies, or performance measures identified in:
  - The State's Long Range Transportation Plan (LRTP) or other modal plans.
  - Moves an agency towards completing a performance based program development process.
  - Implementing the Transportation Asset Management Plan
- Previous associated planning efforts
- Partnerships
- Final Product
- Non-IDOT applicants must submit[i]:
  - Grant Accountability and Transparency Act (GATA) application
  - GATA Budget Template
  - Programmatic Risk Assessment

Non-IDOT applicants must comply with the Grant Accountability and Transparency Act (GATA). This includes logging into the Grantee portal and completing:

- Registration
- Pre-Qualification
- Internal Control Questionnaire (ICQ)
- Indirect Cost Information

These items are done per agency per fiscal year to complete the GATA requirements per agency. This call is for State Fiscal Year 2019 (SFY 19) (7/1/18 – 6/30/19). If your agency has already completed these for SFY19 they do not need to be completed again.

## Funding Limitations and Match Requirements

Statewide Planning and Research funds are federal funds. A 20% match is required to use these funds. These funds are a reimbursement program whereas the project sponsor is responsible for incurring 100% of the upfront costs and then is reimbursed up to 80% after invoicing IDOT. Illinois receives approximately $20 million annually; however, more than $20 million is available for the SFY 19. While soft match is a possibility, it requires increased documentation from the project sponsor and additional administrative activities by IDOT. The use of soft match should be avoided. If soft match is requested, IDOT will be seeking additional information on the need to use soft match.

## Project Funding Limitations

There is no project minimum cost. However, with SPR funds being federal funds and a grant from IDOT, the amount of paperwork and time for processing should be considered when applying for a project under $20,000.

There is no maximum project cost limitation.

Projects that spend out over multiple years are eligible. Or, if a project has multiple phases such as identification of a new multi-modal transfer and then studying the economic impact of the new multi-modal transfer center, those types of projects are eligible.

# Prioritization of Projects

The goal of this program is to further implement the ongoing planning and performance based initiatives of the Department. Therefore, IDOT will evaluate projects for:

- How the proposed scope of work supports the Department's goals and objectives identified in its many policy documents including:
    - Long Range Transportation
        - Introduction
        - Economy
        - Livability
        - Mobility
        - Resiliency
        - Stewardship
        - Funding
        - Transportation System Update
        - Appendix C – Fund and Financing
        - Appendix D – Other Funding
        - Implementation Matrix

- o [Freight Plan](#)
- o [Transit Plan](#)
- o [Rail Plan](#)
- o [Bike Plan](#)
- o [All Hazards Vulnerability Assessment](#)
- o Other modal plans
- If the project is implementing asset management
- If the project is moving an agency forward in implementing performance based program development
- If the proposed budget is reasonable given the scope of work and funds are available
- If the project is a continuation of previous planning efforts
- If the project involves multiple jurisdictions
- If the project is scalable to a larger geography such as countywide or statewide
- Community need
- Geographic diversity

For **non-IDOT** Grantees, the Bureau Chief of Planning also evaluates:
- o GATA Portal Registration
- o GATA Portal Pre-Qualification
- o GATA Portal ICQ
- o Programmatic Risk Assessment

## Announcement of Successful Projects

Projects that are to receive funding will be included in the State Fiscal Year 2019 SPR-PL Planning Work Program that is effective July 1, 2018.  This document outlines the planning activities occurring in the state.  Sponsors will be made aware of their selection by early June 2018 pending approval and eligibility determination by the U.S. Department of Transportation (USDOT).

## Implementation of Successful Projects

Successful non-IDOT projects will need to enter into an Intergovernmental Agreement with the Department of Transportation.  Information provided during the application will be sufficient to draft the intergovernmental agreement.  Prior to receiving the intergovernmental agreement, a notice of state award (NOSA) will be provided indicating specific terms and conditions based on the responses received in the internal control questionnaire and programmatic risk assessment.  The NOSA must be accepted, along with the terms and conditions indicated within the NOSA.  The intergovernmental agreement will be drafted by IDOT and sent to the successful applicant for local execution.  Once the agreement is locally executed, it will be sent back to IDOT for execution.  **No work can begin until the agreement is fully executed.**  The entire process should take approximately 6-8 weeks.

# Program Management

## Invoicing

Invoicing must occur within the first three months of the execution of the agreement. If it does not, the project will be considered for removal from the program and will not be able to move forward.

## Accomplishment

The project must be accomplished within the timeframe indicated within the agreement barring any extenuating circumstances. Request for extension of the project must be requested as soon as possible. Requesting an extension can be completed by sending an e-mail to the project's IDOT contact.

## Status Reporting

Quarterly reports of status of the project will be required. The status reports must include progress made over the last quarter and whether the project is still on track to be accomplished by timeframe outlined within the application.

Additionally, reporting may be required based on the specific conditions indicated in the NOSA.

## IDOT Participation in Project

Currently IDOT does not have the staff to participate in project's steering committees or have high levels of coordination for project implementation. However, IDOT will be available to provide any advice, data, and assistance upon request. In return, the project sponsor will also be responsive to requests of status or data made from IDOT to the project sponsor.

# Statewide Planning & Research Funds Application

Please complete this application by May 16, 2018 at 11:59:59 p.m. CDT to be considered for these federal planning funds. Program Guidance is available here:
http://www.idot.illinois.gov/transportation-system/transportation-management/planning/index

* Required

## Email address *

Your email

**Illinois Department of Transportation**

## 1. Grantee/Organization Name *
Please provide the sponsor of the project.

Your answer

## 2. Grantee/Organization Contact Name *

Your answer

## 3. Grantee/Organization Contact Phone *

Your answer

## 4. Grantee/Organization Contact E-mail *

Your answer

## 5. Project Title *

Please provide a short/concise title for the project. This is how it will be commonly referred to.

Your answer

## 6. Project Scope *

Please provide a description of the project. This should include an explanation of the need for the project, the ultimate product of the project (i.e. planning study), and how that ultimate project will be accomplished (i.e. data collection and analysis).

Your answer

## 7. Total Cost of the Project *

Please indicate the total cost of the project. 20% match is required.

Your answer

## 8. Federal Amount of the Project *

Please indicate the federal amount of the project. At minimum this is 80% of the total project cost.

Your answer

## 9. Source of Local Match *

Please add the source of local match. Make sure to indicate if it is already included in the budget or when it will be budgeted.

Your answer

## 10. What is the start date of this project? *

The earliest available start date would be approximately August 15, 2018.

Date

mm/dd/yyyy

## 11. What is the date by which this project is anticipated to be complete? *

Please indicate when this project is anticipated to be completed. Please be generous in your estimate to avoid unnecessary paperwork extending the project.

Date

mm/dd/yyyy

## 12. If the project spans more than one state fiscal year (SFY), please indicate the amount to be spent in each SFY.

State fiscal year is July 1-June 30. This program is for SFY 19. An example response for this item is: Total project cost $150,000. Anticipated SFY 19 expenditures - $100,000; SFY 20 expenditures - $50,000.

Your answer

## 13. Explain how this project assists in meeting the goals of the IDOT Long Range Transportation Plan or one of the Department's modal plans.

Make sure to include if it meets objectives/strategies/performance measures/implementation identified in the LRTP or modal plan. All plans are available here: ENTER URL

Your answer

## 14. Explain how this project assists in implementing a performance based program development process.

This could include collecting, purchasing, or analyzing data.

Your answer

## 15. Explain how this project helps implement asset management practices.

Explain how this project develops analytical tools or data collection that help prioritize future improvements to existing pavements and bridges, use asset condition data to predict the impact of different improvement strategies on future network conditions, or determine activities that will slow the rate of pavement and bridge deterioration so assets last as long as possible.

Your answer

## Supplemental information

Please complete and e-mail the following documents to DOT.OPP.GrantApplications@illinois.gov. Make sure to include your project title in the e-mail and file name.
GATA Application: http://www.idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/FY19-Grant%20Application.docx
GATA Budget Template: http://www.idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/FY19-Uniform%20Budget%20Template.pdf
Programmatic Risk Assessment: http://www.idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/ProgrammaticRiskAssessment1439.docx

A copy of your responses will be emailed to the address you provided.

I'm not a robot

reCAPTCHA
Privacy - Terms

SUBMIT

Never submit passwords through Google Forms.

# Appendix B – Application Check List

| | | Application Questions | | |
|---|---|---|---|---|
| Question # | Question | Explanation | Is this done? | Required |
| n/a | e-mail address | This e-mail allows the application to be sent back to the person completing the application. | | Yes |
| 1. | Grantee/Organization Name | This is the agency that is sponsoring the project, will provide or secure local match, if non-IDOT – will enter into an agreement with IDOT. | | Yes |
| 2. | Grantee/Organization Contact Name | Enter the contact name of the main contact for the project. | | Yes |
| 3. | Grantee/Organization Contact Phone | Enter the contact phone number of the main contact for the project. | | Yes |
| 4. | Grantee/Organization Contact E-mail | Enter the contact e-mail of the main contact for the project. | | Yes |
| 5. | Project Title | Enter the title of the project. Keep it concise. This will be how the project is referred to. | | Yes |
| 6. | Project Scope | Provide a description of the project. This will work as the scope of services to be included in the agreement if the project is selected for funding. This should include an explanation of the need for the project, the ultimate product of the project (i.e. planning study), and how that ultimate project will be accomplished (i.e. data collection and analysis). | | Yes |
| 7. | Total Cost of the Project | This is the total cost to complete the project. Enter in cost format. No cents are needed. ($***,***) | | Yes |
| 8. | Federal Amount of the Project | This is the amount request for the grant. The maximum that can be requested is 80% of the Total Cost of the Project. | | Yes |
| 9. | Source of Local Match | At minimum, 20% local match is required for the project. In this question, indicate the source of the 20% local match. | | Yes |

| 10. | What is the start date of this project? | Indicate the anticipated or desired start date of the project. If this project is selected for funding, 8/15/18 is the earliest anticipated date a project can begin. | | Yes |
|---|---|---|---|---|
| 11. | What is the date by which this project is anticipated to be complete? | Indicate the anticipated or desired end date for the project. Consider how long the project is anticipated to be accomplished as well as the anticipated start date. The agreement with IDOT (for non-IDOT sponsors) will indicate this date as the end of the date for the agreement. Any requests for reimbursement for work completed after this date will not be approved. | | Yes |
| 12. | If the project spans more than one state fiscal year (SFY), please indicate the amount to be spent in each SFY. | State fiscal year is July 1-June 30. This program is for SFY 19. An example response for this item is: Total project cost $150,000. Anticipated SFY 19 expenditures - $100,000; SFY 20 expenditures - $50,000. | | No – only complete if project spans more than one SFY. |
| 13. | Explain how this project assists in meeting the goals of the IDOT Long Range Transportation Plan or one of the Department's modal plans. | Indicate here how the proposed project moves forward the goals and objectives of the Long Range Transportation Plan or one of the Department's modal plans. All the plans produced by the department include goals and objectives. They should be reviewed and indicated here how this project will move those goals or objectives forward. | | No – however, either questions 13, 14, or 15 must be answered. |
| 14. | Explain how this project assists in implementing a performance based program development process. | Indicate here how the project moves forward implementing a performance based program development process. This could include collecting, storing, or analyzing data, creating tools or interfaces for viewing data, or conducting outreach on performance based program development. | | No – however, either questions 13, 14, or 15 must be answered. |
| 15. | Explain how this project helps implement asset management practices. | Explain how this project develops analytical tools or data collection that help prioritize future improvements to existing pavements and bridges, use asset condition data to predict the impact of different improvement strategies on future network conditions, or determine activities that will slow the rate of pavement and bridge | | No – however, either questions 13, 14, or 15 must be answered. |

| | | | | |
|---|---|---|---|---|
| | | deterioration so assets last as long as possible. | | |

| | | **Supplemental Information** | | |
|---|---|---|---|---|
| | GATA Application | Complete the questions in the application.  Questions 3-12 have already been completed.  Send to DOT.OPP.GrantApplications@illinois.gov by the deadline. | | If a non-IDOT sponsor, yes. |
| | Programmatic Risk Assessment | Complete the questions and send to DOT.OPP.GrantApplications@illinois.gov by the deadline.  This questionnaire is best completed by fiscal and administrative staff.  Do your best in completing it. | | If a non-IDOT sponsor, yes. |
| | GATA Budget Template | Instructions for completing the GATA budget template are available within the document.  Section A on page 1 would be the amount of federal funds requested (80% [or less] of total cost).  Section B on page 3 is the local match (20% [or more] of total cost).  Make sure to select the appropriate check box on page 2 for indirect cost rate information.  If an indirect cost rate has not been negotiated with a federal cognizant agency, the agency is not using de minimus, or no indirect costs are being charged, the applicant must negotiate an indirect cost with the State of Illinois through the CARS system.  Make sure to have the appropriate people sign on page 4 before submitting the budget document.  These are federal funds, therefore page 5 of the budget must be completed. Complete the budget and sent to DOT.OPP.GrantApplications@illinois.gov by the deadline. | | If a non-IDOT sponsor, yes. |