

**ILLINOIS TRANSPORTATION
ENHANCEMENT PROGRAM**

**2013 GUIDELINES MANUAL
CYCLE 11**

Funding Provided by
Moving Ahead for Progress in the 21st Century (MAP-21)
The Transportation Alternatives Program

PREPARED BY



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ILLINOIS TRANSPORTATION ENHANCEMENT PROGRAM

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SECTION A

PROGRAM BACKGROUND

Purpose of Guidelines

These guidelines are intended to assist project sponsors in understanding the eligibility of their projects and the responsibilities of all parties involved. The guidelines explain how the projects are nominated, approved and implemented. A list of abbreviations and acronyms appear in Appendix 1.

Key Points about the Program

These key points need to be understood and addressed before a sponsor applies for funding. The key points of the Illinois Transportation Enhancement Program (ITEP) include:

- ✓ **Projects must enhance the transportation system by serving a transportation need or providing a transportation use or benefit.**
- ✓ **Projects must have an eligible project sponsor such as a local government or state agency sponsor.**
- ✓ **This is a reimbursable program, which requires an interagency/joint funding agreement that details the project scope of work and cost participation. It is not a grant program.**
- ✓ **The ITEP program should be considered as a means to supplement funding for a project. In some cases projects will only be partially funded. Local project sponsors may have to seek alternative funding sources or be able to provide additional local funds to complete a project.**
- ✓ **Project sponsors must provide the matching funds, follow the appropriate Federal and state guidelines, manage the project and maintain the project after completion.**
- ✓ **Federally funded projects must follow all Federal right-of-way and easement requirements regardless of whether enhancement funding is involved in the acquisition.**
- ✓ **Projects must be implemented in accordance with the Sunset Clause (Section I).**
- ✓ **Project funds must be for public benefit and public use and cannot be used to solely benefit private or commercial businesses or individuals.**

About the Program

In July of 2012, Congress passed the Moving Ahead for Progress in the 21st Century Act (MAP-21). MAP-21 establishes a new funding category called the "Transportation Alternatives Program" (TAP). The Transportation Alternatives Program was authorized under Section 1122 of MAP-21 (23 U.S.C. 213(b), 101(a)(29)). This single funding source serves to enhance the transportation system and combines funding for Transportation Enhancements, Recreational Trails and Safe Routes to School, all of which were previously funded separately under SAFETEA-LU. These guidelines will only address the enhancement funding available under TAP.

The enhancement program allows the scope of transportation projects to expand beyond the traditional accommodations for cars, trucks and transit. Each state has flexibility to create a program that best suits its needs, within the limits of the law.

The goal of ITEP is to allocate resources to well-planned projects that provide and support alternate modes of transportation, enhance the transportation system through preservation of visual and cultural resources and improve the quality of life for members of the communities. ITEP requires communities to coordinate efforts to develop and build safe, valuable and functional projects in a timely manner.

Under ITEP, the Illinois Department of Transportation (IDOT) works jointly with other state agencies, local governments, interest groups and citizens in enhancing the transportation system and building more livable communities. The enhancement program allows the opportunity for the public to become directly involved in transportation projects. Public participation is encouraged throughout the entire program planning, development and implementation process. The public may provide comments on the program guidelines, as well as individual projects.

Funding

Section 1122 of MAP-21 provides for the reservation of funds apportioned to a State under section 104(b) of title 23 to carry out TAP. The national total reserved for TAP is equal to 2 percent of the total amount authorized from the Highway Account of the Highway Trust Fund for Federal-Aid highways each fiscal year. (23 U.S.C. 213(a))

Each State's TAP funding is determined by dividing the national total among the States based on each State's proportionate share of FY 2009 Transportation Enhancements funding. Within each State, the amount for TAP is set aside proportionately from the State's National Highway Performance Program (NHPP), Surface Transportation Program (STP), Highway Safety Improvement Program (HSIP), Congestion Mitigation and Air Quality Improvement Program (CMAQ), and Metropolitan Planning apportionments. (23 U.S.C. 213(a))

Program funds provided under MAP-21 for the Transportation Alternatives Program (TAP) will lapse four years from the date of the Federal apportionment. Unless MAP-21/TAP funding is extended or potential other funding sources are identified, projects selected under the 2013 application cycle must have all TAP/Enhancement funds authorized/obligated by the Federal Highway Administration (FHWA) by September 30, 2016.

As with any Federal transportation program, Federal budgetary constraints will control the total amount of Federal funds that are available annually. Additionally, state budget constraints could impact the level of the program in any year.

Federal funds will provide reimbursement up to 50 percent for right-of-way and easement acquisition costs, and up to 80 percent for preliminary engineering, utility relocations, construction engineering and construction costs. Depending on the circumstances, street lighting can qualify for either 80% funding or 50% funding. See Section C - Categories and Appendix 7 for more information on street lighting. The required 20 percent or 50 percent local match is the responsibility of the project sponsor. There are a variety of other funding sources available to communities (see Matching Funds under Section D). Other Federal transportation funds cannot be used as local match.

The ITEP program should not be thought of as a sole funding source to complete your project from beginning to end. Rather, ITEP should be considered an assistance program to help communities achieve their vision. Some projects may only receive partial funding. In this case, project sponsors need to consider phasing of larger more expensive projects and building-flexibility into their designs. Sponsors should seek alternative funding sources or be able to make up funding shortfalls with local funds. (see Matching Funds under Section D).

Eligible Project Sponsors:

Under 23 U.S.C. 213(c)(4)(B), the eligible entities to receive TAP funds are:

- local governments;
- regional transportation authorities;
- transit agencies;
- natural resource or public land agencies;
- school districts, local education agencies, or schools;
- tribal governments; and
- any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of subsection (c) of section 213 of title 23.

Although State agencies and MPOs with responsibility for oversight of transportation or recreational trails cannot sponsor a project, they can partner with an eligible project sponsor.

Nonprofits are not eligible to be a project sponsor but can partner with an eligible project sponsor.

SECTION B

METROPOLITAN PLANNING ORGANIZATIONS WITH TRANSPORTATION MANAGEMENT AREAS

MAP-21 requires states to allocate TAP funds to urbanized areas with a population greater than 200,000. These areas are referred to as Transportation Management Areas (TMAs). The TMAs are represented by a Metropolitan Planning Organization (MPO). A list of those urbanized areas and their respective MPOs are provided below.

In addition to the ITEP program offered through IDOT, the Metropolitan Planning Organizations that include a TMA may also be accepting applications for TAP funds. Those MPOs with a TMA may choose to have their own application schedule and selection process separate from IDOT. A complete list of Illinois MPOs and their point of contact is included in Appendix 5.

- If you have submitted an application for TAP funding through your local MPO, you may also submit an application for the same or a different project through IDOT's ITEP program.
- If you are approved for TAP funds through another source, those funds cannot be used to offset any required local match.
- You are required to report any TAP funds you have received from any source as soon as possible.
- Your funding amount may have to be adjusted if you received TAP funds from two different sources.

MPOs with Urbanized Areas Having a Population Greater Than 200,000 (TMAs)

MPO (*Urbanized area*)

Bi-State Regional Commission (*Davenport/Quad Cities*)

Chicago Metropolitan Agency for Planning (*Chicago & Round Lake Beach-McHenry-Grayslake*)

East-West Gateway Council of Governments (*East St. Louis*)

Rockford Metro Agency for Planning (*Rockford*)

Peoria/Pekin Urban Area Transportation Study (*Peoria*)

SECTION C

PROGRAM CATEGORIES

In order to be eligible for enhancement funding, a project must demonstrate a relationship to surface transportation. The enhancement projects must enhance the transportation system either by serving a transportation need or providing a transportation use or benefit.

For example, a bike trail that connects to existing facilities is serving a need for the people traveling to and from the facilities or communities. The preservation of a historic transportation facility serves to improve and enhance the community in which it resides. Scenic beautification, as a part of a larger Federal-Aid highway project, also provides a transportation benefit by significantly enhancing the transportation experience.

Activities are not eligible if they are routine maintenance projects such as re-stripping a trail, cleaning up debris or repairing broken curb. Items such as sidewalk repair and curb cuts for the disabled (as a stand-alone project) are considered routine activities and therefore ineligible for the enhancement program. Curb cuts as part of a new bicycle or pedestrian facility or a landscape/streetscape project would be eligible.

Please be advised if your project involves sidewalk work you most likely will be required to update the facility to meet current ADA Accessibility Standards. That would include, but not be limited to, curb cuts and handicapped ramps at intersections and corrective measures to fix cross slopes that exceed the ADA standards. In this example, curb cuts for the disabled would be eligible since they are required as a part of the overall project.

Using the Federal Transportation Alternatives Program (TAP) guidelines as defined under MAP-21, IDOT is accepting project applications for ITEP funding in the following categories/sub-categories:

- 1. Provision of on-road and off-road facilities for pedestrians, bicycles and other non-motorized forms of transportation.
- 2. Landscaping and other scenic beautification as a part of the construction of a Federal-Aid highway project under (23 USC § 319 (a)) or in conjunction with a TAP funded project (see Appendix 9 for more information).

Note: Landscape/streetscape projects are no longer eligible as a stand-alone project.

- 3. Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users.
- 4. Community improvement activities including:
 - A) Historic preservation and rehabilitation of historic transportation facilities.

- B) Vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species and provide erosion control.
 - C) Archaeological activities relating to impacts from implementation of a transportation project eligible under Title 23 USC (See Appendix 9 for more information).
- 5. Any environmental mitigation activities, relating to pollution prevention and pollution abatement activities and mitigation to:
 - A) Address storm water management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff, including activities described in sections 133(b)(11), 328(a) and 329 of Title 23 (See Appendix 9 for more information); or
 - B) Reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats.
 - 6. Construction of turnouts, overlooks and viewing areas.
 - 7. Planning, design or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other Divided Highways. ***This is a new category under MAP-21 and little guidance has been provided regarding restrictions for this category. Until additional Federal guidance is available, IDOT will not use this category in the Illinois Transportation Enhancement Program.***

The following categories that were previously eligible under the ITEP program have been eliminated under MAP-21:

- ✓ Scenic or historic highway programs (including the provision of tourist and welcome center facilities)
- ✓ Provision of safety and educational activities for pedestrians and bicyclists
- ✓ Acquisition of scenic easements and scenic or historic sites
- ✓ Establishment of transportation museums
- ✓ Landscape and scenic beautification (includes streetscape projects): Although this is still an eligible category, it must be done in conjunction with a Federal-Aid funded highway improvement project as defined under 23 U.S.C. 319 (see Appendix 9 for more information). As a stand-alone project, these types of improvements are not eligible.

Category Specific Information

Eligible and Ineligible Items

The following defines the ITEP eligible project categories and eligible/ineligible items within each category:

1. Provision of on-road and off-road facilities for pedestrians, bicycles and other non-motorized forms of transportation.

These types of projects create alternative transportation options to complement the existing transportation system. By providing access to workplaces, businesses, schools, universities and shopping centers, communities have an alternative mode of transportation. Projects that improve existing facilities by making them more accommodating and/or accessible for pedestrian and bicycle use are eligible for funding. Projects can be at new locations or can improve existing facilities by providing connections to other regional facilities.

ITEP funds cannot be used as a match to or in combination with Safe Routes to School Program funds. However, projects can be funded that would compliment or extend a project funded under the Safe Routes to School Program.

Projects under this category must:

- ✓ provide a mode of transportation from one destination to another or make a transportation facility more accessible or accommodating for pedestrians or bicyclists (projects cannot be solely for recreational uses)
- ✓ be included in a local, regional or statewide plan (bikeway, trail or greenways) and consistent with the Metropolitan Planning Organization (MPO) plan
- ✓ be constructed in reasonable, useable segments and provide logical termini
- ✓ include signing in bikeway projects for directions, permitted users and rules of the bikeways

Project elements eligible for funding as part of pedestrian/bicycle projects or as stand-alone projects are:

- ✓ bikeways (lane, path, route and trail)
- ✓ pedestrian/bicycle structures crossing rivers, railroads and roadways
- ✓ pedestrian crossings (not as a stand-alone project)
- ✓ bikeway connections through local communities
- ✓ bicycle lockers/racks
- ✓ crossing warning lights (per MUTCD)
- ✓ pedestrian modifications to existing signals (ped heads, push buttons, etc)
- ✓ utility relocation (see Section D – Funding Eligibility)

Eligible amenities in conjunction with pedestrian/bicycle projects include:

- ✓ bicycle racks on bikeways
- ✓ pedestrian lighting*
- ✓ directional and regulatory signs
- ✓ benches** (must be permanent in nature [built-in] or bolted/anchored down)
- ✓ fencing (must be addressing a significant safety issue)
- ✓ parking lots***
- ✓ restrooms***
- ✓ water fountains***

*Lighting along bike paths will not be eligible unless justification can be provided that would address a significant safety risk and local sponsor can show that the path will be utilized at night time for transportation purposes. Lighting of a box culvert or underpass would be eligible if conditions warrant the need.

Justification for the bike path lighting could come in several ways. For example: if the path connects to other trails that are currently being used at nighttime for commute purposes, a survey of existing users would suffice; if the path connects to businesses such as an industrial/manufacturing area that runs multiple shifts; if the path connects up to a transit station that operates during nighttime; if other significant safety considerations can be provided. It may be that only a portion of the trail would be eligible for ITEP funds based on the information provided.

** Benches that meet the criteria of “permanent in nature” (being built-in or bolted down or secured in a similar fashion) are eligible but will be limited. On the average, benches will be limited to a maximum of two benches per mile of bike trail or two benches per block per side on a landscape/scenic beautification project. Project sponsor may elect to provide additional benches but ITEP will only pay for a limited amount.

***Parking lots, restrooms and water fountains are eligible as part of a bicycle/pedestrian project. These amenities will only be eligible if they are to be constructed with your bicycle/pedestrian project or if they serve as a trailhead for an existing bicycle/pedestrian facility.

Ineligible project elements in this category include:

- ✓ **Trails for recreational use only.** For example, a loop trail within a park is ineligible because it does not provide transportation from one destination to another.
- ✓ Equestrian trails
- ✓ Snowmobile trails
- ✓ Trash receptacles
- ✓ Campgrounds

- ✓ Picnic tables
- ✓ Picnic shelters
- ✓ Installation of new traffic signals

It is the responsibility of the project sponsor or the entity that owns the property to determine what modes of transportation are permitted to use a bikeway. Enhancement projects must be available for public use and access and meet current ADA regulations. The enhancement program funding is intended for the design and construction of bikeways for pedestrian and bicycle users. Bikeway designs created in accordance with the appropriate design policies for pedestrians and bicyclists are eligible for funding through the enhancement program. Any extra costs associated with the design and construction of the bikeways for users other than pedestrians and bicyclists are the project sponsor's responsibility.

Projects must follow all Federal and state requirements in the design and construction process. Local and state sponsored bicycle projects must follow Chapter 17 of IDOT's Bureau of Design and Environment (BDE) Manual, Policies and Procedures for Bicycle Facilities. For a copy of these policies, please contact the IDOT District Enhancement Coordinator (Appendix 2). These policies meet the guidelines established in the American Association of State Highway and Transportation Officials (AASHTO) Guide for the Development of Bicycle Facilities, 2012. Project sponsors should review the policies and procedures prior to submitting project applications to ensure adequate cost estimates.

Special Note: A Federal requirement in funding bicycle facilities is to provide viable transportation alternatives to motor vehicles and to provide upkeep and maintenance to that facility. Certain trail surfaces meet this requirement better than others. Trail surfaces are typically asphalt, crushed limestone or concrete. Limestone trails generally require significantly more maintenance than paved surfaced trails to keep them in a condition suitable for the narrow-tired bicycles commonly used by commuters. If a multi-use path is planned, the department encourages use of a more durable material that will last longer, require less maintenance and provide a surface more suitable to all users. If a crushed limestone trail is the preferred surface for your project, be able to show how funds will be provided for continued maintenance of the trail to meet the needs of the intended users.

For more information or questions on pedestrian and bicycle facilities for state-sponsored projects, please contact the IDOT Bicycle and Pedestrian Coordinator (Appendix 2) and for local-sponsored projects, please contact the District Local Roads and Streets Enhancement Coordinator (Appendix 3).

2. Landscaping and other scenic beautification as a part of the construction of a Federal-Aid highway project under (23 USC § 319 (a)) or in conjunction with a TAP funded project.

Landscape/streetscape and scenic beautification projects are only eligible if they are being done in conjunction with a Federal-Aid funded highway/roadway improvement or other TAP funded improvement. Examples include but are not limited to a bike trail/bike path or any of the Category 6 eligible improvements. (See below for listing of roadway functional classifications eligible for Federal-Aid funding).

Note: Landscape/streetscape projects are no longer eligible as a stand-alone project.

This category allows landscaping that enhances the aesthetic or ecological value of an area. As a part of the construction of Federal-Aid highways, the costs of landscape and roadside development, including acquisition and development of publicly-owned and controlled rest and recreation areas and sanitary and other facilities reasonably necessary to accommodate the traveling public are allowed. In addition, the improvement of strips of land along a transportation corridor necessary for the restoration, preservation, and enhancement of scenic beauty adjacent to a highway facility, or complement projects that qualify for funding in other TAP categories are eligible. Projects commonly referred to as streetscapes would be submitted under this category.

In order for a landscape and scenic beautification project planned in conjunction with a Federal-Aid highway project to be eligible, the Federal-Aid highway project must be included in IDOT's current Annual or Multi-Year program. If for any reason the proposed Federal-Aid project falls out of the Annual or Multi-Year Program, the TAP funds for your landscape and scenic beautification project may have to be withdrawn.

Projects submitted in conjunction with a Federal-Aid highway improvement:

Projects submitted under this category that are being done in conjunction with a Federal-Aid highway improvement will be required to provide specific information from IDOT's Annual or Multi-Year Highway Improvement Program. This information is explained in the on-line application documentation and will include options to:

- Choose whether your project has other Federal or TAP funds secured
- Choose whether your project is in the Annual or Multi-Year program
- Enter the Annual or Multi-Year program PPS #
- Enter the state job number (if available)

For additional assistance, contact the IDOT District Programming Engineer for your area. (See Appendix 3)

Landscape/streetscape and scenic beautification projects proposed in conjunction with a Federal-Aid highway improvement ideally should be done at same time as the Federal-Aid improvement but must be started within a one (1) year period after the

Federal-Aid improvement has been completed. **Due to the TAP funds lapsing, the Federal funds must be authorized/obligated before the September 30, 2016 deadline.**

A landscape and scenic beautification project being planned in conjunction with a TAP funded project (not in combination with a Federal-Aid highway project) typically is not included in IDOT's Annual or Multi-Year Program and is limited by the Sunset Clause deadline.

Projects submitted in conjunction with a TAP funded improvement:

Projects submitted under this category that are being done in conjunction with a TAP funded project under a different category will need to provide specific information regarding what TAP funded project the proposed landscape/streetscape and scenic beautification project is tied to. This information is explained in the on-line application documentation.

If project is in conjunction with a previously funded ITEP project, the sponsor will need to provide:

- ITEP #
- Project title
- Amount of Federal funding provided previously
- Any state job numbers tied to the previous ITEP project
- Project status

If the project is tied to an application being submitted as a separate application under the current application cycle, project sponsor will need to provide ITEP # and Project Title of the project the landscape/streetscape project is tied to.

Landscape/streetscape and scenic beautification projects proposed in conjunction with a TAP funded improvement ideally should be done at same time as the TAP improvement but must be started within a one (1) year period after the TAP improvement has been completed. **Due to the TAP funds lapsing, the Federal funds must be authorized/obligated before the September 30, 2016 deadline.**

Landscaping projects must be located on public property along Federal-Aid highways, bike trails, transit stations or streets in downtown areas. **Landscaping projects in parks or local neighborhoods/subdivisions are not eligible for funding.** Landscaping projects must follow IDOT landscaping policies and procedures for projects on state right-of-way and off of state right-of-way unless a local ordinance policy and procedures exists for off-state right-of-way projects. For more information on the appropriate policies and manuals to follow, please contact the District Enhancement Coordinator in your area (Appendix 2).

Examples of landscaping projects include:

- ✓ planting trees, shrubs and flowers at a transit station
- ✓ landscaping along a highway entering a community
- ✓ streetscape project in a community's downtown area
- ✓ median landscaping
- ✓ providing landscaped areas along a bike trail or at a trail head facility

Specific eligible items in a landscape/streetscape project include but are not limited to:

- ✓ planters/planter boxes (permanent in nature),
- ✓ perennials, wildflowers, trees, shrubs
- ✓ pedestrian lighting
- ✓ sidewalks, crosswalks and ADA related accessibility improvements
- ✓ bicycle racks
- ✓ benches*
- ✓ irrigation systems germane to the project
- ✓ curb bump outs
- ✓ ADA curb cuts and crosswalks
- ✓ street lighting (only eligible for 50% Federal funding unless your project falls in a designated historic district and period lighting is being provided. For those historic designated areas, street lighting germane to the project will be covered at 80% Federal rate. Proof of historic designation must be provided with your application.)
- ✓ pedestrian lighting (eligible for 80% Federal funding)
- ✓ utility relocation (see Section D – Funding Eligibility)

*Benches that meet the criteria of “permanent in nature” (being built-in or bolted down or secured in a similar fashion) are eligible but will be limited. On the average, benches will be limited to a maximum of two benches per block per side on a landscape and scenic beautification project. Project sponsor may elect to provide additional benches but ITEP will only pay for a limited amount.

Note: Be sure to coordinate with your Local IDOT District for details and clarification as to when IDOT must approve the proposed lighting for your project. At a minimum, all lighting on U.S. or state routes will have to be approved by the Department.

Ineligible items in a landscape/streetscape project include but are not limited to:

- ✓ landscaping and other scenic beautification projects (streetscapes) are no longer eligible as stand-alone projects
- ✓ routine or maintenance activities such as cutting grass, clearing and removal of vegetation, or replanting and reseeding
- ✓ building facades and awnings
- ✓ supplemental watering beyond what is initially required when planting is considered as maintenance and is ineligible
- ✓ construction of new or reconstruction of an existing median including curb/curb and gutter or concrete median surface
- ✓ banners or hanging baskets which are sometimes included with street or pedestrian lighting fixtures
- ✓ flags and flag poles
- ✓ annual plants/flowers

Curb, curb and gutter, storm sewers and other related items would typically be considered as roadway work and is therefore ineligible for ITEP funds. However, if these items are required as a provision of constructing (or reconstructing) a sidewalk for ADA compliance, then they may be eligible, but only to the extent that they are germane to the project. If a roadway is being widened, the curb and gutter work would be ineligible, as it is required for the roadway widening and not the sidewalk construction. This typically has to be looked at on a project-by-project basis.

Roadway Functional Classifications eligible for Federal-Aid funds:

Urban Areas

- Interstates
- Freeways or Expressways
- Major Collectors
- Minor Arterials
- Other Principal Arterials

Rural Areas

- Includes all the above
- Minor Collectors

Information on Functional Classifications can be found on IDOT's website at, www.gettingaroundillinois.com . Click on "Map." When the map loads click on "Map Type," then click "Roadway Functional Class." For Urban areas scroll down in the legend and click the Urban Areas box to turn on the Urban Areas layer. Use the Zoom to locate the area of your project.

3. Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users

This category provides for the acquisition of abandoned railway corridors for the development of pedestrian or bicycle trails. Abandoned railway corridors may be acquired that are in danger of being purchased by developers or other users. Intent must be shown that a pedestrian and bicycle trail will be built within ten years of the acquisition of the corridor. A greater emphasis will be placed on projects that have capital improvements planned within the near future.

Projects in this category must be included in a local, regional or statewide plan (bikeway, trail or greenways plan). Corridors will not be purchased unless an established plan is in place.

Projects converting abandoned railway corridors into trails must provide a mode of transportation for people to use to travel to places such as workplaces, businesses, schools, universities, shopping centers or other communities. Projects cannot be solely for recreational uses. Projects can be at new locations or can improve existing facilities by providing connections for users to other main facilities.

Projects should follow all the eligibility requirements, policies and procedures discussed in the first program category (Provision of on-road and off-road facilities for pedestrians, bicycles and other non-motorized forms of transportation).

Funds may be used for transaction costs including appraisals, surveys, legal costs and the actual purchase costs for acquiring the corridors. Projects acquiring land must adhere to the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Act of 1970 as amended. This can be accomplished by following the IDOT's land acquisition policies and procedures. Manuals are available on IDOT's website (www.dot.il.gov) under "Doing Business" or contact the Manual Sales office (see Appendix 3).

In order to allow Federal funding participation, compliance with these policies is required. For more information on the land acquisition requirements, please contact the District Land Acquisition Engineer through the District Enhancement Coordinator (Appendix 2). Project sponsors should review the policies and procedures prior to submitting project applications.

4. Community Improvement Activities

4(A) Historic Preservation and Rehabilitation of Historic Transportation Facilities

Historic projects should be related to active or inactive transportation systems that enhance the transportation experience. These properties must have been used or are still being used for surface transportation activities. Properties must be publicly owned and operated. The exterior and interior structural components of the building may be eligible for funding. Interior amenities are typically the sponsor's responsibility but may be eligible depending on the end use. .

Historic projects must follow the Secretary of the Interior's Standards for Historic Preservation Projects. For a copy, please contact IHPA Division of Preservation Services (Appendix 3).

Historic projects must be designated as at least one of the following:

- ✓ properties listed on the National Register of Historic Places
- ✓ properties contributing to a National Register Historic District
- ✓ properties designated as historic by a Certified Local Government that is approved by the Illinois Historic Preservation Agency and the Department of the Interior
- ✓ properties contributing to the historic districts designated by a Certified Local Government that is approved by the Illinois Historic Preservation Agency and the Department of the Interior
- ✓ properties in historic central business districts designated as an Illinois Main Street Community

The historic properties and/or districts must be designated prior to submission of the project application.

Rehabilitation, the second treatment, emphasizes the retention and repair of historic materials, but more latitude is provided for replacement because it is assumed the property is more deteriorated prior to work. (Both Preservation and Rehabilitation standards focus attention on the preservation of those materials, features, finishes, spaces, and spatial relationships that, together, give a property its historic character.). *From the U.S. Secretary of Interior's Standards for Historic Preservation.*

Restoration focuses on the retention of materials from the most significant time in a property's history, while permitting the removal of materials from other periods. *From the U.S. Secretary of Interior's Standards for Historic Preservation.*

Preservation, places a high premium on the retention of all historic fabric through conservation, maintenance and repair. It reflects a building's continuum over time, through successive occupancies, and the respectful changes and alterations that are made. *From the U. S. Secretary of Interior's Standards for Historic Preservation.*

The National Register of Historic Places is the nation's official list of places that are recognized for their historical, architectural, or archeological significance. The National Register provides protection in preserving these places. Properties that may be eligible for listing on the National Register include buildings, districts, sites, structures and objects that are significant to the national, state and/or local history. Anyone can nominate a place for designation in the National Register. For more information on the National Register of Historic Places, please contact the IHPA National Register Coordinator (Appendix 3).

The Certified Local Government (CLG) Program recognizes local governments that have established a local historic preservation ordinance through their own initiative. To qualify as a CLG, specific requirements must be met and maintained. For more information on the CLG Program, please contact the IHPA Local Government Services Coordinator (Appendix 3).

The Illinois Main Street Program is a downtown revitalization program established by the Illinois Lieutenant Governor's office and IHPA. Illinois Main Street focuses on the preservation of historic central business districts and provides direct technical assistance in organization, design, promotion and economical restructuring. For more information on the Illinois Main Street Program, please contact the Illinois Main Street Coordinator (Appendix 3).

Some historic preservation projects include landscape and streetscape elements with their project. If your project includes street or pedestrian lighting that is germane to the historic preservation project and within a designated historic district, the street lighting would be eligible for 80% Federal funding.

Examples of historic rehabilitation projects include:

- ✓ rehabilitation, stabilization and restoration of a historic transportation property
- ✓ rehabilitation of a historic railroad depot and train station
- ✓ rehabilitation of a historic highway bridge or pedestrian bridge to their original historic design (not upgrading to AASHTO design policy)
- ✓ rehabilitation of a historic brick street
- ✓ revitalization of a historic downtown (historically compatible streetscape improvements)
- ✓ historical markers at a historic site

Limitations and ineligible items:

- ✓ downtown building facades with no transportation link are ineligible
- ✓ limitations for interior improvements are dependent on the end use/end user. Since museums are no longer an eligible category, as long as the historic facility had a surface transportation link it may qualify for funding, but if the end use was to be a museum, even a transportation museum, the interior improvements would be ineligible. If only part of the facility was a museum and part was a functioning transit facility, then partial funding could be provided for the transit area but not the museum area.
- ✓ actual purchase of the historic facility is ineligible

- ✓ office furniture, office supplies, decorative items or related materials are ineligible
- ✓ routine maintenance items are ineligible (for example - interior painting. Is it required for "restoration/preservation" or is it routine maintenance work?)
- ✓ courthouses are not eligible

4(B) Vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species and provide erosion control

Projects funded under this category cannot be used to replace what would typically be required on a Federal-Aid transportation improvement but can be used to add to or supplement what would be considered as the standard required treatment.

Project improvements will be limited to the public roadway ROW. If justification can be provided that merits the project extending beyond the public ROW, either an easement or ROW will be required.

Examples of eligible projects in this category include but not limited to:

- ✓ removal of trees or similar foliage within a clear zone that could potentially create a crash hazard
- ✓ removal of vegetation that obstructs clear line-of-sight distances of traffic, highway signs and traffic control devices
- ✓ clearing of invasive species such as in a prairie grass restoration area
- ✓ establishment of native plants within an interchange, or as a gateway or highway corridor entering a community
- ✓ planting of vegetation to eliminate or mediate an established erosion problem or to enhance standard erosion control measures

Funding Limitations

Funds cannot be used for routine maintenance such as mowing, brush burning, tree trimming or weeding an existing landscaped area. However, as mentioned above, if the proposed work can be shown to address a specific safety issue, it may be eligible as a one-time consideration. Additional review and approval by IDOT may be required before a project will be allowed to proceed.

4(C) Archaeological activities relating to impacts from implementation of a highway project eligible under Title 23

Projects in this category must focus on physical evidence of historic or prehistoric human life or activity relating to surface transportation, or relating to artifacts recovered from locations within or along highway corridors or along areas affected by a TAP funded project. The project must be consistent with the Secretary of the Interior's Standards for Preservation Projects.

Examples of eligible planning and research projects include:

- ✓ research, preservation, planning, and interpretation of archeological artifacts
- ✓ curation for artifacts related to surface transportation
- ✓ curation for artifacts recovered from locations within or along highway corridors
- ✓ extending the limits of an archeological survey beyond what is required for a highway improvement

5. Any environmental mitigation activities relating to pollution prevention and pollution abatement activities and mitigation to:

5(A) Address storm water management, control and water pollution prevention or abatement related to highway construction or due to highway runoff, including activities described in sections 133(b)(11), 328(a) and 329 of Title 23. (See Appendix 9).

As part of the National Environmental Policy Act (NEPA) process, all Federal-Aid transportation projects are required to provide environmental mitigation based on their impacts. Mitigation efforts include measures to avoid and minimize impacts. Projects in this category are not to replace mitigation currently eligible or required under Federal-Aid funded projects.

Examples of eligible projects regarding the area of water quality improvement in this category include but not limited to:

- ✓ retrofitting an existing highway by creating a wetland to filter highway runoff based on the impacts from the road in terms of water pollution
- ✓ improving streams and drainage channels within the roadway Right-of-Way (ROW) through landscaping to promote filtering and improve the overall water quality conditions of receiving channels. If improvements are required to extend beyond the roadway ROW, a permanent easement (or ROW) will be required
- ✓ establishment of permeable sidewalks or related infrastructure to trap and store urban runoff which may require storm water detention areas
- ✓ provide vegetation and other related controls to filter pollutants before they enter a stream or other public body of water

Maximum Expenditure: In a case in which a transportation facility is undergoing reconstruction, rehabilitation, resurfacing, or restoration, the expenditure of funds under this Section for environmental restoration or pollution abatement shall not exceed 20 percent of the total cost of the reconstruction, rehabilitation, resurfacing, or restoration of the facility.

5(B) Reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats

This category addresses activities for the reduction of vehicle-caused wildlife mortality while maintaining habitat connectivity. This category is not limited to threatened and endangered species, but includes any wildlife mortality directly caused by vehicles.

Examples of eligible projects regarding the reduction of vehicle caused wildlife mortality include:

- ✓ projects designated as wildlife underpasses or overpasses
- ✓ bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- ✓ monitoring and data collection on habitat fragmentation and vehicle-related wildlife mortality

- ✓ fencing, markings, and other mitigation techniques associated with movement of wildlife across highway corridors

6. Construction of Turnouts, Overlooks and Viewing Areas

Projects in this category are no longer limited to national scenic byways or state historic highways.

If a project is proposed along, adjacent to, or in association with a nationally designated scenic byway or state historic highway, the project sponsor must provide a letter of support from the scenic byway or historic highway organization.
(See Appendix 3 for listing of National Scenic Byways).

SECTION D

FUNDING ELIGIBILITY AND MATCHING FUNDS

Eligible costs

The sponsor must prepare (or have prepared by an engineering or architectural firm) an accurate cost estimate for all types of work involved with the enhancement project. Agencies or their consultants should be knowledgeable about estimating these types of project costs and the requirements of utilizing Federal funds.

The costs eligible for reimbursement are preliminary engineering, utility relocations, right-of-way, easements, construction engineering and construction. Preliminary engineering is divided into two phases. The Phase I Engineering (PE I) is the design and environmental study that determines the best overall approach to and the location of a project, addresses environmental concerns, prepares an estimate of cost and defines the scope of work. The Phase II Engineering (PE II) consists of preparation of final construction plans, summary of quantities, specifications and final cost estimate.

Utility relocations include any costs not covered in an existing utility agreement for relocation of power lines, telephone lines, gas lines and other utilities affected by the ITEP project. **Utility relocation as a result of a Federal-Aid funded roadway improvement such as a widening project which would require the relocation of utilities would not be eligible for ITEP funds.** Although utility relocations are eligible, they cannot be the major element in a project. If you are seeking Federal participation in utility relocation costs and that amount exceeds fifty percent (50%) of the construction cost, your project will be marked ineligible. Right-of-way (ROW) or easements include acquiring land or rights necessary for the construction of the project. **Buildings cannot be purchased with enhancement funds.** Construction Engineering (CE) involves the supervision of construction. Construction includes all materials and labor costs necessary to complete the construction of the project.

Any costs associated with the project that are necessary for implementing the enhancement project are eligible. For example, costs for environmental mitigation required for the project would be eligible costs of a project.

Feasibility and planning studies are not project specific and therefore are ineligible costs. Projects can have enhancement eligible items and ineligible items implemented in the same project as long as the project elements are similar in construction procedures. The eligible and ineligible project elements must be separated in the local or interagency agreements, summary of quantities, plans and contract.

The project sponsor is responsible for 100 percent of any ineligible costs.

Costs must be approved for funding, and Federal Authorization must be received from the Federal Highway Administration (FHWA) and required agreements executed before any work would qualify for reimbursement.

Matching funds

The ITEP program is a reimbursable program. Once an executed Local Agency Agreement is in place, project sponsors would pay initial engineering costs up-front and will be reimbursed as the sponsor submits the paperwork documenting implementation. Depending upon whether the project is local let or state let, the same conditions may apply for the construction phase (See Sections J & K). Acquisition of right-of-way and easements are eligible for funding at a 50/50 match; i.e., fifty percent is Federal enhancement funding matched by fifty percent sponsor share. Street lighting, unless in a designated historical area, also requires a 50% local match. In a designated historic area, street lighting may qualify for 80% Federal with a 20% local match. Proof of the historic designation is the responsibility of the project sponsor. Documentation should be submitted as part of your application to be eligible for 80% funding. If the historic designation has not been obtained before application submittal, the street lighting must be adjusted to a 50% participation rate. If you receive the historic designation before construction, you must notify the department and provide the proper documentation in order to qualify for 80% funding. No additional Federal funds will be added to your project, but the participation rate will be adjusted accordingly.

Preliminary engineering, utility relocations, construction engineering and construction are eligible for funding at an 80/20 match; i.e., eighty percent is Federal enhancement funding matched by twenty percent sponsor share.

The Federal enhancement funds may be matched by funding from other programs provided the funds are Federal non-transportation funds. Federal enhancement funds cannot be matched by other Federal transportation funds. Enhancement projects can be accomplished in conjunction with other transportation-funded projects as long as the matching requirements are met for all Federal funds being used. Federal enhancement funds cannot be used as local match towards any other Federal or state funds.

In March of 2007 a new program was implemented called the **Local Agency Federal Flexible Match Program**, which allows local agencies to apply for credits to be used as a part of their local match against the construction or construction engineering portion of the project. There is an application process that must be followed, and approval must be obtained from IDOT and FHWA. There is no need to apply for these credits until you have received notification if your project has been selected. Details of the program are under Appendix 6.

Alternate Funding Sources for Local Match

- ✓ Illinois Bicycle Path Grant Program (IDNR)
- ✓ Other IDNR Grant Programs (based on IDNR eligibility)
- ✓ Department of Commerce and Economic Opportunity Tourism Funding Options
- ✓ State and Local Motor Fuel Tax Funds (MFT)
- ✓ Local General Revenue Tax Funds
- ✓ Federal Funds that are not included in the ISTEA, TEA-21, SAFETEA-LU, MAP-21 Federal highway bills

- ✓ Non-Profit Organization Funds donated to the ITEP sponsor
- ✓ Private or Corporate Funds donated to the ITEP sponsor
- ✓ Soft Match (See Local Agency Federal Flexible Match Program - Appendix 6)

Ineligible matching funds include:

- ✓ National Recreational Trails Program
- ✓ Public Lands Highways Discretionary Fund Program (Forest Highway Program)
- ✓ National Scenic Byway Program
- ✓ ISTEA Federal highway funds
- ✓ TEA-21 Federal highway funds
- ✓ SAFETEA-LU Federal highway funds
- ✓ MAP-21/TAP Federal highway funds
- ✓ Safe Routes to School (SRTS) funds

Right-of-Way/Easements Procedures

All enhancement projects must comply with specific Federal regulations regardless of whether enhancement funds are used to acquire the right-of-way or easements. When a project requires the acquisition of private property or a real estate interest in order to be completed, the sponsor must adhere to the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Act of 1970 as amended. Compliance with these requirements allows Federal participation in funding during the acquisition and construction process. This can be accomplished by following the IDOT Land Acquisition policies and procedures. For more information, on the requirements, please contact the District Land Acquisition Engineer through the District Enhancement Coordinator (Appendix 2).

Right-of-Way Donations

Right-of-way donations from a third party can be credited toward the sponsor share (match) of the construction of a project. Donations must be from a private owner to the project sponsor for the purpose of the enhancement project. Donations must occur after the project report (discussed in Sections J & K) is approved for enhancement funding and prior to having the construction advertised on a letting. Land acquired previously or that is already owned by the project sponsor cannot be used as a donation credit. Code of Federal Regulations 49 CFR Part 24.108 explains the specific requirements that must be followed when donating right-of-way in Federally funded projects. For more information on the requirements, please contact the District Land Acquisition Engineer through the District Enhancement Coordinator (Appendix 2). The sponsor share (match) of the construction can be credited up to 25 percent of the appraised value of the land or up to 10 percent of the total estimated cost of the project, whichever is larger. (See also Federal Flexible Match in Appendix 6.)

Urban Youth Corps

The Urban Youth Corps (UYC) is a program established under the National and Community Service Trust Act of 1993 that gives economically disadvantaged youth the opportunity to learn job training skills. In TEA-21, Congress recognized youth corps as appropriate partners for transportation enhancement projects and encouraged the states to enter into partnerships and cooperative agreements to implement projects. IDOT is promoting the use of UYC in implementing enhancement projects. The type of work needs to be suitable for the youth and part of a larger project with a local government sponsor. The UYC operating in Illinois includes the Chicago River Corps, City Year Chicago and Lake County Youth Conservation Corps. For more information, please contact the respective UYC (Appendix 3).

SECTION E

PROJECT SPONSOR REQUIREMENTS

Eligible Project Sponsors:

Under 23 U.S.C. 213(c)(4)(B), the eligible entities to receive TAP funds are:

- local governments;
- regional transportation authorities;
- transit agencies;
- natural resource or public land agencies;
- school districts, local education agencies, or schools;
- tribal governments; and
- any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of Subsection (c) of Section 213 of Title 23.

Although State agencies and MPOs with responsibility for oversight of transportation or recreational trails cannot sponsor a project, they can partner with an eligible project sponsor.

Nonprofits are not eligible to be a project sponsor but can partner with an eligible project sponsor.

Jointly sponsored project sponsors must identify a lead sponsor. It is the responsibility of the sponsor(s) to obtain support from all affected jurisdictions.

Projects require strong state and/or local government commitment throughout the entire process in order for the project to reach fruition.

Responsibilities

The sponsor is responsible for the following:

- ✓ Acquire local assurance from the proper authorities to ensure commitment
- ✓ Coordinate project with Local IDOT District office
- ✓ Secure required sponsor match through cash, right-of-way donations, Federal flexible match, or other means
- ✓ Schedule start dates for all types of work according to the Sunset Clause (See Section I)
- ✓ Acquire sponsor and agency joint agreements
- ✓ Ensure necessary environmental studies and sign-off by appropriate Federal, state and local agencies
- ✓ Complete preliminary engineering

- ✓ Prepare contract plans
- ✓ Perform utility relocations (as required)
- ✓ Complete environmental documents, clearances, permits and mitigation
- ✓ Acquire necessary right-of-way and easements
- ✓ Manage, administer and implement the project
- ✓ Maintain the project after completion

SECTION F

PROGRAM ADMINISTRATION

FHWA provides the state guidance on the eligibility of projects and final approval and authorization of projects.

IDOT manages all aspects of the enhancement program. The Bureau of Statewide Program Planning in the Office of Planning and Programming administers the program and makes policy decisions on eligibility and funding issues. It coordinates project evaluation with the appropriate state agencies and programs for the selected projects. The Central Bureau of Design and Environment reviews and coordinates the development and implementation of the state-sponsored projects. It ensures all the Federal and state requirements have been followed, and it requests authorization for funding from FHWA. The Central Bureau of Local Roads and Streets reviews the local-sponsored projects to ensure all requirements have been followed and agreements are written appropriately and executed. This bureau requests authorization of locally sponsored projects from FHWA. IDOT is divided into five regions and nine highway districts (Appendix 4). Each local IDOT District is responsible for the implementation of their district projects and should be the first point of contact for implementation procedures such as submitting a job number request and preparation of local agency joint agreements.

In urbanized areas with a population over 50,000, the Metropolitan Planning Organizations (MPOs) review projects to ensure consistency with regional transportation plans, policies and programs. The MPOs also examine proposed projects in the corridor to ensure consistency with projects already programmed. **The project sponsor is responsible for ensuring that approved projects within a MPO area are included in the most current Transportation Improvement Program (TIP) for that MPO.** The MPOs are listed in Appendix 5.

Each local IDOT District is responsible for the implementation of projects within their district boundaries and should be the first point of contact for implementation.

SECTION G

2013 APPLICATION PROCESS

All project applications must be submitted through the on-line application process and should be complete and accurate. The project application includes instructions and can be viewed or copied either by accessing the on-line application or downloading a copy from the ITEP website, www.dot.il.gov/opp/itep.html.

IDOT opened the 2013 ITEP application process on Monday May 20, 2013 and has allowed approximately three months for project sponsors to prepare their project application and submit it for review.

The on-line application deadline is Tuesday, August 20, 2013 at 11:59 PM CDT.

For 2013, IDOT is also requiring applicants to submit two hard copies of the application to IDOT by Friday, August 23, 2013. Project applications must be delivered to IDOT by Close of Business (4:30 PM CDT) on that date. Applications received beyond the deadline will not be accepted.

In addition to the two hard copies of your application, five (5) additional copies of any required or supplemental attachments you were unable to submit as part of the on-line application process must also be submitted to IDOT. These are required for the review process.

All application related materials are to be mailed to the Illinois Department of Transportation at the address below.

Two hard copies of your application, including all attachments must be delivered to IDOT at the address listed below.

**Illinois Department of Transportation
Illinois Transportation Enhancement Program
Room 307
2300 South Dirksen Parkway
Springfield, Illinois 62764**

SECTION H

PROJECT SELECTION AND APPROVAL PROCESS

Project Evaluation

After IDOT receives the candidate project applications, the Bureau of Statewide Program Planning will organize and assign project applications for review and evaluation.

Projects will initially be evaluated for eligibility and constructability. Then a more comprehensive review will be conducted where projects will be evaluated based on established review criteria. Some projects may be selected for partial funding.

Review Criteria

- ✓ Eligibility
- ✓ Strength of transportation relationship
- ✓ Local commitment/Public support
- ✓ Project readiness
- ✓ Inclusion in a local, state or regional plan
- ✓ Accessibility to the public
- ✓ Connectivity to existing facilities
- ✓ Anticipated benefits
- ✓ Cost effectiveness
- ✓ Past performance of Project Sponsor

Project Approval

Following the initial review of project applications, IDOT's Bureau of Statewide Program Planning in the Office of Planning and Programming will assemble the list of projects from all categories and projects that have received a sufficient rating and will forward to the Selection Committee for their review. Project recommendations from the Selection Committee will be evaluated to determine appropriate funding amounts based on available funding and ability to partial-fund any of the projects.

The recommended project list will next be forwarded to the Secretary of Transportation for review and approval. All project sponsors will receive notification by letter as to whether or not their project receives enhancement funding.

SECTION I

SUNSET CLAUSE

For MAP-21/TAP funded projects after February 2013

A sunset clause will be enforced on all TAP/ITEP funded enhancement projects. This clause will set requirements for the time a sponsor has to begin and complete a project. The intent of the Sunset Clause is to keep projects moving forward and utilize the Federal TAP/enhancement funds for projects that will be constructed in a timely manner.

Program funds provided under MAP-21 for the Transportation Alternatives Program (TAP) will lapse four years from the date of the Federal apportionment. **Projects selected under the 2013 application cycle must have all TAP/Enhancement funds authorized/obligated by the Federal Highway Administration (FHWA) by September 30, 2016.** For construction projects, this translates to sponsors having their projects ready for a September or possibly an October 2016 letting. **If you fail to authorize/obligate the TAP/enhancement funds before the September 30, 2016 deadline, your project funds may be rescinded.** If TAP funding is continued beyond the expiration of MAP-21 or potential other eligible funding sources are identified, then it may be possible to extend the funding of your project, but a deadline will be given and will be enforced.

If you have been reimbursed with Federal funds for PE and you are not able to get your construction funds authorized by the September 30, 2016 deadline, you may have to repay those funds to FHWA (see note below). In order to prevent this, IDOT may need to prevent authorization of PE funds late in the process if there is not sufficient time to complete PE and have the construction funds authorized before the deadline.

As you can see, it is critical for you to contact your local IDOT District ITEP coordinator and get started on preparing a Local Agency Agreement and any other related documents as soon as possible.

Projects funded through the ITEP program prior to this 2013 application cycle must implement their project in accordance with the Sunset Clause as established in the 2012 ITEP Guidelines Manual. That Sunset Clause is included on the next page as a reference.

Note: The Federal Highways Administration has the authority to pull funds from projects that have not met their limitations for project implementation which could also lead to them requiring a pay back of Federal funds that have been used on the project up to that point. For example if your community has performed all the required engineering but have not been able to get the project constructed, FHWA could pull the remaining funds slated for construction and also require the local community to pay back the Federal funds used to complete the engineering. Federal regulations require a project to be constructed within 10 years of the date Federal funds were authorized for engineering. Communities can apply for a 'no-build' waiver from FHWA if there are circumstances that justify the project not being constructed, but approval of such waivers should not be assumed.

Sunset Clause

For ITEP projects funded prior to February 2013

A sunset clause will be enforced on all ITEP funded enhancement projects. This clause will set requirements for the time a sponsor has to begin and complete a project. The intent of the Sunset clause is to keep projects moving forward and utilize the Federal enhancement funds for projects that will be constructed in a timely manner. Unauthorized Federal funds that sit idle for too long are subject to Federal rescissions. That is money the state will likely never see again.

If you intend to use ITEP funds for any part of your project from preliminary engineering through to construction, you must first have an executed Local Agency Agreement in place. Separate agreements will be required for preliminary, engineering, land acquisition and construction. Any work done prior to the date of the executed agreement cannot be reimbursed. The processing and execution of these agreements typically takes several months which is why you need to begin this process as soon as possible after you have received your approval notice.

If required, a Local Agency Agreement for Preliminary Engineering must be executed within 12-18 months of the date of selection notification letter. Upon completion of phase I engineering (PE I), the local sponsor must seek approval from IDOT to proceed with phase II engineering. The expectation of IDOT is that construction will be scheduled for letting within 12 months of the completion of PE II but no later than five years after the date of selection notification letter.

If your application indicated all PE had been completed and your project was funded for construction only, your project should be scheduled for a letting within 12-24 months of the date of selection notification letter.

Failure to meet the schedule may result in forfeiture of ITEP funds. Any delays to the above implementation schedule will require appropriate justification and approval by IDOT.

Note: Federal Highways has the authority to pull funds from projects that have not met their limitations for project implementation which could also lead to them requiring a pay back of Federal funds that have been used on the project up to that point. For example if your community has performed all the required engineering but have not been able to get the project constructed, FHWA could pull the remaining funds slated for construction and also require the local community to pay back the Federal funds used to complete the engineering. Federal regulations require a project to be constructed within 10 years of the date Federal funds were authorized for engineering. Communities can apply for a 'no-build' waiver from FHWA if there are circumstances that justify the project not being constructed, but approval of such waivers should not be assumed.

SECTION J

LOCAL-SPONSORED PROJECTS ADMINISTRATION AND IMPLEMENTATION

Projects need to follow all Federal and state requirements in the design and construction process. The projects should be constructed according to appropriate design policies to provide basic needs, and any costs associated with amenities above appropriate design requirements are the sponsor's responsibility.

Each step in the process requires separate approvals for initiation and completion. The elements involved in each step are more fully described in this section. Each step is undertaken in accordance with joint funding agreements executed between IDOT and the local sponsor and the procedures spelled out in the various policy manuals. Each step requires the use of qualified consultants or qualified in-house staff to undertake the necessary steps as outlined.

Departmental Processes

Funding Authorization

IDOT submits the project to FHWA for Federal funding authorization. Engineering, right-of-way and construction projects will receive Federal authorization only if the project is identified in the annual element of the state multi-year program and the appropriate MPOs annual TIP. The approved construction costs identified in the annual element of the state multi-year program will be based on the PE project estimate.

- ✓ The Bureau of Local Roads and Streets in the central office will obtain the Federal funding authorization from FHWA for contracts and notify the local sponsor when the work may begin.

No Federal Reimbursement Will Be Allowed For Work Started Prior to Federal Authorization And Notification To Proceed With A Contract.

Reimbursement

The enhancement program is a reimbursable program, not a grant program.

Federal project funds cannot be paid in advance of the work performed. The project documentation and costs are paid by the project's sponsor and then reimbursed by IDOT in accordance with the joint funding agreement.

- ✓ The Bureau of Local Roads and Streets in the central office will establish a contract obligation document (COD) for land acquisition, PE, CE, materials, utility relocation agreements and local construction contracts to facilitate IDOT reimbursement to the local sponsor for the Federal share.

- ✓ The project sponsor pays the engineering, land acquisition, utility relocation and local-let construction cost. After the sponsor has paid these costs, receipts of payment should be forwarded to the District Bureau of Local Roads and Streets for reimbursement of the Federal share.
- ✓ Land acquisition, PE, CE and utility relocation bills will be submitted and paid according to the Bureau of Local Roads and Streets' billing procedures.
- ✓ Construction contracts let through the **local** letting process will have their bills paid through the District Bureau of Local Roads and Streets.
- ✓ Construction contracts let through the **state** letting process will follow the Bureau of Construction billing procedures. The local sponsor will be billed for their cost share in accordance with the local agency joint agreement.

No Reimbursement Will Be Allowed For Expenditures Made Prior To The Date Of Federal Authorization.

Project Sequencing

When selected, local-sponsored projects receive notification of project approval. The sponsor should contact the IDOT District Local Roads and Streets Enhancement Coordinator (Appendix 2) to discuss details of the right-of-way and easement acquisition process and obtain guidance on how to proceed with the project development process.

Agreements

Local sponsor professional services agreements and contracts must follow the Bureau of Local Roads and Streets Manual. The agreement and procurement procedures are outlined in Chapter 5.

- ✓ The local sponsor will coordinate with the District Bureau of Local Roads and Streets and will negotiate a consultant services agreement regarding the scope of professional services. The agreement shall contain the necessary consultant staff-hours to complete the project's architectural or engineering phase.
- ✓ The local sponsor and consultant shall enter into a professional services agreement which contains the necessary state and Federal certificates and audit requirements using the standard engineering agreement forms. The forms can be supplemented to add pertinent architectural language for building and landscaping projects where architects are required. These forms can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).
- ✓ The local sponsor will execute PE, CE, land acquisition and utility relocation agreements.

- ✓ The district will submit the signed local sponsor consultant agreement along with a joint funding agreement between the local sponsor and IDOT to the Bureau of Local Roads and Streets in the central office. The IDOT district and central office personnel will review agreements for proper project scope and costs. The joint funding agreement form can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).
- ✓ The Bureau of Local Roads and Streets in the central office will approve PE, CE, land acquisition and utility relocation agreements.
- ✓ IDOT payments to the local sponsor will be facilitated by the joint funding agreement and will be based on the actual cost of material or work performed, along with a request for payment reimbursement submitted to the District Bureau of Local Roads and Streets.

Engineering

The first phase of project development is the preliminary engineering. If the PE is completed, the right-of-way and/or construction phase may begin after Federal authorization and required agreements are in place. The PE includes the environmental assessment, permits and project reports (PE I) and the project plans and contracts (PE II). Consultant construction engineering/supervision agreements must follow the same steps as PE and may have a different firm or qualified sponsor staff.

- ✓ The local agency shall select a consultant with the approval of the District Bureau of Local Roads and Streets.
- ✓ To obtain a list of the IDOT pre-qualified consultants, contact the Preliminary Engineering Section in the Bureau of Design and Environment (Appendix 3) or contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2). Building architects and consultant engineers for local-sponsored projects are not required to be prequalified with IDOT.
- ✓ Local sponsors may choose to perform engineering functions with qualified in-house staff with the approval of the district Bureau of Local Roads and Streets.

Engineering (PE I)

As the project proceeds through the PE I phase, the following areas must be evaluated. Six to eighteen months are typical time periods required to accomplish PE I.

- ✓ Environmental surveys determine involvement and mitigation for such issues as endangered species, wetlands and historic resources and provide a basis for coordination with regulatory agencies. The sponsor should conduct preliminary site assessments to identify any hazardous material concerns to ascertain any liability and determine the appropriate management for any involvement. These surveys and assessments are the responsibility of the sponsoring agency.

- ✓ Project design procedures must meet the design guidelines contained in the Bureau of Local Roads and Streets Manual, Chapters 41-42. Facilities for pedestrians and bicyclists must meet policies and procedures for local pedestrian and bicycle facilities. Building projects must meet applicable building codes and historic buildings must be in conformance with the Secretary of Interior's Standards for Historic Preservation. For more information on building and historic projects, please contact the IHPA Division of Preservation Services (Appendix 3). The requirements of the current Americans with Disabilities Act (ADA) must be met where applicable. For more information on design policies and procedures, please contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2).
- ✓ New or modified bridges, with a clear span greater than 10 feet or with an opening greater than 100 square feet will require a preliminary design report and a hydraulic report if necessary. When a preliminary design report must be submitted for a project that modifies an existing bridge as part of an enhancement project, a bridge condition report (BCR) will be required including a hydraulic report if required. All new and modified bridges will be designed to the applicable sections of the AASHTO Standards Specification for highway bridges or appropriate AASHTO Guide Specification. These reports must be approved by the Bureau of Bridges and Structures before proceeding with PE II.
- ✓ Public involvement requirements will be determined based on the nature of the project.
- ✓ District coordination meetings with the sponsor will be held as necessary.
- ✓ A project report must be prepared for each project. This report will be used to obtain environmental approval from FHWA. It will also be used for IDOT approval of the design concepts for the project. The department must approve the project report.
- ✓ Section 4(f) evaluations may be required for projects using lands from public parks, recreational and wildlife areas and from historic properties. Section 106-4f documentation will be required for projects affecting historic properties. These policies are in the IDOT Bureau of Local Roads and Streets Manual, Chapters 18 and 19 (See Appendix 3 for more information).

Engineering (PE II)

As the project proceeds through the PE II phase, the following areas must be evaluated. Four to twelve months are typical time periods required to accomplish PE II.

- ✓ After environmental and design approval is received, the local sponsor can begin to prepare the final plans and specifications for the project in accordance with the appropriate design policies and approved project report.
- ✓ All permits must be obtained by the local sponsor before advertising the letting for the construction contract (examples include IDNR Office of Water Resources and Corps of Engineers permits). The need for these permits must be identified during PE I.
- ✓ District coordination meetings with the sponsor will be held as necessary.

- ✓ When the final plans, specifications and cost estimates are completed, they shall be submitted to the District Bureau of Local Roads and Streets for approval.

Project Scope

The project scope is the pertinent information on a project such as type of work, costs, location, project limits and funding. A scoping meeting between local sponsors and the department will be scheduled for selected projects.

Project scopes that change from the original approved project scope must be submitted with documentation and justification to the District Local Roads and Streets Enhancement Coordinator for review (Appendix 2). The scope changes are forwarded to the Bureau of Local Roads and Streets in the central office and must be approved by the Office of Planning and Programming, Bureau of Statewide Program Planning. Scope changes may include a location change, adding or deleting a project element, a cost change or design change.

Costs associated with work designed outside the original approved project scope without prior approval will become the sponsor's responsibility. Project scope changes may require additional environmental analysis and may result in deleting projects from funding or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved Federal authorization will require an authorization addendum before the project is advertised for letting. Significant project scope and cost changes must be reflected in the MPOs TIP where applicable.

All Project Scope and Cost Changes Must Be Approved By The Office Of Planning and Programming, Bureau Of Statewide Program Planning Before Final Plans Are Approved And The Project is Advertised For Letting.

Right-of-Way/Easements

All enhancement projects must identify and certify the status of existing and proposed right-of-way and easements. It is the local sponsor's responsibility to ensure they have the property rights (right-of-way or easements) to construct the enhancement project. IDOT has no authority to purchase property or easements in the name of the local sponsor, nor can IDOT purchase property or easements on local transportation systems in the name of the state.

All right-of-way and easements acquired for Federal enhancement projects (regardless whether Federal funds are utilized for the acquisition) must be acquired in accordance with Titles II and III of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended. If right-of-way or easements are necessary, project sponsors will be required to review and follow the Standard Provisions for Enhancement Projects on the State Highway System or follow the Standard Provisions for Enhancement Projects off the State Highway System Utilizing Federal Aid. For a copy of the Bureau of Land Acquisition policies and procedures, please contact the IDOT Manual Sales Office (Appendix 3). The

local sponsor shall certify title for all property necessary for the project. For more information contact the District Land Acquisition Engineer through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

The environmental process (PE I) should be completed prior to conducting right-of-way or easement acquisition activities. Right-of-way and easement parcels may require a title search and a possible property survey before purchasing or signing the right-of-way certification document. If Federal funds will be utilized for right-of-way or easement acquisitions, a joint funding agreement along with preliminary right-of-way plans and cost estimates must be submitted to the District Land Acquisition office for forwarding to the Bureau of Land Acquisition central office.

The Bureau of Local Roads and Streets in the central office will then obtain Federal authorization and execute the joint funding agreement. The District Bureau of Land Acquisition will notify the sponsor when acquisition work may proceed.

Any Negotiations Or Acquisitions Performed Prior To Federal Authorization Will Be Ineligible For Federal Reimbursement.

Billing procedures for right-of-way costs are the same as for PE. The Bureau of Local Roads and Streets in the central office will establish a contract obligation document (COD) to facilitate IDOT reimbursement to the local sponsor for the Federal share. Typical implementation time required to appraise, negotiate and acquire right-of-way or easement will range from six to eighteen months.

Letting Process

The requirements for letting and constructing enhancement projects parallel those of other Federally funded local-sponsored projects. Prior to letting, all required items included on the IDOT Certification/Project Status form must be completed. The form can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2). The items include:

- ✓ Plan approval
- ✓ Environmental approvals
- ✓ Right-of-way certification
- ✓ Funding agreements
- ✓ Utility relocation agreements
- ✓ Railroad crossing agreements
- ✓ Signed permits
- ✓ Plan certification by professional engineer
- ✓ Structure certification by structural engineer
- ✓ Traffic signal plan approval
- ✓ Lighting plan approval

- ✓ Regional and State Clearinghouse approvals
- ✓ Inclusion in the Metropolitan Planning Organization (MPO) annual element of the Transportation Improvement Program (TIP)

State-let

Most projects should be advertised in IDOT's Professional Transportation Bulletin (PTB) and included on one of the scheduled state lettings. Final plans must be submitted to the district office 75 days prior to the date of the proposed bid letting for approval. The central office Bureau of Local Roads and Streets must be notified 14 days prior to the project letting to issue addenda. IDOT will make the plans available for contractors to review and submit bids. Contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2) for the submittal requirements for the IDOT letting schedule.

Local-let

Certain types of construction projects may, with IDOT approval, be locally let and awarded. The local sponsor makes contractor payments for locally awarded projects and then obtains reimbursement from IDOT for the Federal share. Information on the local letting procedures is contained in the Bureau of Local Roads and Streets Manual, Chapter 24.

Examples of projects that may be approved for local lettings are:

- ✓ Enhancement projects being constructed in conjunction with a larger MFT or locally financed project.
- ✓ Small projects where a local letting may be more appropriate.
- ✓ Projects not typically included in IDOT state lettings, such as buildings and historic restoration.
- ✓ Projects for which Federal funds are included in materials only.

Construction Process

A typical construction contract may require from six to twelve months to complete. The pre-construction meeting with the sponsor, contractor, Resident Engineer (RE), District Construction Engineer, District Materials Engineer, and District Local Roads and Street Engineer will be held after the construction contract has been awarded. There is different construction billing procedures for state-let and local-let construction contracts.

State-let Procedures

IDOT pays the contractor's billing schedule as the project progresses and then bills the sponsor for the local share of the project.

- ✓ The local sponsor must provide a public-sector Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision (CE).
- ✓ There are significant material and construction documentation requirements for state-let projects. For assistance, please contact the District Bureau of

Implementation through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

Projects on IDOT lettings will use the Bureau of Construction Manual, Manual of Test Procedures for Materials, the Standard Specifications for Road and Bridge Construction and as appropriate the Secretary of Interior's Standards for Historic Preservation for contract documentation and construction inspection procedures. IDOT Manuals are available on the IDOT website (www.dot.il.gov) under "Doing Business".

After state-let contract bids are received, IDOT will award the construction contract, conduct general administrative project supervision, make contractor payments and request reimbursement from the local sponsor for the local share.

- ✓ State-let contracts will be included in the Bureau of Construction project monitoring and billing system.
- ✓ The Bureau of Construction will prepare blank monthly contract pay estimates to be completed by the RE and submitted to the Bureau of Construction.
- ✓ The RE will submit to the Bureau of Construction the material inspection reports, inspector's daily reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.

With prior agreement IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.

- ✓ All contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- ✓ All contract and contract change orders must follow the construction manual procedures or a special IDOT agreed change order procedure, and conform to the Illinois Procurement Code (30 ILCS 500), the State Finance Act (30 ILCS 105/9.02) and the Criminal Code (720 ILCS 5/33E).

Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Construction And Bureau Of Local Roads And Streets For State-Let Projects Before Proceeding With Any Work.

Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Statewide Program Planning Before Proceeding With Any Work.

Local-let Procedures

The local sponsor pays the full amount of the contractor's billing schedule as the project progresses, then documents and requests reimbursement from IDOT for the Federal share of the project.

- ✓ The local sponsor must provide a public-sector Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision (construction engineering).
- ✓ There are significant material and construction documentation requirements for local-let projects. For assistance, please contact the District Bureau of Implementation through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

Projects on local lettings will use the Bureau of Local Roads and Streets Manual, Chapter 24. The District Bureau of Local Roads construction, material inspection and billing process for local contract documentation and procedures information are also available through the district office. The contract will conform to the Manual of Test Procedures for Materials, the Standard Specifications for Road and Bridge Construction and as appropriate the Secretary of Interior's Standards for Historic Preservation for contract documentation and construction inspection procedures (Appendix 3). For more information, contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

- ✓ After local-let contract bids are received, the sponsor shall request concurrence from IDOT to award the contract.
- ✓ The sponsor will administer the contract, make contractor payments, and request reimbursement from IDOT for the Federal cost share.
- ✓ Local-let contracts will not be included in the Bureau of Construction project monitoring and billing system and are the sponsor's responsibility.
- ✓ The RE will prepare the monthly contract pay estimates.
- ✓ The RE will submit to the district the daily inspector reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.
- ✓ All contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- ✓ With prior agreement, IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.

Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Local Roads And Streets For Local-Let Projects Before Proceeding With Any Work.

Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Statewide Program Planning Before Proceeding With Any Work.

Contract Completion

After the construction contract is completed, the RE and District Bureau of Local Roads and Streets or District Construction Office will perform the final inspection. The RE will then complete the final pay estimate and final report. Project construction documentation and funding may be audited by IDOT and FHWA staff.

The sponsor may schedule an opening dedication for their project and will be responsible for all maintenance and operational functions for the project.

SECTION K

STATE-SPONSORED PROJECTS ADMINISTRATION AND IMPLEMENTATION

Projects need to follow all Federal and state requirements in the design and construction process. The projects should be constructed according to appropriate design policies to provide basic needs, and any costs associated with amenities above design requirements are the sponsor's responsibility.

Each step in the process requires separate approvals for initiation and completion. The elements involved in each step are more fully described in this section. Each step is undertaken in accordance with joint funding agreements executed between IDOT and the local sponsor and the procedures spelled out in the various policy manuals. Each step requires the use of qualified consultants or qualified in-house staff to undertake the necessary steps as outlined.

Departmental Processes

Funding Authorization

IDOT submits the projects to FHWA for Federal funding authorization. Engineering, right-of-way and construction projects will receive Federal authorization only if the project is included in the annual element of the state multi-year program and the annual program of the appropriate MPO TIP. The approved construction costs identified in the annual element of the state multi-year program will be based on the PE project estimate.

- ✓ The Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section, will obtain Federal authorization from FHWA for the PE, CE, land acquisition and utility relocation agreements.

No Federal Reimbursement Will Be Allowed For Work Started Prior to Federal Authorization And Notification To Proceed With A Contract.

- ✓ The Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section, will obtain Federal authorization from FHWA prior to advertising a construction contract on a letting.

No Federal Reimbursement Will Be Allowed For Construction Contract Or Change Order Work Completed Without Prior Federal Authorization.

- ✓ The Bureau of Design and Environment, Preliminary Engineering Section, will notify the PE and CE consultant and the utility relocation contractor/company when they may proceed with the work.

- ✓ The Bureau of Land Acquisition will notify the land acquisition agreement contractor when they may proceed with the work.
- ✓ The contractor will be notified to proceed with the contract by the Bureau of Construction for IDOT-let projects and by CDB for CDB-let projects.

Reimbursement

The enhancement program is a reimbursable program not a grant program.

Federal project funds cannot be paid in advance of the work performed. The project documentation and costs are paid by IDOT and the sponsor in accordance with the interagency agreement. Contract obligation documents (COD) will establish the level of funding for reimbursement.

- ✓ The Bureau of Design and Environment, Preliminary Engineering Section, will establish a COD for PE, CE and utility relocation agreements to facilitate IDOT payment for the Federal share.
- ✓ The Bureau of Land Acquisition will establish a COD for right-of-way or easement acquisition to facilitate IDOT payment for the Federal share.
- ✓ The Bureau of Construction will establish a COD for the construction to facilitate IDOT payment for the Federal share.

Capital Development Board (CDB) let projects will require IDOT to obligate the Federal share and CDB to obligate the non-Federal share of the project funds with the Comptroller's Office.

Payments

As the work is accomplished, sponsors should forward the bills for payment to the appropriate area. The project sponsor will pay the consultant, utility company or contractor the non-Federal share of all agreements and contracts.

- ✓ The Bureau of Design and Environment, Preliminary Engineering Section, will process the consultant utility relocation bills for payment of the Federal share.
- ✓ For CDB-let projects, the CDB Fiscal Section will collect and forward all engineering, land acquisition, utility relocation and construction pay requests to the Bureau of Design and Environment, Program Support Unit.
- ✓ The Bureau of Land Acquisition will pay the warrants for right-of-way or easements to facilitate IDOT payment for the Federal share.
- ✓ The Bureau of Construction will process the bills for construction contracts to facilitate IDOT payment for the Federal share.

No Reimbursement Will Be Allowed For Expenditures Made Prior To The Date Of Federal Authorization.

Project Sequencing

After a state-sponsored project is selected and has received notification of project approval, a meeting should be scheduled with the appropriate IDOT State Enhancement Coordinator (Appendix 2) to discuss requirements of the right-of-way and easement acquisition process and the project development process. One of the first procedures is developing and executing an interagency agreement specifying scope of work, cost and participation for the selected project.

Agreements

- ✓ IDOT sponsored projects will be engineered and administered by the appropriate district and central office staff. IDOT may elect to use outside engineering/architectural consulting services for IDOT projects requiring special services or expertise. IDOT will negotiate and execute an interagency agreement with the state agency to identify the project funding and scope. All department agreements will be processed through the Preliminary Engineering Section in the Bureau of Design and Environment (Appendix 3).
- ✓ State agencies must advertise their project scope and services in IDOT's Professional Transportation Bulletin (PTB) or use the CDB process to select a pre-qualified engineering or architectural consultant. To obtain a list of the IDOT pre-qualified engineering consultants contact the Preliminary Engineering Section in the Bureau of Design and Environment (Appendix 3).
- ✓ CDB-let projects will follow the Bureau of Design and Environment ITEP Procedures for design contracts, bid documents, document review and bidding and CDB Minority Business Enterprises/Female Business Enterprises (MBE/FBE) goals.
- ✓ All agreements will be reviewed by IDOT's auditing section to ensure all costs are within Federal guidelines.
- ✓ State agencies and consultants will enter into a professional services agreement which contains the necessary state and Federal certificates and audit requirements. Professional services agreements can be modified to add pertinent architectural language for building and landscaping projects where architects are required. Appropriate forms can be obtained through the Preliminary Engineering Section in the Bureau of Design and Environment (Appendix 3).
- ✓ All agreements must be signed by the appropriate agency heads and the Secretary of Transportation.

- ✓ The project sponsor will negotiate a consultant services agreement with IDOT assistance as appropriate regarding scope of professional services and the necessary consultant staff-hours to complete the project architectural or design PE I or PE II phases.
- ✓ After the PE II project design is approved, the next procedures are advertising, selecting and negotiating a consultant services agreement regarding scope of professional services and the necessary consultant staff-hours to complete the project construction engineering phase (CE).
- ✓ Agreement addenda will be processed through the Bureau of Design and Environment, Preliminary Engineering Section. CDB agreement addenda will be processed through the Bureau of Design and Environment, Preliminary Engineering Section subject to funding approval.
- ✓ The Bureau of Design and Environment, Preliminary Engineering Section, will approve and execute sponsor agreements and will notify all state agencies when the consultant may proceed with the preliminary engineering.

No Federal Reimbursement Will Be Allowed For Work Started Before Notification To Proceed With Contract.

The project sponsor shall execute their PE, CE, land acquisition and utility relocation agreements.

Engineering

The first phase of project development is the preliminary engineering. If the PE is completed on the project, the right-of-way and/or construction phase may begin after Federal authorization. The PE includes the environmental assessment, permits and project reports (PE I) and the project plans and contracts (PE II). PE and CE may be performed by qualified state agency staff or by outside engineering/architectural consulting services.

Engineering (PE I)

As the project proceeds through the PE I phase, the following areas must be evaluated. Six to eighteen months are typical time periods required to accomplish PE I.

- ✓ Environmental surveys determine involvement and mitigation for such issues as endangered species, wetlands and historic resources and provide a basis for coordination with regulatory agencies. The sponsor should conduct preliminary site assessments to identify any hazardous material concerns to ascertain any liability and determine the appropriate management for any involvement. These surveys and assessments are the responsibility of the sponsoring agency.

- ✓ Project design must meet the design policies contained in the Bureau of Design and Environment Manual. IDOT Manuals are available on the IDOT website (www.dot.il.gov) under “Doing Business”. Building projects must meet applicable building codes and historic buildings must be in conformance with the Secretary of Interior’s Standards for Historic Preservation. For more information, please contact the IHPA Division of Preservation Services (Appendix 3). The Americans with Disabilities Act of 1990 (ADA) must be met where applicable. For more information, please contact the appropriate State Enhancement Coordinator (Appendix 2).
- ✓ New or modified bridges greater than 10 feet or with an opening greater than 100 square feet, will require type, size and location (TS&L) and a hydraulic report if needed. Projects that modify an existing bridge as part of an enhancement project will require a bridge condition report (BCR) when TS&L information must be submitted for the project. All new and modified bridges will be designed to the applicable sections of the AASHTO Standards Specification for Highway Bridges or the appropriate AASHTO Guide Specification. These reports must be approved by the Bureau of Bridges and Structures before proceeding with PE II.
- ✓ Public involvement requirements will be determined based on the nature of the project.
- ✓ As necessary, coordination meetings should be held between the project sponsor, IDOT, CDB and FHWA.
- ✓ A project report must be prepared for each project. This report will be used to obtain environmental approval from FHWA. It will also be used for IDOT approval of the design concepts for the project. The department must approve the project report.
- ✓ Section 4(f) evaluations may be required for projects using lands from public parks, recreational and wildlife areas and from historic properties. Section 106-4f documentation will be required for projects affecting historic properties. These policies are in the Bureau of Design and Environment Manual (Appendix 3).

Engineering (PE II)

As the project proceeds through the PE II phase, the following areas must be evaluated. Four to twelve months are typical time periods required to accomplish PE II.

- ✓ After environmental and design approval and Federal authorization is received, the state sponsor can begin to prepare the final plans and specifications for the project in accordance with the appropriate design policies and approved project report.
- ✓ The sponsor must obtain all permits before advertising the letting for the construction contract (examples include IDNR Office of Water Resources and Corps of Engineers permits). The need for these permits should be identified during PE I.

- ✓ As necessary, coordination meetings should be held between the project sponsor, IDOT, CDB and FHWA.
- ✓ When the final plans, specifications, permits and cost estimates are completed, the Certification Acceptance/Project Status (BDE 488) and plans shall be submitted to the Bureau of Design and Environment, Program Development and Implementation Section. The Bureau of Design and Environment or District Engineer must sign the final plans. The BDE 488 form can be obtained through the appropriate State Enhancement Coordinator (Appendix 2).

Project Scope

The project scope is the pertinent information on a project such as type of work, costs, location, project limits and funding. Project scopes that change from the original approved project scope must be submitted with documentation and justification to the appropriate State Enhancement Coordinator for review. The scope changes are forwarded to the Office of Planning and Programming, Bureau of Statewide Program Planning for review and approval. Scope changes include a location change, adding or deleting a project element or a cost or design change.

Costs associated with work designed outside the original approved project scope without prior approval will become the sponsor's responsibility. Project scope changes may require additional environmental analysis and may result in deleting projects from funding or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved Federal authorization will require an authorization addendum before the project is advertised for letting.

All Project Scope And Cost Changes Must Be Approved By The Office Of Planning And Programming, Bureau Of Statewide Program Planning Before Final Plans Are Approved And The Project is Advertised For Letting.

Right-of-way/Easements

All enhancement projects must identify and certify the status of existing and proposed right-of-way and easements. It is the sponsor's responsibility to ensure they have the property rights (right-of-way or easements) to construct the enhancement project. IDOT has no authority to purchase property or easements in the name of a local agency, nor can IDOT purchase property or easements on the local transportation systems in the name of the state.

All right-of-way and easements acquired for Federal enhancement projects (regardless whether Federal funds are utilized for the acquisition) must be acquired in accordance with Titles II and III of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended. If right-of-way or easements are necessary, project sponsors will be required to review and follow the Standard Provisions for Enhancement Projects on the State Highway System or follow the Standard Provision for Enhancement Projects off the State Highway System Utilizing Federal Aid. IDOT manuals are available on the IDOT website (www.dot.il.gov) under “doing Business”. For more information contact the District Land Acquisition Engineer through the appropriate State Enhancement Coordinator (Appendix 2).

The environmental process (PE I) must be complete prior to conducting right-of-way or easement acquisition activities. Property and easement parcels may require a title search and a possible property survey before purchasing or signing the right-of-way certification document. If Federal funds will be utilized for right-of-way or easement acquisitions, an interagency agreement between the state sponsor and IDOT, along with preliminary right-of-way plans and cost estimates, must be submitted to the Bureau of Land Acquisition. The Bureau of Design and Environment, Program Support Unit, will obtain Federal authorization. The Bureau of Design and Environment, Preliminary Engineering Section will approve and execute the interagency agreement. The Bureau of Land Acquisition then will notify the sponsor when work may begin.

Any Negotiations Or Acquisitions Performed Prior To Federal Authorization Will Be Ineligible For Federal Reimbursement.

Billing procedures for on and off state right-of-way are the same as for PE. The Bureau of Land Acquisition will establish a contract obligation document (COD) to facilitate payment for the Federal share, and the project sponsor shall pay the non-Federal share. Typical implementation time required to appraise, negotiate and acquire right-of-way or easement will range from six to eighteen months.

Letting Process

The requirements for letting and constructing enhancement projects parallel that of other Federally funded state-sponsored projects. Before advertising the projects for letting, all projects must be reviewed by the Project Development and Implementation Section in the Bureau of Design and Environment (Appendix 3) when the plans are 75 percent and 100 percent complete. The 100 percent review shall include final contract and bidding documents. Prior to letting, all required items included on the IDOT Certification Acceptance/Project Status form (BDE 488) must be completed. The BDE form can be obtained through the appropriate State Enhancement Coordinator.

The items include:

- ✓ Plan approval
- ✓ Environmental sign-off
- ✓ Right-of-way certification
- ✓ Funding agreements
- ✓ Utility relocation agreements
- ✓ Railroad crossing agreements
- ✓ Signed permits
- ✓ Plan certification by professional engineer
- ✓ Structure certification by structural engineer
- ✓ Traffic signal plan approval
- ✓ Lighting plan approval
- ✓ Regional and State Clearinghouse approvals
- ✓ Inclusion in the Metropolitan Planning Organization (MPO) annual element of the Transportation Improvement Program (TIP)

All projects will be advertised in the IDOT Transportation Bulletin or the CDB-Bid Information Newsletter (BIN) and included on one of the scheduled state lettings. Final plans must be submitted to the Project Development and Implementation Section in the Bureau of Design and Environment (Appendix 3) 75 days prior to the date of the proposed bid letting for approval. The Project Development and Implementation Section must be notified 14 days prior to the letting to issue addenda. IDOT will make the plans available for contractors to review and submit bids. Contact the appropriate State Enhancement Coordinator (Appendix 2) for the submittal requirements for the IDOT letting schedule.

Construction Process

A typical construction contract may require from six to twelve months to complete. For projects awarded on an IDOT or a CDB letting, IDOT pays the Federal share of the contractor's billing schedule and CDB or the project sponsor will pay the sponsor share as the project proceeds. The pre-construction meeting with the sponsor, contractor, Resident Engineer (RE), District Construction Engineer and District Materials Engineer will be held after the construction contract has been awarded.

Other state agencies must provide a Resident Engineer (RE) for their sponsored projects and are responsible for the project documentation, material inspection and direct construction supervision (CE). Projects on IDOT lettings will use the Bureau of Construction Manual, Manual of Test Procedures for Materials, the Standard Specifications For Road and Bridge Construction, and as appropriate the Secretary of Interior's Standards for Historic Preservation for contract documentation and construction inspection procedures (Appendix 3). For more information, contact the District Bureau of Implementation for construction procedures through the appropriate State Enhancement Coordinator (Appendix 2).

- ✓ After IDOT state-let contract bids are received, IDOT will award the construction contract and conduct general administrative project supervision.
- ✓ Bureau of Construction will make contractor payments for the Federal share and project sponsor will make contractor payments for the non-Federal share.
- ✓ IDOT will submit requests to FHWA for reimbursement of the Federal share.
- ✓ State-let contracts will be included in the Bureau of Construction project monitoring and billing system.
- ✓ The Bureau of Construction will prepare blank monthly contract pay estimates to be completed by the RE and submitted to the Bureau of Construction.
- ✓ The RE will submit to the Bureau of Construction the material inspection reports, inspector's daily reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.
- ✓ All Contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- ✓ With prior agreement, IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.
- ✓ There are significant material and construction documentation requirements for state-let projects. For assistance, please contact the District Bureau of Implementation through the appropriate State Enhancement Coordinator (Appendix 2).

Projects on a CDB letting will use CDB's construction manuals and as appropriate the Secretary of Interior's Standards for Historic Preservation for contract documentation, construction and material inspection procedures.

- ✓ Projects that are CDB-let will follow CDB procedures except for contract change orders and contract administration fees.

It Is The Project Sponsor's Responsibility To Provide All Construction Documentation, Material Inspection And Material Certification Documents.

Change Orders

All contract and contract change orders must follow the construction manual procedures or a special IDOT agreed change order procedure, and conform to the Illinois Procurement Code (30 ILCS 500), the State Finance Act (30 ILCS 105/9.02) and the Criminal Code (720 ILCS 5/33E). CDB change orders will be processed through the established procedures. Failure to notify the Project Development and Implementation Section in the Bureau of Design and Environment of a change order prior to the contractor(s) proceeding with any work will jeopardize Federal funding. Prior to any work proceeding, all change orders must be signed by all parties including IDOT.

Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Construction and The Bureau Of Design And Environment Before Proceeding With Any Work.

Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Statewide Program Planning Before Proceeding With Any Work.

Contract Completion

After the construction contract is completed, the RE and District Bureau of Construction will perform the project final inspection for IDOT-let contracts. CDB and the RE will perform the project final inspection for CDB-let contracts. The RE will then complete the project final pay estimate and final construction reports. Project construction documentation and funding may be audited by IDOT and FHWA.

The sponsor may schedule an opening dedication for their project and will be responsible for all maintenance and operational functions for the project.

APPENDIX 1

LIST OF ABBREVIATIONS AND ACRONYMS

AASHTO	American Association of State Highway and Transportation Officials
ADA	Americans with Disabilities Act
BCR	Bridge Condition Report
BD&E	Bureau of Design and Environment
CDB	Capital Development Board
CE	Construction Engineering (Phase III Engineering)
CLG	Certified Local Government
COD	Contract Obligation Document
DCEO	Department of Commerce and Economic Opportunity
ESR	Environmental Survey Request
FFM	Federal Flexible Match Program
FHWA	Federal Highway Administration
FY	Fiscal Year (State)
IDNR	Illinois Department of Natural Resources
IDOT	Illinois Department of Transportation
IHPA	Illinois Historic Preservation Agency
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITEP	Illinois Transportation Enhancement Program
MAP-21	Moving Ahead for Progress in the 21 st Century
MFT	Motor Fuel Tax
MPO	Metropolitan Planning Organization
MYP	Multi-Year Program
PDR	Project Development Report
PE I	Phase I Preliminary Engineering
PE II	Phase II Preliminary Engineering
PPS	Program Planning System
PTB	Professional Transportation Bulletin
RE	Resident Engineer
RTP	Recreational Trails Program
ROW	Right-of-Way
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
STIP	Statewide Transportation Improvement Program
SRTS	Safe Routes to School
TAP	Transportation Alternatives Program
TEA-21	Transportation Equity Act for the 21 st Century
TIP	Transportation Improvement Program
TMA	Transportation Management Area
TS&L	Type Size & Location
UYC	Urban Youth Corps

Appendix 2

IDOT DISTRICT ENHANCEMENT PROGRAM COORDINATORS AND DISTRICT PROGRAMMING ENGINEERS

<u>District</u>	<u>Programming Engineers (state-sponsored projects)</u>	<u>Local Roads and Streets (local-sponsored projects)</u>
1	Brian Carlson (847) 705-4080	Christopher Holt (847) 705-4201
2	Kristine Tobin (815) 284-5444	Jason Nelson (815) 284-5380
3	Tom Magolan (815) 434-8472	Don Ernat (815) 434-8402
4	Maureen Addis (309) 671-3495	Tony Sassine (309) 671-3670
5	Jeannie Bland (217) 466-7312	Scott Lackey (217) 466-7358
6	Sal Madonia (217) 782-7332	Terry Fountain (217) 782-4690
7	Tim Hemmen (217) 342-8242	Maureen Kastl (217) 342-8321
8	Tiffany Brase (618)346-3150	Lora Rensing (618) 346-3330
9	Doug Keirn (618) 351-5285	Lance Gribble (618) 351-5264 Dennis Hillebrenner (618) 351-5260

Central Office State Enhancement Coordinators

<u>Project Category</u>	<u>Coordinator</u>
Pedestrian/Bicycle Projects	Michael Brand, Acting (217) 782-7651
Historic Projects	Brad Koldehoff (217) 785-7833
Environmental Projects	Walt Zyznieuski (217) 785-4181
Scenic/Historic Highway Projects	Denise Todd (217) 785-8643

IDOT Bureau Contacts

<u>Contacts</u>	<u>Name/Address/Phone Number</u>
IDOT Office of Planning and Programming Bureau of Statewide Program Planning Questions regarding project guidelines and application, program eligibility and project selection and development	Christy Davis IDOT 2300 S. Dirksen Parkway, Rm 307 Springfield, Illinois 62764 (217) 785-8492 / (217) 782-2755 1-800-493-3434
IDOT Bureau of Design and Environment Central Office Preliminary Engineering Section Questions regarding consultant selection and agreements	Cheryl Cathey IDOT 2300 S. Dirksen Parkway, Room 330 Springfield, Illinois 62764 (217)557-4099
IDOT Bureau of Design and Environment Central Office Project Development and Implementation Section Program Support Unit Questions regarding Federal authorization, plans, specifications and cost estimates prior to state lettings	John Baranzelli IDOT 2300 S. Dirksen Parkway, Room 326 Springfield, Illinois 62764 (217) 782-7526
IDOT Bureau of Local Road and Streets Central Office Questions regarding program development	James Klein IDOT 2300 S. Dirksen Parkway, Room 205 Springfield, Illinois 62764 (217) 782-3805
IDOT Bureau of Local Road and Streets Central Office Questions regarding project development and local agreements	Tom Winkelman (217) 782-0675 Greg Lupton (217) 785-1670 IDOT 2300 S. Dirksen Parkway, Room 205 Springfield, Illinois 62764

IDOT Bicycle/Pedestrian Coordinator
Questions regarding state-sponsored
bicycle/pedestrian facilities

Michael Brand, Acting
IDOT
2300 S. Dirksen Parkway, Room
330
Springfield, Illinois 62764
(217) 782-7651

IDOT Division of Highways Manuals
<http://www.dot.il.gov/dobuisns.html#manuals>

Lisa Kidd
IDOT
Manual Sales Office
(217) 782-3464

Appendix 3

National Scenic Byway Contacts

Great River Road in Illinois

Roger L. Carmack, C.E.O.
Western Illinois Tourism
Development Office
581 South Deere Road
Macomb, Illinois 61455
(309) 837-7460

Historic National Road-Illinois

Mary Truitt, Board President
106 South Fifth Street
P.O. Box 233
Vandalia, Illinois 62471
(888) 268-0042

Illinois Lincoln Highway

Bonnie Heimbach, Byway Director
Northern Illinois Tourism
Development Office
200 South State Street
Belvidere, Illinois 61008
(815) 547-3854

Illinois River Road National Scenic Byway

Anaise Berry, Director
North Central Illinois Council of
Governments
613 West Marquette Street
Ottawa, Illinois 61350
(309) 495-5909

Meeting of the Great Rivers Scenic Byway

Brett Stawar, Director
Alton Region Convention and
Visitor's Bureau
200 Piasa Street
Alton, Illinois 62002
(618) 465-6676

Ohio River Scenic Byway

Sheryl Durham, Byway Director
Ohio River Scenic Byway
PO Box 3
Metropolis, IL 62960
(618) 524-9219

Historic Route 66 National Scenic Byway

William Kelly, Executive Director
Route 66 Heritage Project
700 East Adams Street
Springfield, Illinois 62701
(217) 525-9308

Other State Agency & Special Interest Group Contacts

State of Illinois Mississippi River Parkway
Advisory Council (Great River Road)

www.enjoyillinois.com

Illinois Office of Tourism
500 East Monroe St.
Springfield, IL 62701
217/785-6276

IHPA Division of Preservation Services
National Register of Historic Places
Questions regarding historic preservation

www.state.il.us/hpa

Andrew Heckenkamp
National Register Coordinator
IHPA
1 Old State Capitol Plaza
Springfield, IL 62701-1507
(217) 785-4324

IHPA Certified Local Government

www.state.il.us/hpa

Catherine O'Connor
Local Government Services
Coordinator
IHPA
1 Old State Capitol Plaza
Springfield, Illinois 62701-1507
(217) 785-5730

Illinois Main Street Program

www.illinoismainstreet.org

Christina Rogers
Main Street Coordinator
Illinois Department of Commerce &
Economic Opportunity
500 East Monroe, 7th Floor
Springfield, IL 62701
217.558.2880

IDNR Division of Realty & Planning

www.dnr.state.il.us

Todd Rettig, Director Realty and
Environmental Planning
IDNR
1 Natural Resources Way
Springfield, Illinois 62702-1271
(217) 782-7940

DCEO Illinois Office of Tourism

www.commerce.state.il.us/dceo

Cindi Fleischli
Tourism Development Programs
Section Manager
500 East Monroe St.
Springfield, IL 62701
217/558-2871

IHPA
Questions regarding Illinois Association of
Museums

www.state.il.us/hpa

Donna Sack
Executive Director
Illinois Association of Museums
1 Old State Capitol Plaza
Springfield, IL 62701
(217) 524-6977

Friends of the Chicago River

www.chicagoriver.org

Margaret Frisbie
Executive Director
Friends of the Chicago River
411 S. Wells St., Suite 800
Chicago, IL 60607
(312) 939-0490, ext. 22

City Year Chicago

www.cityyear.org/chicago.aspx

Johnny Barr
Director External Affairs
36 South Wabash, Suite 1500
Chicago, Illinois 60603-2953
(312) 423-7176

Lake County Youth Conservation
Corps

www.youthconservationcorps.org

Bob McCammon
Executive Director
Youth Conservation Corps, Inc.
1020 W. Greenwood Ave
Waukegan, IL 60085
(847) 623-0900

Illinois Finance Authority

Offices in Peoria, Springfield,
And Mt. Vernon

www.il-fa.com

Christopher Meister
Executive Director
180 N. Stetson, #2555
Chicago, IL 60601
(312) 651-1300
1-800-717-6066

APPENDIX 5

ILLINOIS METROPOLITAN PLANNING ORGANIZATIONS

Alton-St. Louis Urbanized Area (Illinois side):
Mr. Ed Hillhouse, Executive Director
East-West Gateway Council of Governments
One S. Memorial Drive
St. Louis, Missouri 63102-2451
(314) 421-4220
Contact: Jerry Blair
(jerry.blair@ewgateway.org) or
Jim Wild (jim.wild@ewgateway.org)

Beloit, Wisconsin Urbanized Area (Illinois side):
Mr. Robert Soltau, MPO Coordinator
State Line Area Transportation Study
City of Beloit
100 State Street
Beloit, Wisconsin 53511
(608) 364-6702
(soltaub@ci.beloit.wi.us)

Bloomington-Normal Urbanized Area:
Mr. Paul Russel, Director
McLean County Regional Planning Commission
115 E. Washington Street, Suite 1
Bloomington, Illinois 61701
(309) 828-4331
Contact: Ms. Jennifer Sicks
(jsicks@mcplan.org)

Champaign-Urbana Urbanized Area:
Mr. Cameron Moore, Executive Director
Champaign-Urbana Urbanized Area Transportation Study
1776 East Washington Street
P.O. Box 17760
Urbana, Illinois 61803-7760
(217) 328-3313
Contact: Ms. Rita Black
(rblack@ccrpc.org)

Cape Girardeau Urbanized Area
Southeast Metropolitan Planning Organization
City of Cape Girardeau
401 Independence
Cape Girardeau, MO 63703
(573) 339-6327
Contact: Kelly Green, PE
(klgreen@cityofcape.org)
(cityofcape.org)

Carbondale Urbanized Area
Southern Illinois Metropolitan Planning Organization
Greater Egypt Regional Planning and Development Commission
3000 West DeYoung Street
Suite 800B-3
Marion, IL 62959
(618) 997-9351
Contact: Ming Ma, P.E.
(mingma@greateregypt.org)
(www.greateregypt.org)

Danville Urbanized Area
Mr. Adam Aull, Study Director
Danville Area Transportation Study
City of Danville
17 West Main St.
Danville, Illinois 61832
(217) 431-2325

Davenport, Rock Island, Moline Urbanized Area (Illinois side):
Ms. Denise Bulat, Executive Director
Bi-State Regional Commission
1504 Third Avenue, P.O. Box 3368
Rock Island, Illinois 61204-3368
(309) 793-6300

(aaull@cityofdanville.org)

Contact: Ms. Gina McCullough
(gmccullough@bistateonline.org)

Decatur Urbanized Area:
Mark L. Smith, Study Director
Decatur Urbanized Area Transportation Study
Economic & Urban Development
#1 Gary K. Anderson Plaza
Decatur, Illinois 62523
(217) 424-2790
(mlsmith@decaturnet.org)
Ms. Joselyn Stewart
(217) 424-2790
(jastewart@decaturnet.org)

DeKalb Urbanized Area:
Mr. Joel Maurer, MPO Director
DeKalb/Sycamore Area Transportation Study
City of DeKalb
223 S. Fourth St., Suite A
DeKalb, Illinois 60115
(815) 748-2331
Contact: Mr. Brian Dickson
(brian.dickson@cityofdekalb.com)

Dubuque, Iowa Urbanized Area (Illinois side):
Ms. Kelley Deutmeyer, Executive Director
Dubuque Metropolitan Area
Transportation Study
East Central Intergovernmental Association
3999 Pennsylvania Ave, Suite 200
Dubuque, Iowa 52002
(563) 556-4166
Contact: Chandra Ravada
(cravada@ecia.org)

Kankakee Urbanized Area:
Mr. Michael VanMill, Executive Director
Kankakee Area Transportation Study
189 East Court Street
Kankakee, Illinois 60901
(815) 937-2940
Contact: Mike Lammey
(mlammey@k3county.net)

Northeastern Illinois Urbanized Area:
(includes Cook, DuPage, Kane, Lake, McHenry
and Will counties):
Mr. Randy Blankenhorn, Executive Director
Chicago Metropolitan Agency for Planning
233 South Wacker Drive, Suite 800
Chicago, Illinois 60606
(312) 386-8600
Contact: Ms. Jill Leary
(JLeary@cmap.illinois.gov)

Peoria Urbanized Area:
Mr. Terry D. Kohlbuss, Executive Director
Peoria/Pekin Urbanized Transportation Study
411 Hamilton Blvd., Suite 2001
Peoria, Illinois 61602
(309) 673-9330
Contact: Ms. Maggie Martino
(mmartino@tricityrpc.org)

Rockford Urbanized Area:
Mr. Stephen Ernst, Executive Director
Rockford Metro Agency for Planning
City of Rockford Community Development
Department
Public Works
425 East State Street
Rockford, Illinois 61104
(815) 987-5638
Contact: Mr. Gary McIntyre
(gary.mcintyre@ci.rockford.il.us)

Springfield Urbanized Area:
Norm Sims, Executive Director
Springfield Area Transportation Study
200 South Ninth Street
Room 212
Springfield, Illinois 62701-1629
(217) 535-3110
Contact: Mr. Dale Schultz
(dales@co.sangamon.il.us)

APPENDIX 6

Local Agency Federal Flexible Match Program

March 19, 2007

CIRCULAR LETTER 2007-03

LOCAL AGENCY FEDERAL FLEXIBLE MATCH PROGRAM

COUNTY ENGINEERS/SUPERINTENDENT OF HIGHWAYS
METROPOLITAN PLANNING ORGANIZATIONS - DIRECTORS
MUNICIPAL ENGINEERS/PUBLIC WORKS DIRECTORS
CONSULTING ENGINEERS

OVERVIEW

Provisions introduced in TEA-21 and expanded by SAFETEA-LU allow new flexibility to the Federal-Aid highway Program's matching requirements by allowing certain public donations of cash, materials, and services to satisfy the local matching requirements. Title 23 USC - "Highways", Chapter 3 - "General Provisions"; Section 323 - "Donations and Credits" outlines the legal basis for the FHWA Innovative Finance Management tool known as flexible match or soft match. Flexible match allows a wide variety of public and private contributions to be counted toward the non-Federal match (local match). In the current climate of limited local agency cash-flows, coupled with the passage of a new Federal highway transportation bill, the Bureau of Local Roads and Streets (BLRS) is implementing a Local Agency Federal Flexible Match Program (FFM).

The following benefits may be realized through the Federal Flexible Match Program:

- Acceleration of projects that receive donated resources
- Allowing local agencies to reallocate funds that otherwise would have been used to meet Federal matching requirements
- Promoting public-private partnerships by providing incentives to seek private donations

The Illinois Department of Transportation (IDOT) intends to allow funds, land or right-of-way and engineering contributions by local agencies during the initial year of implementation of this program due to the readily documented costs associated with these items. IDOT also intends to limit FFM application to use during construction and construction engineering only. As the program proceeds, it may be expanded to include other eligible items and phases.

ELIGIBLE ITEMS FOR FLEXIBLE MATCH

Flexible match, up to 20 percent of the required local share match, may be used for Federal highway programs with the **exception** of the Emergency Relief Program. High Priority Projects under previous highway bills and Transportation Enhancements are also eligible to participate in this program. Flexible match can be applied toward all or any portion of the required matching share. This flexible match will only affect individual approved projects; no carryover or credit of soft match funds for other projects will be allowed.

The following table outlines the eligibility of flexible match donations or credits and their associated donors:

Type of Donation/Credit	Source of Donation/Credit	
	<i>Private</i>	<i>Local Government</i>
Funds (see note 1)	Yes	Yes
Land or ROW (see note 2)	Yes	Yes
Materials (see note 3)	Yes	Yes
Services (see note 4)	Yes	Yes

Notes:

1. Funds must be received prior to project authorization by FHWA.
2. Land may be donated by a non-governmental owner in accordance with 23 CFR 710.505 or contributed by a local government in accordance with 23 CFR 710.507. For any donated property that was originally acquired with Federal funds, only the non-Federal share of the property may be counted as the donation.
3. Federal “Buy America” requirements apply.
4. Local government services are limited to only those services performed by local government employees in accordance with Title 23 Section 323, except in the case of the Transportation Enhancement Program which allows any services in accordance with Title 23 Section 133.

Donations or credits must be earned or given in a previous phase of a project and clearly documented in order to be utilized as flexible match. Anticipation of flexible match will not be allowed. For example: preliminary engineering (PE) or land acquisition may be applied to construction, but construction items cannot be applied to PE or land acquisition. Material contributed to a project may not be applied as credit during construction which utilizes that material; however, after the material is accepted, in-place and its value clearly documented, application to use the material donation as a credit in a later stage of the project which has not yet received Federal authorization may be permissible.

The donations or credits can consist of funds, land, materials, equipment rental, and/or services that are directly associated with the specific project. Only that portion germane to the project will be eligible for FFM credit. These flexible match donations must not have been used as match for any other Federally-funded project. Also, the dollar amount of the in-kind donations must be included

in the total project cost; these in-kind donations cannot both reduce the project cost and be used as flexible match. See the attached example (Attachment 1b) “Local Agency Federal Flexible Match (FFM).”

REQUIRED DOCUMENTATION

A local agency should notify IDOT as early in the project as possible of its intent to utilize FFM. See Attachment 1, “Request and Intent Letter” for a recommended format. A proposed project description and funding schedule should also accompany this letter (Attachment 1b). IDOT will in turn request FHWA concurrence with the local agency intent.

It is the responsibility of the local agency to maintain adequate records and documentation to verify the flexible match on any given project. The fair market value of the non-monetary donations to be used on a project must be determined and documented by the local agency in order to be considered for flexible match. Land and materials must be appraised to determine fair market value by an IDOT-approved appraiser. Contributions of land can be by fee title or any lesser property interest, i.e., dedicated right-of-way. The services must be based on the local prevailing wage rate or actual local agency expenditures with supporting invoices or time cards. All documentation supporting the claimed flexible match amount must be submitted and approved by FHWA prior to authorization for utilizing the flexible match.

Preliminary engineering performed by consultants is only eligible to be used as FFM for Transportation Enhancement projects. Local agencies will utilize selection procedures as outlined in Section 5-6.02 of the Bureau of Local Roads and Streets Manual for preliminary engineering performed by consultant services subject to IDOT approval. Flexible match amounts earned will be limited to approved Federal compensation methods for engineering services. Preliminary engineering provided by local agency employees may be used as FFM for all Federal programs except Emergency Relief and will be approved based upon actual expenditure documentation.

Upon completion, either a local city official, county engineer, or consultant that has been contracted by the local authority to act as the same, will certify the flexible match items have been completed in accordance with all applicable guidelines. See example (Attachment 2), "Certification and Notification of Flexible Match Eligible Cost." This certification should be submitted with all documentation required to justify the requested Federal Flexible Match amount.

To allow sufficient time for review and approval, local agencies should submit all final FFM documentation in a single submission to the District prior to the date of Federal authorization. This should be done far enough in advance to allow sufficient time for review by IDOT and approval by FHWA. No changes to the FFM amount will be allowed after final award of the contract.

APPLICATION

Flexible match may only be applied to projects utilizing funds after January 1, 2007. Donations or expenditures which were received or made after July 1, 2004 and which are eligible items may be requested for use as flexible match. If they are documented and approved by FHWA in accordance with these guidelines, they may be utilized for projects Federally authorized after January 1, 2007.

IMPLEMENTATION PROCEDURES

Prior to proceeding with a project that utilizes FFM, FHWA approval is required. The initial funding schedule submitted through the district with the "Request and Intent Letter" (as well as the cost estimate submitted at the same time as the joint agreement) should show the type, source and amount of FFM and the particular phases in which it is anticipated to be donated and applied. Metropolitan Planning Organization guidelines should be followed for use of FFM on Surface Transportation Program and Congestion Mitigation and Air Quality Program funds within their respective areas. This FFM cost estimate is to be submitted by the local agency to the IDOT districts.

Any questions regarding this letter may be directed to your IDOT District Local Roads Engineer.

Sincerely,

A handwritten signature in cursive script that reads "Charles J. Ingersoll". The signature is written in black ink and is positioned above the typed name and title.

Charles J. Ingersoll, P. E.
Engineer of Local Roads and Streets

ATTACHMENT 1
REQUEST AND INTENT LETTER

_____, Regional Engineer
Attention: District Bureau of Local Roads and Streets
_____, District Office Address

Date

Subject: Federal Flexible Match Request

_____ Local Agency requests that Section __-____-__-__
located _____ be considered as an eligible
Federal Flexible Match Program project.

I certify that the local agency intends to utilize donations or credits toward this project as outlined in the Illinois Department of Transportation Federal Flexible Match Program. A proposed project description and funding schedule is attached.

Sincerely,

_____, Local Agency Highway Official

ATTACHMENT 2

CERTIFICATION AND NOTIFICATION OF FLEXIBLE MATCH ELIGIBLE COST

_____, Regional Engineer
Attention: District Bureau of Local Roads and Streets
_____, District Office Address

Date

Subject: Federal Flexible Match Eligible Cost

_____ Local Agency certifies that Section __-____-__-__
located _____ has proceeded in
accordance with all applicable guidelines of the Federal Flexible Match Program.

I also certify that \$_____ is the final eligible Federal Flexible Match cost which has been
donated or credited to the project, and request that 80% of this amount be applied as part of the
local matching share for Federal funds in the project.

Detailed documentation of the eligible items and evidence of donation, fair market value or
payment are attached.

Sincerely,

_____, Local Agency Highway Official

LOCAL AGENCY FEDERAL FLEXIBLE MATCH (FFM)

	<i>Project Phase</i>	<i>Total</i>	<i>Federal Funds Used</i>	<i>% Federal Funds</i>	<i>Local Funds or Contribution</i>	<i>% Local</i>	<i>FFM Earned (80% of Local Contribution)</i>	<i>FFM Applied (additional to 80% fed)</i>
Step 1: FFM Earned	Land Acquisition	\$20,000	\$0	0%	\$20,000	100%	\$16,000	
Step 2: FFM Applied	Construction	\$100,000	80,000+16,000= \$96,000 (80% fed + FFM = total)	96%	\$4,000	4%		\$16,000
	Summary	\$120,000	\$96,000	80%	\$24,000	20%		

The following is not a part of the Circular Letter 2007-03. This has been provided as a further illustration of how Federal Flexible Match (FFM) can be applied to a project.

In the above scenario, rather than the project sponsor having to come up with \$20,000 local match towards the construction of the project, the \$16,000 approved as FFM for Land Acquisition can be utilized to offset the required 20% local match and the project sponsor only has to provide \$4,000 local match for construction. However, the FFM counts against the Federal Not-to Exceed amount that was originally approved for the project. It is not an increase in Federal funding

Let's presume that this project was approved for \$100,000 Federal. In the above example, if the construction costs exceed \$100,000, the project sponsor would be responsible for any costs over \$100,000. If the construction costs are \$100,000 or less then the project can be funded at 100% with the Federal funds.

Federal Flexible Match can be applied to construction or construction engineering.

APPENDIX 7

Supplement to the ITEP Guidelines Manual

The following provides additional clarification to the ITEP Guidelines Manual and emphasizes some important features about the ITEP program. Applicants are encouraged to consult the Guidelines Manual for details about the ITEP program and specifics about the individual project categories.

Sunset Clause: Projects must be implemented in accordance with the Sunset Clause or risk loss of funds. (See **Section I** of the Guidelines Manual).

Note: Federal Highways has the authority to pull funds from projects that have not met their limitations for project implementation which could also lead to them requiring a pay back of Federal funds that have been used on the project up to that point. For example if your community has performed all the required engineering but have not been able to get the project constructed, FHWA could not only pull the remaining funds slated for construction but can also require the local community to pay back the Federal funds used to complete the engineering. Project Sponsors who have determined construction is not feasible must submit a letter to IDOT requesting a “no-build” waiver from FHWA providing justification for the project not being constructed.

Funding Limitations: The Illinois Transportation Enhancement Program (ITEP) should not be thought of as a sole source to complete your project from beginning to end, rather the ITEP program should be considered as an assistance program to help communities achieve their vision. Some projects may only receive partial funding. Sponsors should seek alternative funding sources or be able to make up funding shortfalls with their own funds. There are a variety of other funding sources available to communities.

There is no established minimum or maximum amount of Federal funds you can apply for. However, if your total project costs are in the range of \$2.0 - \$2.5 M, the likelihood of being fully funded certainly diminishes. If the total Federal amount being requested is approaching the \$2.0 M mark, sponsors should break the project into logical segments that can be constructed separately. Project sponsors need to consider phasing of larger more expensive projects and build in flexibility in their designs and determine which segment(s) is highest priority. This enables the Department to consider partial funding for a project that may have little chance for funding otherwise. This is not a requirement but is strongly encouraged.

Safe Routes to Schools: These funds cannot be used as a match to Safe Routes to School Program funds. However, projects can be funded that would compliment or extend a project funded under Safe Routes to School Program.

Street & Pedestrian Lighting: Street Lighting is eligible for 50 percent funding unless in a designated Historic District which would qualify for 80 percent funding if period lighting is being utilized. Proof of the historic designation is the responsibility of the project sponsor. Documentation must be submitted as part of your application to be eligible for 80% funding. If the historic designation has not been obtained before application submittal, the street lighting must be adjusted to a 50% participation rate.

Street lighting as a stand-alone project is ineligible. This would have to be part of a qualified landscape/streetscape project to be eligible. If your project incorporates both pedestrian and

street lighting (not within a designated historic district), the street lighting portion should be separated out in the cost estimate at 50% funding. Pedestrian lighting is eligible at 80%.

Cost Estimates: IDOT encourages project sponsors to enlist someone familiar with the type of project proposed to develop the detailed cost estimate. Cost estimates should list any known ineligible items separately. All items should be included in the Total Project Cost but eligible and ineligible items should be separated. Ineligible items will be 100 percent responsibility of the project sponsor and do not count towards the required 20 percent local match. It is not feasible to list all ineligible items for every circumstance but contained below and within Section C are several examples under each category. **Contingencies and inflation factors are not eligible and should not be listed as a separate line item.** IDOT realizes that planning estimates need to account for unforeseen costs including the rising costs of construction, but there should be other ways to account for this as you prepare your estimates.

Ineligible Items: Keep in mind some ineligible items will have to be reviewed on a case by case basis and exceptions may be granted based on circumstances. If a project element is questionable, funds may not automatically be deducted during application reviews, but that expenditure will have to be justified as the project is developed.

Examples:

- Roadway work is ineligible – includes, but not limited to: widening or narrowing of the roadway, surface removal and resurfacing, patching unless it is refined to small areas required by construction methods to do the ITEP eligible components. Work involving on-street parking areas and striping of the roadway and parking areas are ineligible.
- Curb or Curb & Gutter – typically considered as part of the roadway. If curb & gutter can be justified as part of the streetscape improvements such as to accommodate sidewalk ADA compliance or if existing sidewalk and curb were constructed together as one component, then the curb & gutter would be eligible.
- Storm sewers – If required due to the ITEP funded project and depending on eligibility of any proposed curb and gutter, storm sewers may be eligible. Only that part germane to the ITEP project and within the established ITEP project limits would be eligible. This will have to be looked at on a case-by-case basis.
- Medians – Removal of raised medians or construction of new medians is considered as roadway work and ineligible. Replacement of deteriorated median curbs is considered maintenance work and is ineligible. Basically only the actual landscaping of a median is eligible which would include median surface removal in the areas being landscaped.
- Sanitary sewers – ineligible
- Water mains – ineligible
- Guardrail – ineligible (decorative or otherwise) unless required as part of a bicycle/pedestrian structure. Other instances may qualify and would have to be looked at on a case by case basis.
- Street lighting - as a stand-alone project is ineligible
- Traffic Signals – installation of new, upgrades to, or signal interconnects are ineligible. Only pedestrian related improvements that are germane to the ITEP project are eligible (such as ped buttons, ped head signals, audible ped signals)

- Curb Bump-Outs – If the proposed streetscape/landscape project includes bump-outs and the purpose of the bump outs is to provide for more pedestrian storage or to reduce the travel distance/time for pedestrian crossings, then bump-outs could be justified. However, in the example where the ITEP project is being implemented with a widening & resurfacing project that includes new curb and gutter then the curb bump-outs should be included with the roadway work and would not be eligible for ITEP funds. This would also apply for any work related to the storm sewers as well. ITEP can still be used for the sidewalks and other streetscape/landscape improvements but not the curb itself.
- Parking Lots – only parking areas related to a bikeway trailhead, turnouts, overlooks, viewing areas or related type of improvements are eligible. Community parking lots, ride share or transit station parking lots are not eligible
- Utility Relocation: Although utility relocations can be eligible, they cannot be the major element in a project. If you are seeking Federal participation for utility relocation costs and that amount exceeds fifty percent (50%) of the construction cost, your project will be marked ineligible. Only utility work directly related to the eligible ITEP funded project would be eligible. For example: If you want to bury overhead utility lines for an additional four blocks beyond what the project limits of the ITEP funded project was, the costs for the additional four blocks would not be eligible.
- Benches: Benches as part of a landscape and scenic beautification project or a bike and pedestrian project are eligible as long as they are permanent in nature (built-in) or bolted/anchored down in some fashion. See category eligibility for limitations on number of benches allowed.

Specific eligible items in a landscape/streetscape project are planter boxes (permanent in nature), perennials, wildflowers, trees, tree grates, shrubs, street and pedestrian lighting, benches and sidewalks. Irrigation systems germane to the project would be eligible. Supplemental watering beyond what is considered as reasonable and customary for initial plant growth is considered as maintenance and is ineligible.

APPENDIX 8

Supplement to the ITEP Guidelines Manual Sample Cost Estimates

The following sample cost estimates are provided as a guideline to exhibit the type of details that should be reflected in your cost estimate. Not all projects will require the same pay items, unit costs vary greatly depending on what part of the state you are in, and not all projects will have this amount of detail available to them, but every effort should be made to capture the type of project details displayed in these sample cost estimates.

NOTE: The following sample cost estimates may not accurately reflect what items were approved as eligible nor does it reflect the amount of funds approved for that project. Unit costs are in no way meant to be reflective of today's current costs.

Bicycle and Pedestrian Facility Project Cost Estimate (Urban Area)

This is a good example of the type of details IDOT is looking for when you submit a cost estimate. Notice that the Federal and local portions for ROW are shown at 50% as they should be. If there were any ineligible items in this project a separate column should be added to designate those items. Ineligible items are the responsibility of the project sponsor. **Lighting of a bicycle facility is very difficult to justify. If justification for the lighting is not provided with your application, this item would typically be marked ineligible (or approved funds will be adjusted later if justification cannot be established).** See "Provision of facilities for pedestrians and bicycles" in Section C for more information on the justification required for lighting a bicycle facility.

Note: Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

ITEM	DESCRIPTION	UNITS	TOTAL QUANTITY	UNIT COST	LOCAL MATCH	FEDERAL SHARE	TOTAL COST
1	EROSION CONTROL	FOOT	2750	8.40	\$ 4,620.00	\$ 18,480.00	\$ 23,100.00
2	PORTLAND CEMENT CONCRETE DRIVEWAY PAVEMENT, 6 INCH	SQ YD	674	60.30	\$ 8,127.48	\$ 32,509.90	\$ 40,637.38
3	PORTLAND CEMENT CONCRETE SIDEWALK 5 INCH	SQ FT	54450	5.36	\$ 56,370.40	\$233,481.60	\$ 291,852.00
4	PAVEMENT AND DRIVEWAY REMOVAL	SQ YD	1530	12.06	\$ 3,690.84	\$ 14,763.37	\$ 18,454.21
5	COMBINATION CURB AND GUTTER REMOVAL	FOOT	1848	6.70	\$ 2,476.32	\$ 9,905.28	\$ 12,381.60
6	SIDEWALK REMOVAL	SQ FT	25988	1.68	\$ 8,705.81	\$ 34,823.25	\$ 43,529.06
7	COMBINATION CONCRETE CURB AND GUTTER	FOOT	1848	33.50	\$ 12,381.60	\$ 49,526.40	\$ 61,908.00
8	INLET REPLACEMENT / RELOCATE / LEVEL	EACH	11	1,700.00	\$ 3,740.00	\$ 14,960.00	\$ 18,700.00
9	TRAFFIC CONTROL AND PROTECTION	EACH	2	26,800.00	\$ 10,720.00	\$ 42,880.00	\$ 53,600.00
10	SIGNING	EACH	1	26,800.00	\$ 5,360.00	\$ 21,440.00	\$ 26,800.00
11	LIGHTING	EACH	79	2,010.00	\$ 31,838.40	\$127,353.60	\$ 159,192.00
12	GRADING AND SHAPING	STA	55	469.00	\$ 5,159.00	\$ 20,636.00	\$ 25,795.00
13	CONSTRUCTION LAYOUT	EACH	1	40,200.00	\$ 8,040.00	\$ 32,160.00	\$ 40,200.00
ESTIMATED CONSTRUCTION COST				Sum :	\$163,229.85	\$652,919.40	\$ 816,149.25
CONTINGENCY 25%					\$ 40,807.46	\$163,229.85	\$ 204,037.31
TOTAL CONSTRUCTION COST					\$204,037.31	\$816,149.25	\$ 1,020,186.56
COMMERCIAL ROW		SQ FT	1750	5.00	\$ 4,375.00	\$ 4,375.00	\$ 8,750.00
RESIDENTIAL ROW		SQ FT	14737.5	1.00	\$ 7,368.75	\$ 7,368.75	\$ 14,737.50
TEMPORARY EASEMENTS		SQ FT	22000	0.50	\$ 5,500.00	\$ 5,500.00	\$ 11,000.00
TOTAL ROW COST					\$ 17,243.75	\$ 17,243.75	\$ 34,487.50

Bicycle and Pedestrian Facility Project Cost Estimate (Rural Area)

This is a good example of the type of details IDOT is looking for when you submit a cost estimate. It describes some of the assumptions and methods used in their calculations. If there were any ineligible items in this project a separate column should be added to designate those items. Ineligible items are the responsibility of the project sponsor.

Note: Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

Item No.	Description	Unit	Quantity	Unit Price	Total Price
1	Tree Removal	Acre	6	\$ 3,000.00	\$ 18,000.00
2	Earth Excavation	Cu. Yd.	22,500	\$ 8.00	\$ 180,000.00
3	Aggregate Base Course	Ton	5,300	\$ 30.00	\$ 159,000.00
4	Hot Mix Asphalt Surface Course	Ton	2,200	\$ 75.00	\$ 165,000.00
5	HDPE Culvert Pipe, 12" Diameter	Foot	500	\$ 25.00	\$ 12,500.00
6	HDPE Culvert Pipe, 24" Diameter	Foot	250	\$ 40.00	\$ 10,000.00
7	24" RCCP Storm Sewer Pipe	Foot	300	\$ 65.00	\$ 19,500.00
8	Inlets for Storm Sewer Pipe	Each	2	\$ 1,000.00	\$ 2,000.00
9	24" Flared End Sections	Each	2	\$ 500.00	\$ 1,000.00
10	PCC Sidewalk, 6"	Sq. Ft.	1,920	\$ 12.00	\$ 23,000.00
11	Detectable Warnings	Sq. Ft.	768	\$ 65.00	\$ 49,900.00
12	Segmental Concrete Block Retaining Wall	Sq. Ft.	900	\$ 50.00	\$ 45,000.00
13	Pavement Striping	Lump Sum	1	\$ 8,000.00	\$ 8,000.00
14	Seed, Fertilize and Mulch	Acre	10	\$ 2,000.00	\$ 20,000.00
15	Temporary Erosion Control Seeding	Acre	10	\$ 300.00	\$ 3,000.00
16	Install, Maintain and Remove Silt Fence	Foot	10,000	\$ 4.00	\$ 40,000.00
Estimated Construction:					\$ 755,900.00
20% Construction Contingency:					\$ 151,000.00
Total Construction:					\$ 906,900.00

Phase I Design Engineering:	\$ 73,000.00
Phase II Design Engineering:	\$ 63,000.00
Construction Engineering & Staking:	\$ 91,000.00
Total Engineering:	\$ 227,000.00

* Total Estimated Engineering & Construction Costs:	\$ 1,133,900.00
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Estimate Reference Information:

1) Estimated Trail Length: 11,800 Feet
2) Estimated Trail Width: 10 Foot Hot Mix Asphalt, 12 Foot Aggregate Base Course
3) Estimated Thickness: 3" Hot Mix Asphalt, 6" Aggregate Base Course
4) Pipe size, location & length roughly estimated from USGS quadrangle maps
5) Assume ADA ramps will be required at all street, alley, and commercial entrance crossings (48 total ramps)
6) Earthwork was roughly estimated using the 10' contour lines on the USGS quadrangle maps
7) Unit prices based on current (2008) construction costs

* THE ABOVE COSTS DO NOT INCLUDE ANY COST ESTIMATES FOR LAND ACQUISITION, PROPERTY SURVEYS FOR LAND ACQUISITION, LEGAL FEES, UTILITY RELOCATION COSTS, GRANT APPLICATION FEES, OR ANY OTHER MISCELLANEOUS COSTS THAT MIGHT BE INCURRED DURING COMPLETION OF THIS PROJECT.

Landscape and Scenic Beautification Project Cost Estimate (Streetscape Project)

The following sample cost estimate is a good example of a summary cost sheet since it provides separate columns for Federal Share, Local Share and Ineligible items. What it doesn't provide is the calculations used to determine these costs. A more detailed estimate should be provided that shows the how many of each item is proposed and the unit cost associated with that item.

NOTE: Ineligible items in this estimate which should have been shown in the ITEP Ineligible column are Benches and Trash Receptacles. Also Contingencies are not an allowable line item and cannot be included as such. In this example the amount for

Benches, Trash Receptacles and Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

Item	Federal Share	Local Share	ITEP Ineligible	Total Cost	Eligibility
Streetscape PCC Sidewalk	\$152,616.00	\$38,154.00	\$0.00	\$190,770.00	80/20
Type A Sidewalk Border Pavers	\$74,100.00	\$18,525.00	\$0.00	\$92,625.00	80/20
Type B Island Pavement Pavers	\$59,760.00	\$14,940.00	\$0.00	\$74,700.00	80/20
Tactile Brick Warning Border for Cross Walks	\$12,096.00	\$3,024.00	\$0.00	\$15,120.00	80/20
Ornamental Trees	\$43,600.00	\$10,900.00	\$0.00	\$54,500.00	80/20
Perennials, Shrubs, Groundcover	\$60,240.00	\$15,060.00	\$0.00	\$75,300.00	80/20
Pedestrian Light Fixtures	\$499,200.00	\$124,800.00	\$0.00	\$624,000.00	80/20
Street Light Fixtures	\$112,000.00	\$112,000.00	\$0.00	\$224,000.00	50/50
Pedestrian Bollards for Decorative Fence	\$44,400.00	\$11,100.00	\$0.00	\$55,500.00	80/20
Decorative Fencing	\$32,400.00	\$8,100.00	\$0.00	\$40,500.00	80/20
Benches	\$22,400.00	\$5,600.00	\$0.00	\$28,000.00	80/20
Trash Receptacles	\$13,600.00	\$3,400.00	\$0.00	\$17,000.00	80/20
Downtown Streetscape Gateway/Arch Feature	\$20,000.00	\$5,000.00	\$0.00	\$25,000.00	80/20
Construction Sub-Total	\$1,146,412.00	\$370,603.00	\$0.00	\$1,517,015.00	
Construction Contingency	\$138,282.00	\$44,703.00	\$0.00	\$182,985.00	
Construction Total	\$1,284,694.00	\$415,306.00	\$0.00	\$1,700,000.00	

Landscape and Scenic Beautification Project Cost Estimate (Streetscape Project)

The following sample cost estimate is a good example since it provides quantities, unit costs and separate columns for Federal Share, Sponsor Share and Ineligible items. It also breaks the project out by specific types of improvements. Please note that although most of the work included under the intersection improvement is roadway related work and not eligible for ITEP funding, it should be included as part of the overall project scope of work.

Items	Unit	Quantity	Unit Price	Total Cost
STREET LIGHTING AND TRAFFIC SIGNALS				
Traffic Signal Modernization (Batavia Road)	L SUM	1	\$35,000	\$35,000
Emergency Vehicle Pre-emption	L SUM	1	\$16,000	\$16,000
Aesthetic Upgrades to Traffic Signals (Route 59, Batavia Road, Winfield Rd)	FACH	3	\$20,000	\$60,000
Electrical Conduit and Handholes (for Batavia Road Street Lights)	L SUM	1	\$50,000	\$50,000
Street Lighting at Batavia Road	EACH	20	\$10,000	\$200,000
Street Lighting Aesthetic Upgrade at Route 59	EACH	20	\$5,000	\$100,000

Cost Breakdown by Funding Source			
Federal Share	Sponsor Share (Local Match)	Ineligible Items	Total Cost
\$0	\$0	\$35,000	\$35,000
\$0	\$0	\$16,000	\$16,000
\$0	\$0	\$60,000	\$60,000
\$25,000	\$25,000	\$0	\$50,000
\$100,000	\$100,000	\$0	\$200,000
\$50,000	\$50,000	\$0	\$100,000

Subtotal: \$461,000

\$175,000 \$175,000 \$111,000 \$461,000

BRIDGE ENHANCEMENTS				
Guardrail Upgrade at West Branch DuPage River Bridge	FOOT	800	\$25	\$20,000
West Branch DuPage River Bridge Enhancements (decorative railings, architectural elements, accent lighting)	L SUM	1	\$150,000	\$150,000
Guardrail Upgrade at Ferry Creek Bridge	FOOT	600	\$25	\$15,000
Ferry Creek Bridge Enhancements (decorative railings, architectural elements, accent lighting)	L SUM	1	\$100,000	\$100,000

\$16,000	\$4,000	\$0	\$20,000
\$120,000	\$30,000	\$0	\$150,000
\$12,000	\$3,000	\$0	\$15,000
\$80,000	\$20,000	\$0	\$100,000

Subtotal: \$285,000

\$228,000 \$57,000 \$0 \$285,000

LANDSCAPE AND SIGNAGE				
Prairie Path Landscape Improvements (clear invasives, trees, shrubs, seeding, wildflowers)	L SUM	1	\$150,000	\$150,000
Irrigation in Civic Center Area	L SUM	1	\$50,000	\$50,000
City Entry Signs	EACH	3	\$15,000	\$45,000
Central Community Events Sign	EACH	1	\$75,000	\$75,000
Wayfinding Signs	EACH	10	\$5,000	\$50,000

\$120,000	\$30,000	\$0	\$150,000
\$40,000	\$10,000	\$0	\$50,000
\$36,000	\$9,000	\$0	\$45,000
\$60,000	\$15,000	\$0	\$75,000
\$40,000	\$10,000	\$0	\$50,000

Subtotal: \$370,000

\$296,000 \$74,000 \$0 \$370,000

HARD SURFACE IMPROVEMENTS				
Sidewalk	SQ FT	7671	\$5	\$38,355
Bike Path	SQ YD	3791	\$25	\$94,775
Colored, Patterned Concrete Crosswalks	SQ FT	9000	\$10	\$90,000
Colored, Patterned Concrete Corner Islands	SQ FT	2500	\$10	\$25,000
Colored, Patterned Concrete Sidewalk Corners	SQ FT	2500	\$15	\$37,500
Colored, Patterned Concrete Median Nosings	SQ FT	7500	\$10	\$75,000

\$30,684	\$7,671	\$0	\$38,355
\$75,820	\$18,955	\$0	\$94,775
\$72,000	\$18,000	\$0	\$90,000
\$20,000	\$5,000	\$0	\$25,000
\$30,000	\$7,500	\$0	\$37,500
\$60,000	\$15,000	\$0	\$75,000

Subtotal: \$360,630

\$288,504 \$72,126 \$0 \$360,630

ROCKWELL STREET/ ROUTE 56/ PRAIRIE PATH INTERSECTION IMPROVEMENTS				
Clearing and Grubbing	L SUM	1	\$1,875	\$1,875
Mobilization	L SUM	1	\$22,500	\$22,500
Traffic Control and Protection	L SUM	1	\$3,750	\$3,750
Earth Excavation, Special	CU YD	400	\$30	\$12,000
Borrow Excavation	CU YD	750	\$30	\$22,500
Aggregate Base Course, 12"	SQ YD	1420	\$15	\$21,300
HMA Surface Course, 2"	SQ YD	1420	\$12	\$17,040
HMA Binder Course, 11"	SQ YD	0	\$0	\$0
HMA Binder Course, 4"	SQ YD	1420	\$22	\$31,240
Concrete Curb and Gutter	FOOT	1150	\$25	\$28,750
Concrete Sidewalk	SQ FT	2100	\$8	\$15,750
Aggregate Bike Trail	SQ YD	260	\$25	\$6,500
Storm Manhole	EACH	2	\$2,000	\$4,000
Catch Basin	EACH	4	\$1,500	\$6,000
Storm sewer pipe, 15"	FOOT	250	\$50	\$12,500
Storm sewer pipe, 24"	FOOT	0	\$75	\$0
Retaining Wall	SQ FT	750	\$50	\$37,500
Landscaping elements	L SUM	1	\$25,000	\$25,000
Pavement Marking and Signage	L SUM	1	\$2,250	\$2,250
Colored, Patterned Concrete Crosswalks	SQ FT	1000	\$10	\$10,000

\$0	\$0	\$1,875	\$1,875
\$0	\$0	\$22,500	\$22,500
\$0	\$0	\$3,750	\$3,750
\$0	\$0	\$12,000	\$12,000
\$0	\$0	\$22,500	\$22,500
\$0	\$0	\$21,300	\$21,300
\$0	\$0	\$17,040	\$17,040
\$0	\$0	\$0	\$0
\$0	\$0	\$31,240	\$31,240
\$0	\$0	\$28,750	\$28,750
\$12,600	\$3,150	\$0	\$15,750
\$5,200	\$1,300	\$0	\$6,500
\$0	\$0	\$4,000	\$4,000
\$0	\$0	\$6,000	\$6,000
\$0	\$0	\$12,500	\$12,500
\$0	\$0	\$0	\$0
\$0	\$0	\$37,500	\$37,500
\$20,000	\$5,000	\$0	\$25,000
\$0	\$0	\$2,250	\$2,250
\$8,000	\$2,000	\$0	\$10,000

Subtotal: \$280,455

\$45,800 \$11,450 \$223,205 \$280,455

Construction Total: \$1,757,085

\$1,033,304 \$389,576 \$334,205 \$1,757,085

Preliminary Engineering I (10%)	L SUM	1	\$175,709	\$175,709
Preliminary Engineering II (10%)	L SUM	1	\$175,709	\$175,709
Right-of-Way Acquisition (50/50)	L SUM	1	\$0	\$0
Utility Relocations	L SUM	1	\$200,000	\$200,000
Construction Engineering (10%)	L SUM	1	\$175,709	\$175,709

\$103,330	\$38,958	\$33,421	\$175,709
\$103,330	\$38,958	\$33,421	\$175,709
\$0	\$0	\$0	\$0
\$0	\$0	\$200,000	\$200,000
\$103,330	\$38,958	\$33,421	\$175,709

Project Total: \$2,484,211

\$1,343,295 \$506,449 \$634,467 \$2,484,211

Historic Preservation Project Cost Estimate

One of the good features about this sample cost estimate is that the project sponsor listed three separate funding scenarios based on the urgency and scope of work for each phase. If the ITEP program could not fund the full renovation, the estimate allows IDOT to provide enough funding to complete Level 1, Level 2 or any combination of items to make this a viable project.

Note: Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

Train Station Phased Renovation

Phased Budget Estimates: Level 3		Level 1	Level 2	Level 3
Item	Description	Emergency Stabilization	Enhanced Stabilization	Full Renovation
A.	Slate Roof (*Level 1= Asphalt Shingle)	\$ 150,592	\$ 473,200	\$ 473,200
B.	Roof Dormers		\$ 36,837	\$ 36,837
C.	Remove Warming House Gables		\$ 14,830	\$ 14,830
D.	Stucco	\$ 5,200	\$ 15,101	\$ 15,101
E.	Masonry Knee Wall/ Ticket Bay Window			\$ 74,152
F.	Exterior Woodwork	\$ 41,600	\$ 145,600	\$ 444,912
G.	Masonry	\$ 5,200	\$ 36,816	\$ 184,080
H.	Windows		\$ 20,800	\$ 93,288
I.	Doors		\$ 14,560	\$ 61,568
J.	Toilet Room - Option 1			\$ 61,707
K.	Reopen Tunnel Stairs			\$ 50,253
L.	Interior Flooring			\$ 51,755
M.	Plaster Walls			\$ 116,542
N.	Exit Signs/EM Lighting			\$ 97,344
O.	Fire Protection			\$ 64,478
P.	Mechanical			\$ 223,704
Q.	Other			\$ 20,904
	Subtotal	\$ 202,592	\$ 757,744	\$2,084,655
	General Conditions (6 months)		\$ 72,800	\$ 218,400
	Bid Documents		\$ 2,080	\$ 5,200
	Subtotal	\$ 202,592	\$ 832,624	\$2,308,255
	Fee (4%)	\$ -	\$ 33,305	\$ 92,330
	Insurance (1%)	\$ -	\$ 8,326	\$ 23,083
	Contingency (15%)	\$ 10,130	\$ 124,894	\$ 346,238
	Subtotal Construction Services	\$ 212,722	\$ 999,149	\$2,769,906
	Design / Engineering Fees (15%)	\$ -	\$ 113,662	\$ 312,698
	Total Estimated Restoration Cost	\$ 212,722	\$ 1,112,810	\$3,082,604

*Estimate for a cedar shake roof is \$248,560.

APPENDIX 9

References to United States Code of Regulations (New for 2013)

USC Title 23 Highways §319. Landscaping and scenic enhancement

(a) Landscape and Roadside Development.—The Secretary may approve as a part of the construction of Federal-Aid highway highways the costs of landscape and roadside development, including acquisition and development of publicly owned and controlled rest and recreation areas and sanitary and other facilities reasonably necessary to accommodate the traveling public, and for acquisition of interests in and improvement of strips of land necessary for the restoration, preservation, and enhancement of scenic beauty adjacent to such highways.

USC Title 23 Highways §133. Surface transportation program

(b) Eligible Projects.—A State may obligate funds apportioned to it under section 104(b)(3) for the surface transportation program only for the following:

(11) In accordance with all applicable Federal law and regulations, participation in natural habitat and wetlands mitigation efforts related to projects funded under this title, which may include participation in natural habitat and wetlands mitigation banks; contributions to statewide and regional efforts to conserve, restore, enhance, and create natural habitats and wetlands; and development of statewide and regional natural habitat and wetlands conservation and mitigation plans, including any such banks, efforts, and plans authorized pursuant to the Water Resources Development Act of 1990 (including crediting provisions). Contributions to such mitigation efforts may take place concurrent with or in advance of project construction. Contributions toward these efforts may occur in advance of project construction only if such efforts are consistent with all applicable requirements of Federal law and regulations and State transportation planning processes. With respect to participation in a natural habitat or wetland mitigation effort related to a project funded under this title that has an impact that occurs within the service area of a mitigation bank, preference shall be given, to the maximum extent practicable, to the use of the mitigation bank if the bank contains sufficient available credits to offset the impact and the bank is approved in accordance with the Federal Guidance for the Establishment, Use and Operation of Mitigation Banks (60 Fed. Reg. 58605 (November 28, 1995)) or other applicable Federal law (including regulations).

USC Title 23 Highways §328 Eligibility for environmental restoration and pollution abatement

(a) In General.—Subject to subsection (b), environmental restoration and pollution abatement to minimize or mitigate the impacts of any transportation project funded under this title (including retrofitting and construction of stormwater treatment systems to meet Federal and State requirements under sections 401 and 402 of the Federal Water Pollution Control Act (33 U.S.C. 1341; 1342)) may be carried out to address water pollution or environmental degradation caused wholly or partially by a transportation facility.

(b) Maximum Expenditure.—In a case in which a transportation facility is undergoing reconstruction, rehabilitation, resurfacing, or restoration, the expenditure of funds under this section for environmental restoration or pollution abatement described in subsection (a) shall not exceed 20 percent of the total cost of the reconstruction, rehabilitation, resurfacing, or restoration of the facility.

USC Title 23 Highways §329. Eligibility for control of noxious weeds and aquatic noxious weeds and establishment of native species

(a) In General.—In accordance with all applicable Federal law (including regulations), funds made available to carry out this section may be used for the following activities if such activities are related to transportation projects funded under this title:

(1) Establishment of plants selected by State and local transportation authorities to perform one or more of the following functions: abatement of stormwater runoff, stabilization of soil, and aesthetic enhancement.

(2) Management of plants which impair or impede the establishment, maintenance, or safe use of a transportation system.

(b) Included Activities.—The establishment and management under subsection (a)(1) and (a)(2) may include—

(1) right-of-way surveys to determine management requirements to control Federal or State noxious weeds as defined in the Plant Protection Act (7 U.S.C. 7701 et seq.) or State law, and brush or tree species, whether native or nonnative, that may be considered by State or local transportation authorities to be a threat with respect to the safety or maintenance of transportation systems;

(2) establishment of plants, whether native or nonnative with a preference for native to the maximum extent possible, for the purposes defined in subsection (a)(1);

(3) control or elimination of plants as defined in subsection (a)(2);

(4) elimination of plants to create fuel breaks for the prevention and control of wildfires; and

(5) training.

(c) Contributions.—

(1) In general.—Subject to paragraph (2), an activity described in subsection (a) may be carried out concurrently with, in advance of, or following the construction of a project funded under this title.

(2) Condition for activities conducted in advance of project construction.—An activity described in subsection (a) may be carried out in advance of construction of a project only if the activity is carried out in accordance with all applicable requirements of Federal law (including regulations) and State transportation planning processes.

