CREATE Phase II and Phase III Flow Process

Beginning of Phase II Activities

RR needs consultant for final design

NO

RR submits Phase I PR to IDOT for signature

IDOT reviews Phase I PR and requests draft Phase II SRA from BDE if design funds are needed

IDOT approves Phase I PR

YES

FHWA approves Phase I PR

YES

Official End Phase I

Final Phase I Project Report Approved

NO

BDE submits draft SRA back to DPIT

NO

NO

RR revises PR

NO

Phase I Activities (Continued)

YES

No SRA is compiled, process stops RR pays for design

NO

CTCO concurs with Request

YES

YES

RR requests SRA for Phase II Final Engineering by formal Letter to IDOT

NOTE 1

RR Submitts Selection Process to IDOT for approval

Not Approved

IDOT reviews Selection Process

Approved

RR Submits draft RFP to IDOT for approval

IDOT Issues DBE % based on RFP

RR revises and resubmits RFP

IDOT approves RFP

NO

YES

RR receives Notice To Advertise

NOTE 2

RR supplies final ITB to IDOT for WEB posting

IDOT posts ITB on createprogram.org

RR advertises RFP publicly

NOTE 3

Consultant submits proposal and qualifications

RR performs Approved Selection Process On proposals

NOTE 4

Minimum 3-weeks Process
23 CFR Part 172

RR supplies "Certification of Publication" of ITB to IDOT for all 3 newspapers

RR confirms DBE status within Illinois Unified Certification Program and best-faith efforts

RR selects qualified consultant and submits all proposals including debarment and lobbying certs to IDOT for review

Not Approved

IDOT analyzes and concurs with selection

Approved

IDOT requests FHWA concurrence

NOTE 6

FHWA concurs with selection

Not Approved

Approved

RR awards and executes Professional Services contract

RR Final Engineering Services RFP Process Mapping for CREATE Program for Freight Railroads

Phase II Services

Phase II SRA

IDOT approves Phase II SRA

YES

Is this a MUSRA?

YES

NO

IDOT Issues "Notice to Design" and sends MUSRA to RR for signatures

NOTE 12

NO

IDOT submits SRA to RR for signature

RR signs and returns SRA to IDOT for Signatures

IDOT signs SRA

IDOT issues NTP

Is this a ROW Phase II SRA?

YES

RR modifies geometry and ROW needed

YES

CREATE pays for Revised Engineering if required

No

RR requires ROW

Yes

RR secures and acquires ROW or easements - must follow the Uniform Act

NOTE 11

No

UCs perform work as needed prior to the various Phase III segments of the CREATE Project

RR Begins Design

Phase II Final Design

Design changes from PR

NO

RR submits Bill to IDOT for work performed

Yes

RR compiles plan + documentation outlining changes

CTCO approves request?

NO

Design Changes are dropped

NO

YES

IC Approves

NO

Management Committee Approves

NO

Stakeholder Approval

YES

YES

YES

Budget and/or Scope Change

YES

YES

NO

Environmental issues

YES

IDOT compiles Tech Memo

NO

NO

YES

FHWA accepts Tech Memo

RR performs requested design change

CREATE Phase I & II Plan Numbering System
(July 10, 2008)

CREATE Project Number — Such as WA3 or B3 (this can only be one project)

Lead Railroad — Use RR initials such as UP or NS

X X X — Replace X with T if Track is included in this Plan; Replace X with B if Bridge is included in this Plan; Replace X with S if Signal is included in this Plan

Sequential numbering by CREATE Project — Begin with 001

Segment Letter — This will be used if a Project is broken up into segments and will have muliple Plans assigned to the segment which may be out of sequence (for example, a signal Plan for an earlier segment may show up much later). Begin with the first segment as A, the second segment as B, third C, etc.

HOWEVER if the entire project is to be only one segment the designation will be Z

Contract Type

PE – Preliminary engineering for Phase I part B work

FE – Final engineering for Phase II PS&E work

FA – Force account work done by railroad forces

BD – Biddable work done by the low qualified bidder

NB – Non-bid work done by a pre-existing contractor

ROW – Right -of-Way purchase

Example; B3-UP-TXB-006-C-BD

This is the sixth Plan for UPRR CREATE project B3 and includes track and bridge (no signal work) and is part of the third segment which was bid out to the low qualified contractor.

Phase II Design Report (PS&E)

IDOT receives invoice for review

Contract Compliance approval

NO

Redline ineligible charges and inform RR

NO

Scope of work Approval

YES

YES

Process Bill for Payment (or approval in the case of ACSRA)

Design and Billing continues

RR Completes PS&E

RR needs CM consultant?

NO

Is this a Bid PS&E?

NO

YES

RR approves Pre-final Construction Cost Estimate & Geometrics

NO

IDOT approves Pre-final Construction Cost Estimate & Geometrics

NO

FHWA approves Pre-final Construction Cost Estimate & Geometrics

NO

YES

RR submits cost estimate

YES

CTCO Determines Correct Estimate

NO

Form 3.1 Matches Pre-final Estimate

YES

IDOT requests draft Phase III SRA from BDE

IDOT reviews PS&E

IDOT determines bid DBE goal for PS&E and submits to RR

RR requests SRA for Phase III construction by formal letter to IDOT

CTCO concurs with Request

YES

RR submits PS&E to IDOT for signature

NOTE 1

No

RR revises request

No

No SRA is compiled, process stops

Yes

IDOT signs PS&E

NO

YES

IDOT submits PS&E for signature

FHWA signs PS&E

NOTE 10

Official End Phase II

PS&E Approved

NO

RR revises PS&E

Phase III Bid/SRA

Phase III CM

Beginning of Phase III CM activities

RR Submitts Selection Process to IDOT for one time approval

Not Approved

IDOT reviews Selection Process

Approved

RR submits draft RFP to IDOT for approval

IDOT Issues DBE % based on RFP

RR revises and resubmits RFP

IDOT approves RFP

NO

YES

RR receives Notice To Advertise

NOTE 2

RR supplies final ITB to IDOT for WEB posting

IDOT requests to webmaster to post ITB on createprogram.org

RR advertises RFP publicly

NOTE 3

Consultant submit proposal and qualifications

RR opens proposals publicly

Minimum 3-weeks Process
23 CFR Part 172

RR supplies "Certification of Publication" of ITB to IDOT for all 3 newspapers

RR performs Approved Selection Process On proposals

NOTE 4

RR confirms DBE status within Illinois Unified Certification Program and best-faith efforts including debarment and lobbying certs

RR selects qualified consultant and submits all proposals to IDOT for review

Not Approved

IDOT analyzes and concurs with selection

Approved

IDOT requests FHWA concurrence

NOTE 6

FHWA concurs with selection

Not Approved

Approved

RR awards and executes Professional Services contract

RR Construction Management Services RFP Process Mapping for CREATE Program for Freight Railroads

If appropriate, RR requests advanced Design or Construction authorization. Advanced Design/ Construction allows RR to proceed and be reimbursed if IDOT or Federal funds are obtained.
NOTE 1

RR confirms the response to the advertisement contains valid and completed Lobbying Certification, Debarment Form, completed response to the DBE Goal set forth in the advertisement and for compliance with FHWA 1273.
NOTE 4

In emergency situations, a verbal or e-mail request and approval is adequate to allow the work to begin but must immediately be followed by written authorization.
NOTE 7

PS&E approval allows procurement process to begin.
NOTE 10

NTA allows procurement process to begin.
NOTE 2

Optional. Can be made a condition for a responsive bidder and must be reflected in advertisement.
NOTE 5

Federal-Aid Policy requires prior approval for projects.
NOTE 8

Phase II Manual Figure 1 has additional detail for ROW.
NOTE 11

Must advertise in IDOT approved publications and CREATE website. RR's prequalification requirements must be stated in the public advertisement. The advertisement must also detail method of obtaining the Proposal Package.
NOTE 3

Federal-aid policy requires prior approval for major changes or when the net positive value of a work effort (contract), including additions and deductions to the various pay item quantities involved, is greater than $100,000.
NOTE 6

Date and location must be in a public notice and must either have a dial-in number or web cast for outside attendance within bid-package.
NOTE 9

Phase II Manual Figure 2 has additional MUSRA detail.
NOTE 12

Phase III Bid/SRA (Continued)

IDOT approves advertisement to RR + issues DBE goal

NO

YES

RR submits bid advertisement to IDOT

IDOT issues NTA to RR

IDOT submits Phase III SRA to RR for signature

RR supplies final ITB to IDOT for WEB posting

IDOT posts ITB on createprogram.org

RR supplies "Certification of Publication" of ITB to IDOT for all 3 newspapers

RR advertises the Project for bid and makes bid packages available publicly

NOTE 3

RR holds pre-bid meeting accepting questions and responding publicly

NOTE 5

Contractors submit bids

RR opens received bids publicly

NOTE 9

Minimum 3-weeks Process
23 CFR part 635

RR reviews bids and forwards all proposals and recommendation to IDOT for concurrence

NOTE 4

RR confirms DBE status within Illinois Unified Certification Program and best-faith efforts including debarment and lobbying certs

Phase III SRA has sufficient funds for BD work

YES

IDOT concurs

YES

NO (with reason)

IDOT submits to FHWA for concurrence

NOTE 8

FHWA concurs

NOTE 8

NO (with reason)

IDOT issues NTP for BD work

YES

IDOT signs Phase III SRA

FA

IDOT issues NTP for FA work

NO

RR signs and returns SRA to IDOT for Signatures

CTCO revises budget

NO

YES

BDE revises draft Phase III SRA back to IDOT

CTCO revises scope

NO

Is this a Bid SRA?

YES

NO

RR Begins Construction

RR awards contract

IDOT posts Award on createprogram.org

IDOT oversight begins

Change to Project Scope, schedule or quantity is required and budget

NO

YES

Is this an emergency?

NOTE 7

YES

NO

RR notifies IDOT via phone or email

RR compiles Cost/ Schedule Estimate using contingency funds and/or PMR

CTCO initial review / approval

YES

RR compiles proper documentation for Implementation Committee

IDOT provides approval pending review of formal change order process

CTCO approves request?

NO

Change to Scope, schedule or quantity is dropped or paid for outside of CREATE

YES

IC approves request?

YES

NO

Environmental issues

YES

IDOT compiles Tech Memo

NO

NO

YES

FHWA accepts Tech Memo

NO

NO

FHWA Approves

NOTE 6

YES

Is Change Order Greater than $100,000?

YES

NO

NO

Management Committee Approved?

YES

Is request using PMR?

NO

YES

Does Request exceed SRA amount?

YES

Management Committee approves Scope and Budget

YES

IDOT Processes SRA MPA or SRA Amendment

NO

Signed Request is returned to the RR

FHWA, State and RR authorizes additional funding

RR performs requested work

Signed Request is returned to the RR

RR submits Bill to IDOT for work performed

Phase III Construction And Change Orders

IDOT begins review process

Scope and Billing approval

NO

RR addresses billing issues

YES

Process Bill for Payment (or approval in the case of ACSRA)

Construction and Billing process continues

RR addresses segment or project completion issues

No

RR Determines Project or Segment is completed

RR requests final inspection

IDOT performs final inspection

IDOT determines segment or project is complete

No

Yes

RR submits bill marked "Final"

IDOT approves scope and billing as final

NO

Yes

Charges are verified once all checks are received

NO

YES

IDOT prepares final Segment Report including pictures, final costs, SRA, PS&E and sent to RR for concurrence

RR reviews report and concurs in writing

NO

IDOT forwards entire Report for concurrence to FHWA

FHWA concurs

YES

Is this an ACSRA?

YES

NO

RR submits ACSRA conversion & payment request to IDOT

YES

Are funds available

YES

NO

IDOT deobligates any unused funds for other CREATE project

IDOT amends SRA and forwards funds authorization breakdown to FHWA

NO

FHWA authorizes funds for SRA

YES

IDOT processes payment & updates Final Report

CREATE Project or Segment is officially deemed complete

Closeout

Symbol Legend:

DATA — PROCESS — DECISION

DOCUMENT — START / END — NOTE

IDOT Action

RR Action

FHWA Action

BDE Action

Utility Company Action

Implementation Committee Action

CTCO Action

Management Committee Action

End of Phase

Acronym Glossary

ACSRA	Advance Construction State Rail Agreement
BDE	IDOT's Bureau of Design & Environment
CREATE	Chicago Region Environmental & Transportation Efficiency
CTCO	Chicago Transportation Coordination Office
DBE	Disadvantage Business Enterprise
FHWA	Federal Highway Administration
IC	Implementation Committee
IDOT	Illinois Department of Transportation
ITB	Invitation to Bid
MPA	Modified Project Authorization
MUSRA	Master Utility State Rail Agreement
NTP	Notice to Proceed
NTA	Notice to Advertise
PMR	Project Management Reserve
PR	Project Report
PS&E	Plans, Specifications & Estimates
RFP	Request for Proposal
ROW	Right of Way
RR	Railroad (Lead Entity)
SRA	State Rail Agreement
UC	Utility Company
WEB	Internet

Created by Michael R. Garcia, P.E. February 2, 2010
Revised: 02/05/2010 (FHWA input)
02/10/2010 (IDOT input)
06/02/2010 (RR input)
06/03/2010 (FHWA input)
06/29/2010 (final 2010 version)
08/05/2014 (IDOT input)
12/09/2014 (RR input)
03/10/2015 (FHWA input)
04/22/2015 (RR input)

Revised on 05/13/2016