



SURFACE TRANSPORTATION PROGRAM GUIDEBOOK

Adopted xx/xx/2019

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McHenry County Council of Mayors Membership

ALGONQUIN
BARRINGTON HILLS
BULL VALLEY
CARY
CRYSTAL LAKE
FOX RIVER GROVE
GREENWOOD
HARVARD
HEBRON
HOLIDAY HILLS
HUNTLEY
JOHNSBURG
LAKE IN THE HILLS
LAKEMOOR
LAKEWOOD
MARENGO
McCULLOM LAKE
McHENRY
OAKWOOD HILLS
PORT BARRINGTON
PRAIRIE GROVE
RICHMOND
RINGWOOD
SPRING GROVE
TROUT VALLEY
UNION
WONDER LAKE
WOODSTOCK
McHENRY COUNTY

DRAFT MCCOM SURFACE TRANSPORTATION PROGRAM (STP-L) GUIDEBOOK

Approved: _____

- 1) **CMAP Active Program Management Policies:** All sponsors participating in the STP federal funding process through the McHenry County Council of Mayors will be subject to the policies and procedures detailed in the Chicago Metropolitan Agency for Planning's [Active Program Management Policies \(APM\)](#). In the event that updates are made by CMAP to the APM policies and are in conflict with MCCOM's Surface Transportation Program Guidebook, APM will override MCCOM's STP Guidebook.
- 2) **Adoption of Program:** The regularly scheduled Council meetings shall vote on any [updates](#) to the Council's 5-Year fiscally constrained STP Program.
- 3) **Project Submittals:** Submittals for the STP-L program may only be made in response to a specific call for projects announced by the Council. Council calls will be held in even numbered years beginning in 2020. Eligible project types may be limited by the Council.
- 4) **Contingency Program:** Projects that did not rank into the Council's Active Program in the most recent call cycle will be included in a contingency list. Contingency projects will remain in the council's program until the next call for projects in the following even year. Active projects may also be reprogrammed into the contingency list, either voluntarily or due to missing an obligation deadline. In such a case, those projects must reapply in the next Call for Projects.
- 5) **Designated Project Managers:** Upon inclusion in either the Active or Contingency Programs, each project sponsor shall designate a *Technical Project Manager* as well as a *Financial Project Manager* for communication.
 - a. A Technical Project Manager that will be responsible for overseeing the implementation of the project, managing any consultants involved in the project, ensuring that all federal, state, and local requirements are met and, in conjunction with the Financial Project Manager, ensuring that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.
 - b. A Financial Project Manager that will be responsible for ensuring that any required local matching funds are included in the sponsor agency budget in the appropriate fiscal year(s) in which federal obligation and/or project expenditures will occur, and, in conjunction with the Technical Project Manager, that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.

The Technical Project Manager and Financial Project Manager generally should not be the same person, unless the Technical Project Manager has a direct role in developing the sponsor's budget and/or securing local funding. For each project phase utilizing consulting services, a Consultant Project Manager must also be designated.

The project managers must be reported to the Planning Liaison and should also be documented in the CMAP eTIP database. In the event of staff changes, a new designee(s) shall be assigned as soon as possible. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities.

Required project status updates described below may only be submitted by one of these managers, and all managers are jointly responsible for the content and timely submittal of updates. Correspondence from the MCOM and/or CMAP regarding project status, upcoming programming deadlines, or any other information regarding the programming status of projects will be sent to each of these managers. Correspondence from the MCOM and/or CMAP regarding the technical details of projects may be sent only to the Technical Project Manager and/or Consultant Project Manager, as appropriate.

- 6) **Quarterly Status Updates:** Quarterly status updates must be submitted by one of the designated project managers. These updates are required to be submitted any day within each month of December, March, June, and September. *Updates cannot be submitted early or late and still be considered official. Status updates must be sent even if there was no change to the project status.* Consequences for not providing quarterly updates in a timely manner are shown below in Table 1.

Table 1

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

- 7) **Local Match Ratio:**

Table 2

Phase	Ratio (Fed/Local)	Notes
Phase I (E1)	50/50	Phase I and Phase II engineering is eligible for up to \$300,000.00 in Federal STP-L during each call for projects.
Phase II (E2)	50/50	<u>No more than \$100,000.00 for Phase I and Phase II engineering will be awarded to a single project.</u> Resurfacing projects are not eligible for Federal funding for Phase I or Phase II engineering.
ROW	Not eligible	
Construction & Construction Engineering	80/20	

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- 8) **Active Reprogramming:** If a project sponsor can demonstrate timely implementation of a project; that project sponsor may request unobligated Council funds below the threshold of fiscal constraint for that Federal Fiscal Year. Active Reprogramming can be used for:

- a. Cost changes for current FFY phases that are expected to meet the obligation deadline
- b. Accelerating phases programmed in out years of the active program that are ready to obligate in the current FFY.
- c. Accelerating phases included in the contingency program that are ready to obligate in the current FFY
- d. Cost changes for already obligated phases

In the case of moving a project from the contingency list to the active list, a request must be made by the project sponsor to the Planning Liaison. Project moved from the contingency list to the active program must be approved by a simple majority of the Council.

- 9) **Federal Funding Cap:** The maximum federal STP funding obligated for any one project shall be no more than \$1,500,000.00, inclusive of all phases.
- 10) **Cost Increase Limitations:** Projects at the Council's \$1,500,000.00 cap are not eligible for a cost increase. Projects below the federal funding cap are eligible for a cost increase of up to ten percent (10%) of the original STP programmed amount, subject to the MCCOM's federal funding cap and the availability of additional STP funds. Any cost increase above 10% of the originally programmed STP amount will be the responsibility of the local sponsor. Cost increases cannot be guaranteed. Project phases on the Contingency lists are eligible for cost increases. For project phases programmed in the first two years of the Council's active program, cost increases can only be granted for project phases in the current fiscal year that are ready for obligation. Projects that are in the last three years of the Council's active program can request cost increases only during a regularly scheduled call for projects.
- 11) **Cap on the Number of STP-Funded Projects:** During each call for projects, MCCOM members may submit applications for any number of STP-funded projects. However, each municipal sponsor will be limited to no more than two (2) awarded projects to be included in the active program during each call for projects. Projects spanning across multiple jurisdictions must identify a lead sponsoring agency. This lead sponsor shall consider that project one of their two potential projects awarded funding during that call.
- 12) **Current Year Cost Increases:** Cost increases in the current federal fiscal year are subject to the availability of funding through active reprogramming and the STP shared fund and cannot be guaranteed. If the Council has the available funding at the time of the request, additional funds will be granted up to the maximum funding limitation. To be eligible for a cost increase for:

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

If MCCOM funds are available due to active reprogramming, cost increases will be funded in the order they were received until MCCOM funds are expended or the requests are exhausted. If or when MCCOM funds are exhausted, cost increases will be requested from CMAP through the STP Shared Fund. If additional funds are not available from either the MCCOM Program or the STP Shared Fund to accommodate a cost increase, the project sponsor must notify MCCOM how they wish to proceed by June 1st. The options for sponsors are:

Deleted: Project phases on the Contingency List are not eligible for cost increases.

Deleted: If Council funds are not available at the time of the request, an eligible project seeking a cost increase for a project phase in the current fiscal year must wait until April of the current federal fiscal year to see if local council funds will be available to accommodate the requested increase due to active reprogramming

- a. Delay the project phase; and actively reprogram it to await additional federal funding; or
- b. Keep the project in the current year and fund the increased project cost with local funds

13) **Budget Integrity:** The annual and multi-year budgetary constraints shall always be maintained, based on the projected available funding levels provided by CMAP.

14) **Variance Process:** The project selection methodology is used in the selection of project to be included in the Council's Five-Year Program. However, if a sponsor would like the Council to consider a project for reasons beyond those listed in the ranking system, the Council may consider and approve the project on a case-by-case basis, but the project will be subject to the same project selection methodology as all other projects. This process shall only be used during an active call for projects. This process cannot be in conflict with CMAP's Active Program Management Policies and STP agreement.

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15) **STP-L on State Roads:** The primary purpose of the STP program is to improve municipal and County roads. However, a municipality or the County may choose to sponsor and apply for STP funding for an intersection project that includes a State road. Only intersection projects will be considered in this manner.

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16) **Milestone Extensions:** After the March status update, if project milestones are not anticipated to be achieved, the project sponsor may by April 15th:

- a. Request a one-time, six-month extension of the phase obligation deadline.
 - i. For Phase 1 Engineering, Phase 2 Engineering, the extended deadline will be March 30th of the following calendar year.
 - ii. For Construction/Construction Engineering, the extended deadline will be the federal authorization date for the April state letting in the following calendar year.
 - iii. If the end of the six-month extension has been reached, and the phase remains unobligated solely due to agreement review and the agreement was submitted to IDOT before August 1st of the prior year in a good faith attempt to ensure timely obligation of funds within the programmed FFY, an additional three-month extension will be automatically granted for that phase. An additional extension will be to June 30 for engineering and ROW phases, and the federal authorization date for the August state letting for construction/construction engineering phases.
- b. Request the current phase and all subsequent phases be immediately removed from the active program and placed in the contingency program to make the phase available for active reprogramming. If not moved back into the active program for the next call for projects, the sponsor must reapply for funding consideration.
- c. Proceed at your own risk. If the programmed funds are not obligated as of September 30, the programmed phase and all subsequent phases will be removed from the active program and will not be

added to the contingency program. Programmed funds will not be carried over or available for reprogramming and will be permanently removed from the Council's programming mark. The sponsor would then need to reapply during the next call for projects.

Following the March status update, and other requests for extensions, sponsors of project phases included in the contingency program that have indicated potential for current year obligation of funds will be notified of the possible availability of funding and will be encouraged to take necessary actions to prepare for obligation of funds between June and October.

In the event that a project included in the Active Program has not started phase 1 engineering (or equivalent) since the prior call for projects, whether that phase is to be federally or locally funded, that project must re-apply in the next call, except if:

- a. The project is for pavement preservation techniques that were selected and programmed in out years to align with the sponsor/sub-regional/regional pavement management system recommendations; or
- b. STP funded phase 1 engineering was programmed in an out year during a prior CFP.

17) **Assistance for Disadvantaged Communities:** Federal law allows states to accrue Transportation Development Credits for Highways (TDCHs), also known as "Toll Credits", when capital investments are made on federally approved tolled facilities. TDCHs can be used in place of the 20 percent local match. MCCOM member municipalities within the highest need group (Cohort 4), [as defined by CMAP](#), are permitted to utilize TDCHs to reduce their local match for STP-L to only 10 percent (90 percent federal). Eligibility is determined at the time of application for STP funds.

For Cohort 4 communities, all phases are eligible for the use of TDCHs, excluding ROW. Eligibility for TDCHs does not guarantee that the project will be selected for STP-L funding or that IDOT will ultimately approve the use of TDCHs for that project. The MCCOM will follow both CMAP's and IDOT's policies.

18) **McHenry County High Need Communities:** For the purpose of this methodology, the 18 McHenry County municipalities in Cohorts 2, 3 and 4 are considered to be "high need communities" (see Table 3 below). High need communities are identified by CMAP on an annual basis and are those with a lower tax base, lower median household income, and lower tax base per capita. For this reason, high need communities will receive Cohort points on STP-L project applications based on the community Cohort to which they belong. Project applications in Cohort 2 will receive 4 points, Cohort 3 projects will receive 5 points and Cohort 4 projects will receive 6 points. If two communities partner on single project application their Cohort points will be determined by averaging the Cohort points for each partnering municipality.

Moved down [1]: These high need communities may lack the capacity to undertake needed transportation improvements without federal assistance.

Table 3

CMAP-Designated Community Cohorts (subject to change)			
Cohort 1	Cohort 2	Cohort 3	Cohort 4
Algonquin	Bull Valley	Lakemoor	Greenwood
Barrington Hills	Fox River Grove	Marengo	Harvard
Cary	Port Barrington	Oakwood Hills	Hebron
Crystal Lake	Ringwood	Wonder Lake	Holiday Hills
Huntley	Spring Grove		McCullom Lake
Johnsburg	Trout Valley		Richmond
Lake in the Hills	Union		
Lakewood	Woodstock		
McHenry			
Prairie Grove			

Cohort points will be awarded based on the following scale:

Cohort 1:	0 Points
Cohort 2:	4 Points
Cohort 3:	5 Points
Cohort 4:	6 Points

Equity in the distribution of scarce STP dollars is the main priority of the McHenry County Council of Mayors. This is exemplified through the Cohort points awarded to high need communities. These high need communities may lack the capacity to undertake needed transportation improvements without federal assistance. By awarding Cohort points, low capacity communities are encouraged to apply for federal funding, ensuring that funding is available to all municipalities.

Deleted: The MCCOM is also targeting at least 30% of its annual allotment of STP-L to be directed to projects in high need communities. This target is consistent with the results of the previous MCCOM STP Call for Projects and will help ensure that adequate STP-L funding is being targeted to the highest need communities.

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19) STP-L Project Eligibility:

Table 4

<u>Eligible Project Types as Determined by the MCCOM</u>	
1. Roadways and Intersections	
• Intersection Channelization	
• Roadway Widening	
• New Roadway Construction	
• Roadway Reconstruction	
• Traffic Signals, Modifications and/or Modernization	
• Bicycle or Pedestrian Facilities	
• Modern Roundabout (including mini roundabouts)	
2. Resurfacing Projects	

20) **Application Process:** All applications will be submitted electronically via email to the planningliaison@mchenrycountyil.gov inbox and will be reviewed by the Planning Liaison. Incomplete or late applications will not be accepted.

- 21) Ranked Program of Projects:** Projects will be ranked by the Planning Liaison using the below scoring system and a recommended program of projects and contingency program will be released for the Council’s review and approval.
- 22) Funding Availability:** Funding for projects is contingent on the federal program being authorized and appropriated.

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Deleted: If a member community would like to modify the ranked program of projects or contingency program, a written justification must be provided to the Council and a 2/3rds-majority vote of the MCCOM members present shall be required.

Project Evaluation Criteria

Roadways and Intersection Projects	
Category	Max Points
Traffic Volume	15
Safety Need	12
Safety Improvement	4
Pavement Condition	9
Multi-modal Infrastructure	14
Project Readiness	15
Community Cohort	6
ONTO2050 Planning Measures	25
Total	100

Resurfacing Projects (LAFO)	
Category	Max Points
Pavement Condition	30
Project Readiness	10
Traffic Volume	15
Safety Need	8
Bicycle Accommodations	6
Community Cohort	6
ONTO2050 Planning Measures	25
Total	100

Project Evaluation Criteria - Roadways and Intersection Projects

Project Scoring Categories	100 points total	
Roadways and Intersection Projects		
1. Traffic Volume – Average Daily Traffic (ADT) (15 points max)	Two Lane Road $\frac{ADT}{1000} = \text{Points}$	Four Lane Road $\frac{ADT}{2000} = \text{Points}$
2. Safety Need (12 points) Based on IDOT Safety Tiers (SRI)	Critical High Medium Low Minimal	+12 + 9 + 6 + 3 0
3. Safety Improvement (4 points) Based on the maximum crash reduction factor (CRF) associated with proposed project countermeasures	Above 50% 36%-49% 26%-35% 15%-25% Under 15%	4 3 2 1 0
4. Pavement Condition (9 points) Based on the Pavement Condition Testing done by CMAP (IRI, Cracking_Percent, rutting and faulting)	Pavement Condition Poor (0-45) Fair (46-60) Satisfactory (61-75) Excellent (76-100) New Alignment	Point Value +9 + 6 + 3 0 + 3
5. Multi-modal Infrastructure Components (14 points max)	Bicycle and Pedestrian Infrastructure Project includes multi-use path Project includes on-street bike lanes Project includes marked shared lanes Project includes sidewalk Project adds new bus shelters	Cumulative Points + 7 + 7 + 4 + 7 + 3
6. Project Readiness (15 points)	Phase II engineering complete (pre-final plans submitted to IDOT) Phase II engineering contract executed Phase I engineering report completed; Design approval granted Phase I engineering report (PDR) draft submitted to IDOT Phase I engineering contract entered into by project applicant	+15 +12 + 9 + 6 + 3
7. Community Cohort (6 points) McHenry County is considered to be in Community Cohort 1	Community Cohort 4 Community Cohort 3 Community Cohort 2 Community Cohort 1	+ 6 + 5 + 4 0
8. ON TO 2050 Planning Measures (25 points)	Project sponsor has adopted a complete streets policy or ordinance Project uses green infrastructure to manage stormwater*	+10 +15

Total: _____

Project Evaluation Criteria – Resurfacing Projects (LAFO)

Project Scoring Categories	100 points total	
Resurfacing Projects		
1. Pavement Condition (30 points) Based on the Pavement Condition Testing done by CMAP (IRI, Cracking_Percent, rutting and faulting)	Pavement Condition	Point Value
	Fair (46-60)	+ 30
	Satisfactory (61-75)	+ 20
	Poor (0-45)	+ 10
	Excellent (76-100)	0
2. Project Readiness (10 points)	Phase II engineering complete (pre-final plans submitted to IDOT)	+ 10
	Phase II engineering contract executed	+ 8
	Phase I engineering report completed; Design approval granted	+ 6
	Phase I engineering report (PDR) draft submitted to IDOT	+ 4
	Phase I engineering contract entered into by project applicant	+ 2
3. Traffic Volume – Average Daily Traffic (ADT) (15 points max)	Two Lane Road	Four Lane Road
	$\frac{ADT}{1000} = \text{Points}$	$\frac{ADT}{2000} = \text{Points}$
4. Safety Need (8 points) Based on IDOT Safety Tiers (SRI)	Critical	+ 8
	High	+ 6
	Medium	+ 4
	Low	+ 2
	Minimal	0
5. Bicycle Accommodations (6 points)	Project adds or includes bicycle facilities such as bike lanes, widened shoulders, or other bicycle safety measures.	+ 6
6. Community Cohort (6 points) McHenry County is considered to be in Community Cohort 1	Community Cohort 4	+ 6
	Community Cohort 3	+ 5
	Community Cohort 2	+ 4
	Community Cohort 1	0
7. ON TO 2050 planning measures (25 points)	Project sponsor has adopted a complete streets policy or ordinance	+15
	Project <u>uses green infrastructure to manage stormwater*</u>	+10

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Deleted: policy or ordinance

Total: _____

*Green infrastructure may include the following:

- Permeable Pavement/Pavers
- Bioswales
- Planter Boxes
- The addition of street trees or native plants

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