

1 **STP Active Program Management Policies**

2 Active Program Management (APM) provides a mechanism for ensuring timely obligations to
3 protect the region’s funding from lapse and rescission, and to provide flexibility for moving
4 forward projects that are “ready” in favor of those that are “delayed”. APM is achieved through
5 strong project and program management with active monitoring of project implementation status
6 from project selection through obligation of federal funds.

7 **Program Development**

8 Active Program Management begins with the development of a program of projects. By
9 agreement between the Councils of Mayors and the City of Chicago, endorsed by the CMAP MPO
10 Policy Committee and the Illinois Department of Transportation, there are two distinct Surface
11 Transportation Block Grant funded programs (STP): the Shared Fund, programmed by the
12 CMAP STP Project Selection Committee (STP PSC) and administered by CMAP staff, and the
13 Local Program, which is made up of twelve individual programs that are developed,
14 programmed, and administered by the councils of mayors (councils) and Chicago Department of
15 Transportation (CDOT). To facilitate active program management, each program of projects
16 should be made up of two distinct programs: an active five-year, fiscally constrained program,
17 and a contingency program of projects that can move forward into the active program if
18 additional funds become available. The steps for development of a sample program are included
19 in Appendix A.

20 **Calls for Projects**

21 CMAP, the councils, and CDOT will solicit for project applications starting in January for the next
22 five federal fiscal years (FFYs). Final applications will be due at the end of March. From April
23 through August, evaluations, development of recommended programs, appropriate committee
24 reviews, and public comment will occur. A CMAP TIP Amendment(s) to incorporate the
25 recommended program(s) will be prepared in the fall for CMAP Transportation Committee
26 consideration¹. The Transportation Committee will be asked to recommend approval of the
27 program(s) and the TIP amendment(s) to the CMAP Programming Committee and MPO Policy
28 Committee. Final approval of the program(s) will occur when the MPO Policy Committee takes
29 action on the TIP Amendment(s) in October. The schedule is illustrated in Table 1.

¹ In accordance with conformity analysis requirements, proposed new projects and previously programmed projects with significant changes to scope and/or schedule that include not exempt work types cannot be included in the TIP until the next semi-annual conformity analysis. These projects will be identified and recommended for inclusion in the CMAP, council, or CDOT program, contingent upon the next conformity determination. Based on the semi-annual conformity amendment schedule, CMAP staff strongly encourages selecting bodies to prohibit the programming of new not exempt projects in the first year of any program.

| | Shared Fund | Council Programs | CDOT Programs |
|--|--|---|---|
| Call for Projects Issued | January 2019 | January 2020 | n/a - internal |
| Project Applications Due | March 2019 | March 2020 | n/a - internal |
| Project evaluation and ranking | April – August 2019 | April – August 2020 | April – August 2020 |
| Staff recommended active and contingency programs published for review | CMAP staff and the STP Project Selection Committee | Council staff and Council Committees | CDOT staff and internal CDOT committee(s) |
| Committee reviews | | | |
| Public Comment | | | |
| Committee approvals of final active program for inclusion in the CMAP TIP and final contingency program | | | |
| CMAP TIP Amendment (excluding contingency projects, and projects requiring conformity analysis) considered | September 2019 CMAP Transportation Committee | September 2020 CMAP Transportation Committee | September 2020 CMAP Transportation Committee |
| Final Approval of TIP Amendment | October 2019 MPO Policy Committee | October 2020 MPO Policy Committee | October 2020 MPO Policy Committee |
| <i>If needed:</i> Semi-annual conformity analysis release for public comment | January 2020 CMAP Transportation Committee | January 2021 CMAP Transportation Committee | January 2021 CMAP Transportation Committee |
| <i>If needed:</i> Approval of semi-annual conformity analysis | March 2020 MPO Policy Committee | March 2021 MPO Policy Committee | March 2021 MPO Policy Committee |

31
 32 Project evaluations shall be based on published ranking and programming methodologies. It is
 33 anticipated that a staff recommended active program of projects and contingency program will
 34 be announced at the conclusion of the evaluation period. Appropriate committee reviews and a
 35 public comment period of at least 30 days will follow, with final council, CDOT, and/or STP
 36 Project Selection Committee approval of recommended programs for inclusion in the CMAP TIP
 37 completing the review process.

38 While it is expected that the City of Chicago will not hold a traditional call for projects, a staff
39 recommended active and contingency programs (defined below) shall be developed. These
40 programs will be subject to public comment and amended into the CMAP TIP on the same
41 schedule as the council programs.

42 Calls for shared fund projects will be issued and administered by CMAP in odd-numbered years,
43 beginning in 2019. Calls for local program projects will be issued and administered by the
44 individual councils and CDOT in even-numbered years, beginning in 2020. It is anticipated that
45 the initial calls for shared fund projects in 2019 and local program projects in 2020 will include
46 scoring provisions for targeting programming of “in progress” projects in the first two to three
47 federal fiscal years (FFYs) and new projects in the last two to three FFYs, and that subsequent
48 calls for projects will be primarily focused on adding two new “out years” to the program. These
49 provisions will be described in methodologies as “grandfathering” provisions.

50 **Active Programs**

51 The result of each Call for Projects will be the development of a fiscally constrained multi-year
52 program of projects to be completed, in whole or in part, with STP funds. Active programs will
53 be included in the region’s TIP and are therefore subject to fiscal constraint. The amount of
54 funding programmed in each FFY should be based on each program’s projected available funding
55 levels provided by CMAP. The first year of the active program will be considered the “current
56 year” and will be subject to obligation deadlines described in the Program Management section
57 of this document. The next four years will be considered the “out years”. Project phases
58 programmed in out years are not subject to obligation deadlines and can be actively
59 reprogrammed in other out years at any time, subject to each year of the multi-year program
60 maintaining fiscal constraint at all times.

61 Since the active program contains projects selected through a performance-based ranking
62 process, sponsors of project phases that are programmed in out years should reaffirm their
63 commitment to the scheduled implementation in subsequent calls, but should not be required to
64 re-apply, as described in the Program Management section of this document.

65 **Contingency Programs**

66 It is anticipated that during each call for projects there will be more applications than can be
67 programmed within the years of the call cycle. Additionally, in order to facilitate the region's
68 goal of obligating 100% of available funding each year, selecting bodies can effectively "over
69 program" by developing a contingency program of projects during each call cycle. The
70 contingency program should include, in rank order, the next highest ranked projects that were
71 unable to be funded in the CFP due to fiscal constraint. Sponsors of contingency projects must
72 be committed to keeping projects active and moving forward toward obligation of federal
73 funding in the two years between calls for projects. If sponsors of potential contingency program
74 projects are not committed to moving forward, for example because funding was requested in an
75 out year, those projects should not be included in the contingency program. Projects requiring a

76 conformity determination cannot be included in any contingency program, unless those projects
77 are already included in the current conformed TIP. Projects, or phases of projects, that did not
78 apply for funding during a call for projects cannot be added to a contingency program until the
79 next applicable call for projects.

80 Inclusion of a project in a contingency program is not a guarantee of future federal funding for
81 any phase of a project. The contingency program will expire with each subsequent call for
82 projects. Projects included in the contingency program from the prior CFP must reapply for
83 funding consideration during the next call. If the first phase of a project in the contingency
84 program is moved to the active program, there is no guarantee that the subsequent phases will
85 be funded via the contingency program or future active programs. Each selecting body may
86 determine if points will be awarded for phases completed or in-progress at the time of each CFP,
87 but there shall be no “automatic” reprogramming from the contingency program to the active
88 program.

89 Active projects that are reprogrammed in the contingency program, either voluntarily, or due to
90 missing an obligation deadline, must also reapply for funding consideration during the next call.
91 This reapplication will reset all deadlines associated with project phases and make phases eligible
92 for obligation deadline extensions, as discussed in more detail in the Program Management
93 section of this document. If unsuccessful with future applications for STP funding, the sponsor
94 may complete the project using another fund source(s). If the project is not completed within the
95 timeframe required by federal law, the sponsor will be required to pay back federal funds used
96 for previous phases of the project.

97 **Project Management**

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

103 **Training**

104 Stakeholders throughout the region, including public and private sector implementers, have
105 indicated that a thorough understanding of the project implementation process is critical for the
106 successful completion of projects. An understanding of the process leads to realistic expectations
107 and better overall scheduling and project planning. In partnership with FHWA, IDOT, and the
108 Councils, CMAP will develop and provide project implementation training classes and materials
109 for project sponsors and the consulting community and will encourage selecting bodies to require
110 participation by funding applicants as a part of their project selection methodologies.

111 **Designated Project Managers**

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

- 119 1. A *Technical Project Manager* that will be responsible for overseeing the implementation of
120 the project, managing any consultants involved in the project, ensuring that all federal,
121 state, and local requirements are met and, in conjunction with the Financial Project
122 Manager, ensuring that the required agreements between the sponsor agency and IDOT
123 are approved and executed in an appropriate and timely manner.
- 124 2. A *Financial Project Manager* that will be responsible for ensuring that any required local
125 matching funds are included in the sponsor agency budget in the appropriate fiscal year(s)
126 in which federal obligation and/or project expenditures will occur, and, in conjunction
127 with the Technical Project Manager, that the required agreements between the sponsor
128 agency and IDOT are approved and executed in an appropriate and timely manner.

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

133 The project managers must be reported to the selecting body staff and should also be documented
134 in the CMAP eTIP database. In the event of staff changes, a new designee(s) shall be assigned as
135 soon as possible. These managers should be familiar with the federally funded project
136 implementation process and are strongly encouraged to take advantage of training opportunities,
137 even if not required by the selecting body for their project(s).

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

145 **Status Updates**

146 Upon inclusion of any phase of a project within an active or contingency program, quarterly
147 status updates detailing initial (time of application) estimated dates, current adjusted estimated

148 dates (based on progress made since the application was submitted), and actual accomplishment
 149 dates of all project milestones, regardless of the phase(s) programmed with STP funds, shall be
 150 submitted by one of the project's designated project managers through CMAP's eTIP website.
 151 These updates are required to be submitted in December, March, June, and September of every
 152 federal fiscal year. Updates submitted any day within the required month will be considered to
 153 have met the deadline. Updates submitted in any other month of the year will not be considered
 154 an official quarterly update.

155 Submittals shall be verified by the eTIP programmer assigned to the project sponsor (typically
 156 the council planning liaison or CDOT's Coordinating Planner, Capital Programming) in
 157 consultation with IDOT District 1 or District 3 Bureau of Local Roads and Streets (BLRS) staff.
 158 Status updates may be submitted more often than required, at the selecting body's and/or
 159 sponsor's discretion. Status updates must be submitted even if no progress has been made since
 160 the prior update. Failure to submit required status updates, as outlined in Table 2, may result in
 161 significant project delay or the loss of funding for current and subsequent phases of projects.

162 *Table 2: Proposed consequences for not submitting required status updates*

| | If required quarterly updates are not submitted... |
|--|---|
| Projects with any phase programmed in the current FFY | The project phase, and all subsequent phases, will be moved from the active program to the contingency program. Funds programmed in the CMAP TIP for these phases will be moved to "MYB", and a formal TIP amendment ² 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 <i>not</i> be placed in the contingency program, and must re-apply for funding during the next CFP. |
| 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 CFP. |

163
 164 **Program Management**
 165 **Obligation Deadlines**
 166 Any project phase(s) programmed in the current FFY on or after the first day (October 1) of that
 167 FFY is required to fully obligate³ the programmed federal funds prior to the end of that FFY

² TIP Amendments occur approximately every 6-8 weeks at meetings of the CMAP Transportation Committee. Meeting schedules and TIP change due dates are published on the CMAP web site.

³ For the purposes of meeting APM obligation deadlines, a project phase is considered to be "obligated" if federal funds have been authorized as "current" or "Advance Construction (AC)" in FHWA's FMIS database or the project phase has been included in an approved FTA grant. The entire phase must be obligated, up to the programmed amount or the final engineer's estimate, whichever is less, to be considered fully funded. "Staged" construction, or "combined" engineering phases are not considered fully obligated until all stages/phases are fully obligated.

168 (September 30). Table 3 describes the action(s) necessary to obligate each phase, and the
 169 milestone deadlines that should be met in order to meet the obligation requirement.

170 *Table 3: Phase-specific obligation actions, milestones, and associated deadlines*

| Phase | Obligation Action | Milestone(s) | Milestone Deadline |
|--------------------------|--|--|---|
| Phase 1 Engineering | Execution of Local Agency Agreement and Engineering Agreement | 1. Phase 1 QBS* completed | 1. Before submitting draft agreements |
| | | 2. Draft agreements submitted to IDOT district (3-6 month review) | 2. June 30 (approx.) |
| Phase 2 Engineering | Execution of Local Agency Agreement and Engineering Agreement | 1. Phase 2 QBS completed | 1. Before submitting draft agreements (may be completed with Phase 1 QBS*; may begin before DA received) |
| | | 2. Phase 1 Design Approval (DA) received | 2. Before submitting draft agreements |
| | | 3. Draft agreements submitted to IDOT district (3-6 month review) | 3. June 30 (approx.) |
| Right-of-Way | Execution of Local Agency Agreement | 1. Phase 1 Design Approval (DA) received | 1. Before submitting documents and draft agreement |
| | | 2. Approved plats and legals, cost estimates, and documentation of use of approved firms | 1. Before submitting draft agreement |
| | | 3. Draft agreements submitted to IDOT district (3-6 month review) | 2. June 30 (approx.) |
| Construction (state let) | Execution of Local Agency Agreement (Approx. 6 weeks prior to letting) | 1. Phase 2 pre-final plans submitted | 1. Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early-June) |
| Construction (local let) | For construction phases that will be locally let, the sponsor must reasonably demonstrate that construction funds will be authorized within the federal fiscal year. | | |

171 *QBS: Qualifications Based Selection

172 If these milestones are not anticipated to be achieved, based on the March status update, the
173 project sponsor may by a TBD date in April:

- 174 1. Request a six (6) month extension of the phase obligation deadline.
175 a. For Phase 1 Engineering, Phase 2 Engineering, and Right-of-Way, the extended
176 deadline will be March 30 of the following calendar year.
177 b. For Construction/Construction Engineering, the extended deadline will be the
178 federal authorization date for the April state letting in the following calendar
179 year.

180 Programmed funds will be eligible to be carried over (subject to carryover limitations
181 described later in this document) to the next FFY if the request is approved. Each project
182 phase may only be granted one extension. If an extended project phase misses the
183 extended obligation deadline, the phase, and all subsequent phases of the project, will
184 immediately be moved to the contingency program, and the funds programmed in the
185 current year will be removed from the selecting body's programming mark. If not moved
186 back into the active program prior to the next call for projects, the sponsor must reapply
187 for funding consideration.
188

- 189 2. Request the current phase and all subsequent phases be immediately removed from the
190 active program and placed in the contingency program. Programmed funds will not be
191 automatically carried over, but will be available for immediate active reprogramming in
192 the current FFY as described below. The obligation deadline for the phase will be
193 removed, and the phase will remain eligible for a future extension request. If not moved
194 back into the active program prior to the next call for projects, the sponsor must reapply
195 for funding consideration.
196

- 197 3. Proceed at their own risk. If the programmed funds are not obligated as of September 30,
198 the programmed phase and all subsequent phases will be removed from the active
199 program, and will not be added to the contingency program. Programmed funds will not
200 be carried over or available for reprogramming, and will be permanently removed from
201 the selecting body's programming mark. The sponsor may reapply for funding during
202 the next call for projects.

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

208 Following review of the March status updates, and any subsequent requests for extensions,
209 sponsors of project phases included in the Contingency Program that have indicated potential for
210 current year obligation of funds will be notified of the possible availability of funding and will be

211 encouraged to take necessary actions to prepare for obligation of funds between June and
212 October. Program changes to move project phases from the Contingency Program to the Active
213 Program will occur no later than June 30. Formal TIP Amendments will be required to move
214 contingency project phases into the current year of the TIP, the current CMAP TIP Amendment
215 schedule should be considered when making re-programming decisions.

216 Requests after the April deadline may be considered at the discretion of the selecting body.

217 **Active Reprogramming**

218 It is the goal of the region to obligate 100% of the federal STP funding allotted to the region each
219 year. Recognizing that implementation delays can and do occur, selecting bodies shall have the
220 flexibility to actively reprogram funds. Active reprogramming can occur at any time, and
221 requires that the selecting body publish an updated active program and updated contingency
222 program prior to making TIP changes associated with the reprogramming. Unless specifically
223 prohibited by policies of the selecting body, staff of the selecting body shall have the authority to
224 publish program updates without selecting body action.

225 Within the current FFY, active reprogramming can be used for:

- 226 • Cost changes for already obligated phases
- 227 • Cost changes for current FFY phases that are expected to meet the obligation deadline
- 228 • Accelerating phases programmed in out years of the active program that are ready to
229 obligate in the current FFY
- 230 • Accelerating phases included in the contingency program that are ready to obligate in the
231 current FFY

232 When considering active reprogramming, the fiscal constraint of the program must be
233 maintained at all times. It may be necessary to move another project phase(s) out of the current
234 FFY in order to accommodate ready to obligate phases. When an individual council, CDOT, or
235 the Shared Fund has obligated 100% of the current year's programming mark, that body may
236 request additional funding from the shared fund, as described in the Carryover Limitations and
237 Redistribution of Unobligated Funding section of this document.

238 Within out years of the active program, reprogramming from one out year to another out year or
239 making cost changes in out years shall be limited only by fiscal constraint in those years.

240 Selecting bodies have discretion in determining the relative priority of active reprogramming
241 techniques. Any project phase(s) moved into the current FFY through active reprogramming is
242 subject to the same obligation deadlines as all other current year phases.

243 Each call for projects is an additional opportunity to request reprogramming in a different FFY.
244 Sponsors may request to have project phases reprogrammed in a different FFY, based on the
245 implementation status of those projects, without the need to re-apply or be re-ranked as long as

246 the sponsor reaffirms their commitment to completing the project according to the requested
247 schedule.

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

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

255 Where required above, sponsors may reaffirm their commitment to completing a project(s)
256 according to the requested schedule(s) by:

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

264 For sponsors with multiple projects being reaffirmed, a single resolution or letter may be
265 submitted that addresses each project. Selecting bodies shall have discretion to require additional
266 affirmations, such as sponsor commitment to fund cost increases.

267 **Carryover Limitations and Redistribution of Unobligated Funding**

268 Each selecting body is responsible for obligating 100% of the funding available to it each FFY.
269 The amount of unobligated funding at the end of each FFY that can be carried over to the next
270 year shall be limited to the selecting body's allotment (not including prior year carryover) for the
271 year. Funds can only be carried over under the following circumstances:

- 272 1. The unobligated funds were programmed for a project(s) that was granted an extension.
- 273 2. The unobligated funds are the result of an "obligation remainder" that occurs when the
274 actual federal obligation was less than the funding programmed for the project phase.
- 275 3. The unobligated funds were unprogrammed at the end of the FFY due to one of the
276 following:
 - 277 a. The cost of ready to obligate project(s) exceeds the unprogrammed balance
278 available, no funds are available from the shared fund to fill the gap, and the
279 selecting body has not accessed the shared fund in the current FFY; or

280 b. No projects are ready to obligate the available funds, but the selecting body can
281 demonstrate a reasonable expectation for using the carried over funds in the
282 following FFY.

283 The selecting body must “pay back” any shared funds used in the current FFY before carrying
284 over any unprogrammed balance. Any unobligated funding resulting from other circumstances,
285 or in excess of the maximum allowed, will be removed from the selecting body’s programming
286 mark and redistributed to the shared fund, where it will be available to all selecting bodies as
287 described below.

288 Funds carried over with an extended project will expire on the obligation deadline of the
289 extension. All other funds carried over will expire on March 31 of the following calendar year.
290 Expired carryover that remains unobligated will be removed from the selecting body’s balance
291 on the expiration date and will be placed in the shared fund where it will be available to all
292 selecting bodies as described below.

293 **Accessing Unobligated Funds**

294 Unobligated funds which are redistributed to the shared fund can be used for project cost
295 increases or to advance ready to obligate local program and shared fund projects if all of the
296 selecting body’s current year funds have been obligated, including any funds carried over from
297 the previous FFY. Access to funds redistributed to the shared fund will be on a “first ready, first
298 funded” basis. Requests can only be made when obligation of funds is imminent. CMAP staff
299 will determine if funds are available and will approve requests upon verification of obligation
300 readiness. In the event that there are more requests for funds than those available, priority shall
301 be given as follows:

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

309 Shared funds may be requested for increases in STP-eligible costs at the time of obligation, based
310 on the IDOT approved estimated cost at the time, or for cost increases after obligation due to
311 higher than estimated bids, change orders, or engineering supplements. STP funds cannot be
312 requested for increased costs on project elements specifically funded with other sources (such as
313 CMAQ, TAP, Economic Development, ICC, Invest in Cook, etc.). Cost increases from the shared
314 fund are limited to the lesser of 20% of the programmed STP funds or the project’s selecting
315 body’s maximum increase amount. For example, if the project was selected by a local council
316 that limits individual projects to \$1.5 million in STP funds, the shared fund cannot be used to

317 provide funds beyond that \$1.5 million limit. Shared funds may also be requested to advance
318 ready to obligate phases from out years of any selecting body’s active program or from any
319 selecting body’s contingency program.

320 If a project sponsor requests and receives shared funds, but is unable to obligate those funds by
321 the end of the current FFY, future requests from that sponsor may be denied. Extended phases
322 that missed the extended obligation deadline are never eligible to utilize shared funds.

323 **Additional Provisions**

324 **Grant Accountability and Transparency Act (GATA)**

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

331 All sponsor agencies with a project(s) included in a recommended program(s) must complete the
332 GATA Programmatic Risk assessment by the first day (October 1) of the federal fiscal year in
333 which the first federally funded phase is programmed and must agree to and comply with any
334 special conditions that are imposed as a result of the assessment.

335 **Qualifications Based Selection (QBS)**

336 Local agencies utilizing federal funds for any engineering phase must use Qualifications Based
337 Selection (QBS) procedures for hiring the consultant for each federally funded phase. The QBS
338 process can begin prior to the start of the FFY in which the engineering phase is programmed in
339 order to facilitate execution of local agency and engineering agreements as soon as possible after
340 the start of the FFY.

341 **Assistance for Disadvantaged Communities**

342 As part of the agreement for locally programmed Surface Transportation Program (STP-L)
343 funding approved in October 2017, the parties agreed that providing assistance to disadvantaged
344 communities so that they may have more opportunities to access the federal funds was a desired
345 outcome. While not the only barrier to reinvesting in local infrastructure, supplying the required
346 match can be challenging and may discourage local officials in disadvantaged communities from
347 seeking funding for needed projects.

348 Federal law allows states to accrue transportation development credits (TDCs), also known as
349 “Toll Credits”, when capital investments are made on federally approved tolled facilities. The
350 TDCs can be used in place of the 20 percent local/state match and a project can be funded at
351 essentially 100 percent federal funds. The Illinois Tollway has historically generated a great deal
352 of these credits, considerably more than are used in a given year, but the current Illinois

353 Department of Transportation policy does not allow them to be used on local roads projects.
354 CMAP is currently working with IDOT to revise state policies to allow some use of TDCs for local
355 roads projects. By using TDCs, the northeastern Illinois region understands that the overall STP
356 funds available for programming will be reduced, so the region must judiciously use them.

357 Specific policies of the use of TDCs in the STP program will be presented, and included here,
358 following CMAP and IDOT collaboration to revise state policies.

Draft for Discussion

Appendix A – Sample Program Development

Step 1: Projects are scored, and sorted by rank

SAMPLE Project Ranking

| <u>Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>FFY</u> | <u>Total Cost</u> | <u>STP Request</u> | <u>Points</u> | <u>Rank</u> |
|-----------------|--------------|----------------|------------|-------------------|--------------------|---------------|-------------|
| Project 1 | E1 | Sponsor E | 2019 | \$285,000 | Local | 98 | 1 |
| Project 1 | E2 | Sponsor E | 2021 | \$285,000 | Local | 98 | 1 |
| Project 1 | CON/CE | Sponsor E | 2022 | \$3,563,000 | \$2,850,000 | 98 | 1 |
| Project 2 | E1 | Sponsor G | 2023 | \$250,000 | \$200,000 | 95 | 2 |
| Project 2 | E2 | Sponsor G | 2024 | \$250,000 | \$200,000 | 95 | 2 |
| Project 2 | CON/CE | Sponsor G | 2025 | \$2,500,000 | \$2,000,000 | 95 | 2 |
| Project 3 | E1 | Sponsor C | 2018 | \$400,000 | Local | 90 | 3 |
| Project 3 | E2 | Sponsor C | 2021 | \$480,000 | \$360,000 | 90 | 3 |
| Project 3 | ROW | Sponsor C | 2019 | \$2,000,000 | Local | 90 | 3 |
| Project 3 | CON/CE | Sponsor C | 2021 | \$4,800,000 | \$3,600,000 | 90 | 3 |
| Project 4 | E1 | Sponsor D | 2017 | \$118,546 | \$94,837 | 88 | 4 |
| Project 4 | E2 | Sponsor D | 2019 | \$115,000 | Local | 88 | 4 |
| Project 4 | CON/CE | Sponsor D | 2021 | \$1,536,800 | \$1,150,000 | 88 | 4 |
| Project 5 | E1 | Sponsor A | 2019 | \$580,000 | Local | 87 | 5 |
| Project 5 | E2 | Sponsor A | 2021 | \$954,000 | \$690,000 | 87 | 5 |
| Project 5 | ROW | Sponsor A | 2022 | \$324,000 | \$250,000 | 87 | 5 |
| Project 5 | CON/CE | Sponsor A | 2023 | \$5,874,000 | \$4,699,200 | 87 | 5 |
| Project 6 | E1 | Sponsor A | 2018 | \$208,550 | Local | 85 | 6 |
| Project 6 | E2 | Sponsor A | 2020 | \$210,000 | Local | 85 | 6 |
| Project 6 | CON/CE | Sponsor A | 2021 | \$2,625,000 | \$2,100,000 | 85 | 6 |
| Project 7 | E1 | Sponsor C | 2020 | \$200,000 | Local | 70 | 7 |
| Project 7 | E2 | Sponsor C | 2021 | \$200,000 | Local | 70 | 7 |

| | | | | | | | |
|------------|--------|-----------|------|-------------|-------------|----|----|
| Project 7 | CON/CE | Sponsor C | 2022 | \$2,475,000 | \$1,900,000 | 70 | 7 |
| Project 8 | E1 | Sponsor B | 2018 | \$79,850 | Local | 65 | 8 |
| Project 8 | E2 | Sponsor B | 2019 | \$80,000 | Local | 65 | 8 |
| Project 8 | CON/CE | Sponsor B | 2021 | \$1,347,800 | \$700,000 | 65 | 8 |
| Project 9 | E1 | Sponsor H | 2020 | \$180,000 | Local | 62 | 9 |
| Project 9 | E2 | Sponsor H | 2021 | \$187,500 | \$150,000 | 62 | 9 |
| Project 9 | ROW | Sponsor H | 2022 | \$1,000,000 | \$800,000 | 62 | 9 |
| Project 9 | CON/CE | Sponsor H | 2023 | \$1,875,000 | \$1,500,000 | 62 | 9 |
| Project 10 | E1 | Sponsor K | 2021 | \$180,000 | Local | 61 | 10 |
| Project 10 | E2 | Sponsor K | 2022 | \$180,000 | Local | 61 | 10 |
| Project 10 | CON/CE | Sponsor K | 2023 | \$2,250,000 | \$1,800,000 | 61 | 10 |
| Project 11 | E1 | Sponsor I | 2023 | \$625,000 | \$500,000 | 60 | 11 |
| Project 12 | E1 | Sponsor J | 2019 | \$400,000 | Local | 58 | 12 |
| Project 12 | E2 | Sponsor J | 2020 | \$400,000 | Local | 58 | 12 |
| Project 12 | ROW | Sponsor J | 2021 | \$3,200,000 | Local | 58 | 12 |
| Project 12 | CON/CE | Sponsor J | 2023 | \$5,000,000 | \$4,000,000 | 58 | 12 |
| Project 13 | E1 | Sponsor B | 2021 | \$1,000,000 | \$800,000 | 55 | 13 |
| Project 14 | E1 | Sponsor C | 2021 | \$500,000 | \$400,000 | 48 | 14 |
| Project 14 | E2 | Sponsor C | 2022 | \$500,000 | \$400,000 | 48 | 14 |
| Project 14 | CON/CE | Sponsor C | 2023 | \$5,000,000 | \$4,000,000 | 48 | 14 |
| Project 15 | E1 | Sponsor C | 2024 | \$800,000 | \$640,000 | 47 | 15 |
| Project 15 | E2 | Sponsor C | 2025 | \$800,000 | \$640,000 | 47 | 15 |
| Project 15 | CON/CE | Sponsor C | 2026 | \$5,000,000 | \$4,000,000 | 47 | 15 |
| Project 16 | E1 | Sponsor J | 2022 | \$400,000 | Local | 45 | 16 |
| Project 16 | E2 | Sponsor J | 2023 | \$400,000 | Local | 45 | 16 |
| Project 16 | ROW | Sponsor J | 2023 | \$3,200,000 | Local | 45 | 16 |
| Project 16 | CON/CE | Sponsor J | 2024 | \$5,000,000 | \$4,000,000 | 45 | 16 |
| Project 17 | CON/CE | Sponsor K | 2025 | \$3,000,000 | \$2,350,000 | 40 | 17 |

Step 2: Individual phases are grouped by requested FFY, and sorted by rank

SAMPLE Project Ranking (grouped by requested FFY)

| Projects | Phase | Sponsor | FFY | Total Cost | STP Request | Cumulative | Rank |
|------------------------|--------------|----------------|------------|-------------------|--------------------|-------------------|-------------|
| <u>FFY 2021</u> | | | | | | | |
| Project 3 | E2 | Sponsor C | 2021 | \$480,000 | \$360,000 | \$360,000 | 3 |
| Project 4 | CON/CE | Sponsor D | 2021 | \$1,536,800 | \$1,150,000 | \$1,510,000 | 4 |
| Project 5 | E2 | Sponsor A | 2021 | \$954,000 | \$690,000 | \$2,200,000 | 5 |
| Project 6 | CON/CE | Sponsor A | 2021 | \$2,625,000 | \$2,100,000 | \$4,300,000 | 6 |
| Project 8 | CON/CE | Sponsor B | 2021 | \$1,347,800 | \$700,000 | \$5,000,000 | 8 |
| Project 9 | E2 | Sponsor H | 2021 | \$187,500 | \$150,000 | \$5,150,000 | 9 |
| Project 13 | E1 | Sponsor B | 2021 | \$1,000,000 | \$800,000 | \$5,950,000 | 13 |
| Project 14 | E1 | Sponsor C | 2021 | \$500,000 | \$400,000 | \$6,350,000 | 14 |
| <u>FFY 2022</u> | | | | | | | |
| Project 1 | CON/CE | Sponsor E | 2022 | \$3,563,000 | \$2,850,000 | \$2,850,000 | 1 |
| Project 3 | CON/CE | Sponsor C | 2022 | \$4,800,000 | \$2,000,000 | \$4,850,000 | 3 |
| Project 5 | ROW | Sponsor A | 2022 | \$324,000 | \$250,000 | \$5,100,000 | 5 |
| Project 7 | CON/CE | Sponsor C | 2022 | \$2,475,000 | \$1,900,000 | \$7,000,000 | 7 |
| Project 9 | ROW | Sponsor H | 2022 | \$1,000,000 | \$800,000 | \$7,800,000 | 9 |
| Project 14 | E2 | Sponsor C | 2022 | \$500,000 | \$400,000 | \$8,200,000 | 14 |
| <u>FFY 2023</u> | | | | | | | |
| Project 2 | E1 | Sponsor G | 2023 | \$250,000 | \$200,000 | \$200,000 | 2 |
| Project 5 | CON/CE | Sponsor A | 2023 | \$5,874,000 | \$4,699,200 | \$4,899,200 | 5 |
| Project 9 | CON/CE | Sponsor H | 2023 | \$1,875,000 | \$1,500,000 | \$6,399,200 | 9 |
| Project 10 | CON/CE | Sponsor K | 2023 | \$2,250,000 | \$1,800,000 | \$8,199,200 | 10 |
| Project 11 | E1 | Sponsor I | 2023 | \$625,000 | \$500,000 | \$8,699,200 | 11 |
| Project 12 | CON/CE | Sponsor J | 2023 | \$5,000,000 | \$4,000,000 | \$12,699,200 | 12 |
| Project 14 | CON/CE | Sponsor C | 2023 | \$5,000,000 | \$4,000,000 | \$16,699,200 | 14 |

| | | | | | | | |
|-----------------------------|--------|-----------|------|-------------|-------------|-------------|----|
| FFY 2024 | | | | | | | |
| Project 2 | E2 | Sponsor G | 2024 | \$250,000 | \$200,000 | \$200,000 | 2 |
| Project 15 | E1 | Sponsor C | 2024 | \$800,000 | \$640,000 | \$840,000 | 15 |
| Project 16 | CON/CE | Sponsor J | 2024 | \$5,000,000 | \$4,000,000 | \$4,840,000 | 16 |
| FFY 2025 | | | | | | | |
| Project 2 | CON/CE | Sponsor G | 2025 | \$2,500,000 | \$2,000,000 | \$2,000,000 | 2 |
| Project 15 | E2 | Sponsor C | 2025 | \$800,000 | \$640,000 | \$2,640,000 | 15 |
| Project 17 | E2 | Sponsor K | 2025 | \$3,000,000 | \$2,350,000 | \$4,990,000 | 17 |
| Beyond Program Years | | | | | | | |
| Project 15 | CON/CE | Sponsor C | 2026 | \$5,000,000 | \$4,000,000 | \$4,000,000 | 15 |

Step 3: Each FFY of the Active Program is filled in, up to the available funding mark, and remaining project phases are placed in a contingency program by rank.

SAMPLE
FFY 21-25 Surface Transportation Program (STP) Program
Active Program - October 2020

| | | | |
|-----------------------------|--------------------------------|-----------|------------------|
| Federal Fiscal Year 21 | FFY21 Estimated Mark | \$ | 5,000,000 |
| Oct 1, 2020 - Sept 30, 2021 | FFY20 Carryover | + \$ | - |
| | FFY21 Estimated Balance | \$ | 5,000,000 |

| <u>FFY21 Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Total Cost</u> | <u>Pgm STP</u> | <u>Notes</u> |
|----------------------------|--------------|----------------|-------------------|-----------|-------------------|---------------------|----------------------|
| Project 3 | E2 | Sponsor C | 6/1/2021 | \$ | 480,000 | \$ 360,000 | Ob Deadline: 9/30/21 |
| Project 4 | CON/CE | Sponsor D | 6/1/2021 | \$ | 1,536,800 | \$ 1,150,000 | Ob Deadline: 9/30/21 |
| Project 5 | E2 | Sponsor A | 8/1/2021 | \$ | 954,000 | \$ 690,000 | Ob Deadline: 9/30/21 |
| Project 6 | CON/CE | Sponsor A | 3/1/2021 | \$ | 2,625,000 | \$ 2,100,000 | Ob Deadline: 9/30/21 |
| Project 8 | CON/CE | Sponsor B | 4/1/2021 | \$ | 1,347,800 | \$ 700,000 | Ob Deadline: 9/30/21 |
| Total FFY21 Program | | | | \$ | 6,943,600 | \$ 5,000,000 | |
| FFY21 Unprogrammed Balance | | | | | | \$ - | |

| | | | | |
|------------------------------------|--------------------------------|--|------|------------------|
| Federal Fiscal Year 22 | FFY22 Estimated Mark | | \$ | 5,000,000 |
| Oct 1, 2021 - Sept 30, 2022 | FFY21 Carryover | | + \$ | - |
| | FFY22 Estimated Balance | | \$ | 5,000,000 |

| <u>FFY22 Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Total Cost</u> | | <u>Pgm STP</u> | <u>Notes</u> |
|----------------------------|--------------|----------------|-------------------|----|-------------------|----|------------------|-------------------------|
| Project 1 | CON/CE | Sponsor E | 1/1/2022 | \$ | 3,563,000 | \$ | 2,850,000 | |
| Project 3 | CON/CE | Sponsor C | 6/1/2022 | \$ | 4,800,000 | \$ | 1,900,000 | Req. \$2M - constrained |
| Project 5 | ROW | Sponsor A | 11/1/2021 | \$ | 324,000 | \$ | 250,000 | |
| Total FFY22 Program | | | | \$ | 10,777,000 | \$ | 5,000,000 | |
| FFY22 Unprogrammed Balance | | | | | | \$ | - | |

| | | | | |
|------------------------------------|--------------------------------|--|------|------------------|
| Federal Fiscal Year 23 | FFY23 Estimated Mark | | \$ | 5,000,000 |
| Oct 1, 2023 - Sept 30, 2023 | FFY22 Carryover | | + \$ | - |
| | FFY23 Estimated Balance | | \$ | 5,000,000 |

| <u>FFY23 Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Total Cost</u> | | <u>Pgm STP</u> | <u>Notes</u> |
|----------------------------|--------------|----------------|-------------------|----|-------------------|----|------------------|--------------|
| Project 2 | E1 | Sponsor G | 5/1/2023 | \$ | 375,000 | \$ | 300,000 | |
| Project 5 | CON/CE | Sponsor A | 6/1/2023 | \$ | 5,874,000 | \$ | 4,699,200 | |
| Total FFY23 Program | | | | \$ | 6,249,000 | \$ | 4,999,200 | |
| FFY23 Unprogrammed Balance | | | | | | \$ | 800 | |

| | | | | |
|------------------------------------|-----------------------------|--|-----------|------------------|
| Federal Fiscal Year 24 | FFY24 Estimated Mark | | \$ | 5,000,000 |
| Oct 1, 2023 - Sept 30, 2024 | FFY23 Carryover | | + \$ | 800 |
| FFY24 Estimated Balance | | | \$ | 5,000,800 |

| <u>FFY24 Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Total Cost</u> | <u>Pgm STP</u> | <u>Notes</u> |
|----------------------------|--------------|----------------|-------------------|-----------|-------------------|---------------------|--------------|
| Project 2 | E2 | Sponsor G | 5/1/2024 | \$ | 250,000 | \$ 200,000 | |
| Project 15 | E1 | Sponsor C | 1/1/2024 | \$ | 800,000 | \$ 640,000 | |
| Project 16 | CON/CE | Sponsor J | 7/1/2024 | \$ | 5,000,000 | \$ 4,000,000 | |
| Total FFY24 Program | | | | \$ | 6,050,000 | \$ 4,840,000 | |
| FFY24 Unprogrammed Balance | | | | | | \$ 160,800 | |

| | | | | |
|------------------------------------|-----------------------------|--|-----------|------------------|
| Federal Fiscal Year 25 | FFY25 Estimated Mark | | \$ | 5,000,000 |
| Oct 1, 2024 - Sept 30, 2025 | FFY24 Carryover | | + \$ | 160,800 |
| FFY25 Estimated Balance | | | \$ | 5,160,800 |

| <u>FFY25 Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Total Cost</u> | <u>Pgm STP</u> | <u>Notes</u> |
|----------------------------|--------------|----------------|-------------------|-----------|-------------------|---------------------|--------------|
| Project 2 | CON/CE | Sponsor G | 6/1/2025 | \$ | 2,500,000 | \$ 2,000,000 | |
| Project 15 | E2 | Sponsor C | 3/1/2025 | \$ | 800,000 | \$ 640,000 | |
| Project 17 | E2 | Sponsor K | 8/1/2025 | \$ | 3,000,000 | \$ 2,350,000 | |
| Total FFY25 Program | | | | \$ | 6,300,000 | \$ 4,990,000 | |
| FFY25 Unprogrammed Balance | | | | | | \$ 170,800 | |

SAMPLE
FFY 21-25 Surface Transportation Program (STP) Program
Contingency Program - October 2020 - Expires 9/30/2022

| <u>Contingency Projects</u> | <u>Phase</u> | <u>Sponsor</u> | <u>Tgt Let/Ob</u> | | <u>Requested Total</u> | | <u>Requested STP</u> | <u>Notes</u> |
|-----------------------------|--------------|-----------------------------|-------------------|----|------------------------|----|----------------------|--------------|
| Project 7 | CON/CE | Sponsor C | 2022 | \$ | 2,475,000 | \$ | 1,900,000 | |
| Project 9 | E2 | Sponsor H | 2021 | \$ | 187,500 | \$ | 150,000 | |
| Project 9 | ROW | Sponsor H | 2022 | \$ | 1,000,000 | \$ | 800,000 | |
| Project 9 | CON/CE | Sponsor H | 2023 | \$ | 1,875,000 | \$ | 1,500,000 | |
| Project 11 | E1 | Sponsor I | 2023 | \$ | 625,000 | \$ | 500,000 | |
| Project 13 | E1 | Sponsor B | 2021 | \$ | 1,000,000 | \$ | 800,000 | |
| Project 14 | E1 | Sponsor C | 2021 | \$ | 500,000 | \$ | 400,000 | |
| Project 14 | E2 | Sponsor C | 2022 | \$ | 500,000 | \$ | 400,000 | |
| Project 14 | CON/CE | Sponsor C | 2023 | \$ | 5,000,000 | \$ | 4,000,000 | |
| | | FFY21 Potential Obligations | | \$ | 1,687,500 | \$ | 1,350,000 | |
| | | FFY22 Potential Obligations | | \$ | 3,975,000 | \$ | 3,100,000 | |
| | | Other Potential Obligations | | \$ | 6,875,000 | \$ | 5,500,000 | |