

# **STP Call for Projects Workshop**

McHenry County Council of Mayors Meeting  
November 14, 2019

# Agenda

1. Background Information
2. Application Process
3. Project Selection
4. Post-selection
5. Active Program Management

**NOTE: Page numbers highlighted on a slide correspond to the page number in the APM Policies.**

# Vocabulary

Some terms everyone should know:

- **Project Program Information (PPI)**

This form lets IDOT know what the project is, where it's happening, when and how it's being funded, project numbers and contact information. These are submitted by the PL with help from the local agency and consultants.

- **Local Agency Agreements (Form BLR 5310)**

This is an agreement between IDOT and the local agency. It shows the local agency has funds set aside and is a formal agreement.

# Vocabulary

Some terms everyone should know:

- **Engineering Services Agreement (ESA)**

This agreement is between the local agency and consultant. There are different forms for different phases. It is submitted to IDOT.

- **Grant Accountability and Transparency Act (GATA) (Form BoBS 2832)**

GATA reporting is required for all state and federally funded projects. It ensures transparency in the grant process. They are required quarterly (at least).

# Vocabulary

Some terms everyone should know:

- **(electronic) Transportation Improvement Program ([e]TIP)**

The database where all projects are stored. It includes funding information, contact information, project location, target letting date, and other information.

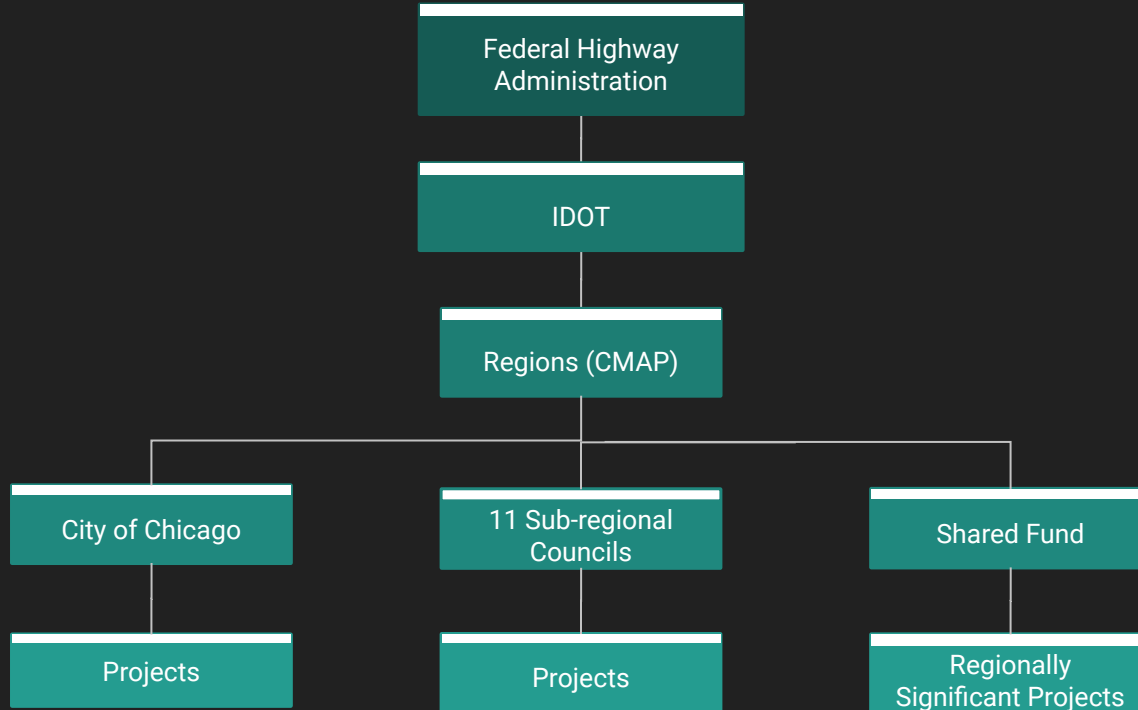
- **Qualifications Based Selection (QBS)**

Allow a LPA to locate a qualified consultant to undertake the project and engage the consultant to provide the creative and technical work required at a fair and reasonable cost.

# 1. Background Information

What you need to know before you apply.

# Surface Transportation Program



# Surface Transportation Program

McHenry County's allotment:

<b>FY 2021</b>	<b>\$3,879,276</b>
<b>FY 2022</b>	<b>\$3,669,512</b>
<b>FY 2023</b>	<b>\$3,480,707</b>
<b>FY 2024</b>	<b>\$3,480,707</b>
<b>FY 2025</b>	<b>\$3,480,707</b>
<b>Total</b>	<b>\$17,990,909</b>

- Presently based on a number of need factors.
- Allotments will change in the out years as final funding amounts are determined.



# Eligibility Requirements

- Must be on an eligible route at application
- Must fall under one of the eligible project types
- Requires a local match
- Must be a member of MCCOM
- Application must be submitted during open Call for Projects (January-March 2020)

# When Do I Apply?

- Opens every January of **even** years, starting with 2020 (in two months!)
- Fills a **five year** program
- Applications are due in **March** of even years (in four months!)
- **Applications must be submitted during Call for Projects**

# Eligible Project Types

## 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)

## Resurfacing


- Resurfacing Projects (LAFO)

# Eligible Routes

- Based on route functional classification
- Anything above local road or street **is eligible**
- Map we will use to determine functional classification is here:  
<https://www.gettingaroundillinois.com/MapView/?config=RFCconfig.json>

## Functional Class


 Interstate

 Freeway or Expressway

 Other Principal Arterial

 Minor Arterial

 Major Collector

 Minor Collector

Local Road or Street

# Eligible Phases

<u>Phase</u>	<u>Ratio (Fed/Local)</u>	<u>Caps</u>	<u>Other restrictions</u>
Phase I (E1)*	50/50	\$300,000 <b>each call</b> \$100,000 cap <b>per project</b>	Resurfacing not eligible for Phase I/Phase II
Phase II (E2)*	50/50		
ROW	0/100 (not eligible)		
Construction	80/20		
Construction Engineering	80/20		

**Total STP award cap is \$1.5 million**

# 2. Application Process

How to apply!

# Your Application

## Requirements:

- Each project requires its own application
- The application must be complete upon submission.
- The application must be submitted during the Call for Projects window (January-March)
- Application must be submitted by the project sponsor

**2020 STP CALL FOR PROJECTS**

**MCHENRY COUNTY  
COUNCIL OF MAYORS**

**APPLICATION**

# The Application

1. Sponsor Agency Information
2. Manager Information
3. Project Information
4. Funding Information
5. Project Schedule Information
6. Project Scoring
  - Roadways and Intersections
  - Resurfacing (LAFO)
7. Safety Improvement Information
8. Work Type Codes

## 2020 STP Project Application

McHenry County Council of Mayors

1. Sponsor Agency Information	1
2. Manager Information	1
3. Project Information	2
4. Funding Information	2
5. Project Schedule Information	3
6. Project Scoring	4
Roadways and Intersections	4
Resurfacing Projects (LAFO)	5
7. Safety Improvement Information	6
8. Work Type Codes	10



# Page 1

## Sponsor Agency Information

- Basic information about the local agency
- Similar to PPI Form

## Manager Information

- Technical Project Manager
- Financial Project Manager

All sections must be completed unless otherwise indicated.

### 1. Sponsor Agency Information

Application Date			
Sponsor Agency			
Local Agency Contact	Name	Title	
	Phone	Email	
Local Agency Contact Address			
Local Agency Codes	TIN	GATA Registration	
	DUNS	SAM Cage Code	

### 2. Manager Information

Technical Project Manager and Financial Project Manager should be different people unless the Technical Project Manager has a direct role in developing the sponsor's budget and/or securing local funding. Please see methodology for more information on Designated Project Managers.

Technical Project Manager	Name	Title	
	Phone	Email	
Financial Project Manager	Name	Title	
	Phone	Email	
Consultant Firm Name	Phase		
Consultant Project Manager	Name	Title	
	Phone	Email	

# Page 2

## Project Information

- Also similar to PPI

## Funding Information

- What Federal Fiscal Year do you want funding for, what phase, how much.
- Description of any non-participating items
- Indication of any additional outside funding

### 3. Project Information

Project Title				
Project Description				
Project Type	Intersection Channelization	Traffic Signals, Modification or Modernization		
	Roadway Widening	Bicycle or Pedestrian Facilities		
	New Roadway Construction	Modern Roundabout*		
	Roadway Reconstruction	Resurfacing		
Municipality/Township				
Route Name				
Length (miles)				
Project Limits	From		To	
Logical Termini	From		To	
Functional Classification				
FAU Route Number				
Federal Congressional District(s)				
IL Representative District(s)				

\* (including mini roundabouts)

### 4. Funding Information

Phase	Federal Fiscal Year (Oct 1 - Sept 30)	Cohort Four - Toll Credits	Requested Federal Funds	Local Funds	Non-Participating Costs	Total Cost
Phase 1 Engineering						
Phase 2 Design						
ROW Acquisition						
Construction						
Construction Engineering						
Description of non-participating items						
Will additional outside funding be required to complete the project?					Yes	No

# Page 3

## Project Schedule Information

- What milestones have you hit in each phase?
- When did you complete them?
- If not completed, do you have any idea when?

### 5. Project Schedule Information

	Milestone	Completed?	Date Estimated/Completed
Phase I	Phase I Engineering Contract Executed		
	IDOT Phase I Engineering Kick-off Meeting		
	Submit Draft Phase I Engineering Project Development Review (PDR) to IDOT		
	Submit Final PDR		
	Phase I Engineering Approval Received from IDOT		
Phase II	Start date for Phase II Qualification Based Selection (QBS) Process*		
	End Date for Phase II QBS Process		
	Submit Draft Local Agency Agreement for Phase II Engineering (BLR 5310)		
	Phase II Engineering Contract Executed by IDOT* OR Phase II Engineering Contract Executed		
	IDOT Approved and Executed Local Agency Agreement (BLR 5310) for Phase II Engineering*		
	IDOT Phase II Engineering Kick-off Meeting		
	Submit Pre-Final Plans w/Estimates to IDOT		
Phase III	Start Date for Phase III QBS Process*		
	End Date for Phase III QBS Process*		
	Submit Draft Local Agency Agreement for Phase III Engineering (BLR 5310)		
	IDOT Approved and Executed Local Agency Agreement (BLR 5310) for Construction and Phase III Engineering*		
	Submit Final Plans, Spec., & Estimates (PS&E) to IDOT		
	ROW Certification by IDOT		
	Target Letting Date		
	Last Approved PPI Form		

\*Required if using federal funds for this Phase

# Page 4

## Project Scoring- Roadways and Intersections

You will not fill out each of these. The PL will fill out:

- Safety Need
- Pavement Condition

For Safety Improvement, there will be a form for you to fill out after the scoring pages.

### 6. Project Scoring

NOTE: Some of these fields will be filled in by the Planning Liaison. They are indicated. However, if you would like to fill them out, the Planning Liaison will double check your score.

#### Roadways and Intersections

Traffic Volume- Average Daily Traffic	15 points (max)
Safety Need — Based on IDOT Safety Tiers (SRI)	12 points
Scored by the Planning Liaison	
Safety Improvement — Based on maximum crash reduction factor associated with proposed project countermeasures	4 points
Please see page 6.	
Pavement Condition — Based on Pavement Condition Testing done by CMAP (IRI, Cracking_Percent), rutting and faulting	9 points
Scored by the Planning Liaison	
Multi-modal Infrastructure Components	14 points (max)
Multi-use path      On-street bike lanes      New bus Marked shared lanes      Sidewalk      shelters	
Project Readiness	15 points
Community Cohort — McHenry County is Community Cohort 1	6 points
ON TO 2050 Planning Measures	25 points
Project sponsor has adopted a Complete Streets Policy or ordinance*	
Project uses green infrastructure to manage stormwater**	
Total:	/100

\*Please provide a link here or attach PDF to application.  
Link:

\*\*Green infrastructure may include the following:

- Permeable pavement/pavers
- Bioswales
- Planter boxes
- Addition of street trees or native plants

# Page 5

## Project Scoring- Resurfacing (LAFO)

You will not fill out each of these. The PL will fill out:

- Safety Need
- Pavement Condition

### Resurfacing Projects (LAFO)

Traffic Volume- Average Daily Traffic	15 points (max)
Safety Need — Based on IDOT Safety Tiers (SRI)	8 points
Scored by the Planning Liaison	
Pavement Condition — Based on Pavement Condition Testing done by CMAP (IRI, Cracking_Percent), rutting and faulting	30 points
Scored by the Planning Liaison	
Bicycle Accommodations	6 points
Project adds or includes bicycle facilities such as bike lanes, widened shoulders, or other bicycle safety measures.	
Project Readiness	15 points
Community Cohort — McHenry County is Community Cohort 1	6 points
ON TO 2050 Planning Measures	25 points
Project sponsor has adopted a Complete Streets Policy or ordinance*	
Project uses green infrastructure to manage stormwater**	
Total:	/100

\*Please provide a link here or attach PDF to application.

Link:

\*\*Green infrastructure may include the following:

- Permeable pavement/pavers
- Bioswales
- Planter boxes
- Addition of street trees or native plants

# Page 6

## Safety Improvement Information

- Check all safety improvements that apply to this project.
- Goes from pages 6 to 9

### 7. Safety Improvement Information

Intersection Improvement			
Add left turn lane permissive	Add protected phase to left turn	Raised median	Add right turn lane
Add 2nd turn lane (to existing)	Extend turn bays	Positive left turn offset - 1 ft. Minimum	
Improve signal timing			
Signalization install adaptive traffic signal control	Signal interconnect	Increase yellow line	All red clearance
Signalization increase yellow interval and add all red interval			
Improve Signal Placement Visibility			
Increase to 12 inch lens	Improve visibility of signal heads	Add 3 inch yellow retroreflective sheeting to signal backplates	Install raised pavement markers and striping (through intersection)
Replace incandescent traffic signal bulbs with light emitting diodes (LEDs)	Add signal (additional primary head) - all lanes have signal	Add right turn lane on one approach signal Urban	Install mast arm
Improve intersection sight distance	Add pedestrian signal	Add bicyclist signal	Add ADA improvements
Improve pedestrian crossing-other	Change crosswalk striping width	Emergency vehicle traffic signal preemption	Allow RTOR
Stop Control to Signal			
Convert from yield signal control to signalized control	Convert minor stop to traffic signal- no left turn lane	Convert minor stop to traffic signal - with left turn lane	

# Page 10

## Work Types

- These correspond to the work type codes in the TIP
- Check all that apply
- Goes from pages 10 to 12

### 8. Work Type Codes CONTINUED ON PAGES 13 AND 14

	Work Type	Code	MME Code	Project Type	Exempt Status
<b>Bicycle</b>					
	Bicycle Parking	E-BIKEPARK	Modernization	Bicycle	EXEMPT
	Improve Bicycle Facility	E-BIKEIMP	Modernization	Bicycle	EXEMPT
	Improve Shared Path Facility	E-SHAREDMODERN	Modernization	Bicycle	EXEMPT
	Maintain Bicycle Facility	E-BIKEMAIN	Maintenance	Bicycle	EXEMPT
	Maintain Shared Use Path	E-SHAREDMAINT	Maintenance	Bicycle	EXEMPT
	New Bicycle Facility	E-BIKENEW	Expansion	Bicycle	EXEMPT
	New Shared Use Path	E-SHAREDNEW	Expansion	Bicycle	EXEMPT
<b>Bridge Deck</b>					
	Full Depth Patching	B-PCHF	Maintenance	Highway	EXEMPT
	Hydro-demolition	B-HYD	Maintenance	Highway	EXEMPT
	Overlay	B-OVR	Maintenance	Highway	EXEMPT
	Partial Depth Patching	C-PCHP	Maintenance	Highway	EXEMPT
	Repair/Rehab	B-DECK	Maintenance	Highway	EXEMPT
<b>Bridge Structure</b>					
	New	B-NEW	Expansion	Highway	NOT EXEMPT
	Paint	B-PNT	Maintenance	Highway	EXEMPT
	Reconst/Rehab Chng in Lane Use/Widths	B-RECNG	Modernization	Highway	EXEMPT TESTED
	Reconst/Rehab No Chng in #, Wdth or Lane	B-REPAIR	Maintenance	Highway	EXEMPT
	Replace	B-REPLACE	Modernization	Highway	EXEMPT
	Repair/Rehab	B-SUB	Maintenance	Highway	EXEMPT

# 3. Next Steps

Application scoring, ranking, and timeline.



# Timeline

**Page 2**

## 2020

**January- March: Call for Projects Period Open**

**April: Projects are Scored**

**May: Draft Recommended Program Released**

**June: Public Comment Period**

**July: Council approves program; projects added to TIP**

**September: CMAP Transportation Committee Approves TIP Changes**

**October: MPO Policy Committee Adopts TIP, funds are available**

## 2021

**April-June: First possible lettings for new projects (subject to funding availability)**

# Project Scoring and Ranking



Project Applications are Scored

Projects are Ranked by Score

Draft Recommended List  
Compiled based on Scores

NOTE: Projects are programmed by year. It may be that a lower ranked project is in the recommended list because it is able to be programmed into a specific year. A higher ranked program may end up on the contingency list because there is not enough money to program it into a certain fiscal year. Constraint is a major part of Active Program Management and crucial to a successful program.

# Scoring

## Roadway and Intersection Projects

Traffic Volume – Average Daily Traffic (ADT)	15 points max
Safety Need (IDOT Safety Tiers)	12 points
Safety Improvement	4 points
Pavement Condition	9 points
Multi-modal Infrastructure Components	14 points max
Project Readiness	15 points
Community Cohort	6 points
ON TO 2050 Planning Measures	25 points

## Resurfacing Projects (LAFO)

Pavement Condition	30 points
Project Readiness	10 points
Traffic Volume - Average Daily Traffic (ADT)	15 points max
Safety Need	8 points
Bicycle Accommodations	6 points
Community Cohort	6 points
ON TO 2050 Planning Measures	25 points

# Active Program

## Page 3

# Contingency Program

- Fiscally constrained, multi-year list
- Included in the TIP
- Subject to obligation deadlines

These are the projects that ranked well, having funding available and are ready to go.

- Next highest projects
- Not funded due to fiscal constraint
- Need to be ready to go and able to obligate funds
- NOT a guarantee of future funding
- Expires with each Call for Projects

These are the projects that ranked well but could not be funded.

# Building a Program

## Appendix

Important things to know about how we build the program.

- Fiscal constraint must be maintained in each year
- Any grandfathered projects are added based on their current schedule
- New projects will be added to program in rank order
- Projects will be added where requested until fiscal constraint prevents it
- Projects or phases will be moved to another year with sponsor agreement
- Projects where all phases can't be accommodated in Active Program due to fiscal constraint can be included in contingency list if phases can be obligated within two years
- Projects that won't be completed within the 5 year window won't be programmed in the active program
- Projects that can't be completed without additional outside funding won't be programmed in the first 2 years of the active program

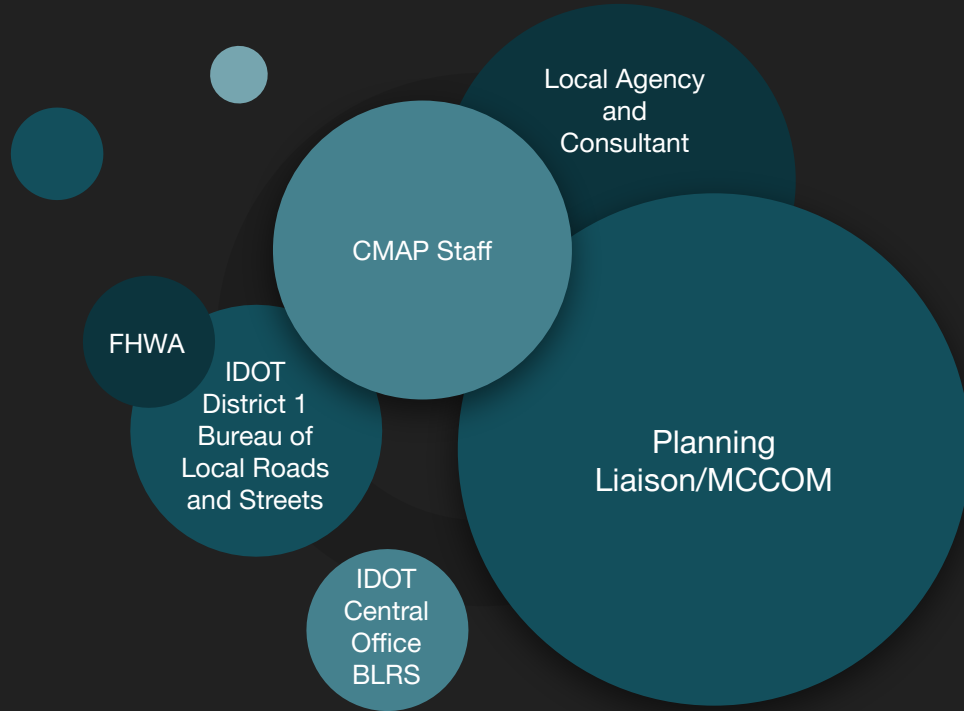
# 4. Congrats! You got funding! Now what?

Getting your project moving.

# Your Homework

- Submit a draft/revised PPI to the PL
- Submit draft agreements
- Work with PL to schedule an IDOT Kick-off Meeting for each engineering phase
- Know APM policies

# Lots of Players...





# So Who Does What?

01	Planning Liaison	<ul style="list-style-type: none"><li>• Schedules meetings with IDOT</li><li>• Submits paperwork to IDOT</li><li>• Coordinates with CMAP</li><li>• Amend projects in the TIP</li><li>• Quarterly status updates</li></ul>
02	Local Agency	<ul style="list-style-type: none"><li>• Designate Project Managers</li><li>• QBS Process for federally funded engineering phases</li><li>• Quarterly and regular status updates</li></ul>
03	CMAP	<ul style="list-style-type: none"><li>• Maintain and approve the eTIP database, including all changes submitted by PL</li><li>• Gets approval for all changes</li><li>• Make sure the PL doesn't mess up</li></ul>
04	IDOT	<ul style="list-style-type: none"><li>• Kick-Off Meetings</li><li>• Project coordination</li><li>• Paperwork (PPIs, agreements, GATA)</li></ul>

# 5. Active Program Management

Making sure your project gets built.

# What is Active Program Management (APM)?

“a mechanism for ensuring timely obligations to protect the region’s funding from lapse and rescission, and to provide flexibility for moving forward projects that are ‘ready’ in favor of those that are ‘delayed’”

*-From CMAP’s APM Policies (page 1)*

# APM Requirements

- Funds must be obligated in their designated federal fiscal year (FFY)
- FFY ends September 30th
- **Page 8:** IF you cannot meet the obligation deadline:
  - **REPROGRAM:** funds to a later fiscal year (if constraint allows)
  - **REQUEST:** a one time, 6-month extension of the phase
  - **REQUEST:** the project be moved to the contingency program
  - **PROCEED:** at your own risk

**You must let Council staff know which option will be taken by April 15th!**

<b>Federally Funded Phase</b>	<b>Federal Obligation Action</b>	<b>Milestone(s)</b>	<b>Milestone Deadline</b>
Phase I Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase 1 QBS completed	Before submitting draft agreements
		2. Draft agreements submitted to IDOT district (3-6 month review)	June 30 (approx.)
Phase II Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase 2 QBS completed	Before submitting draft agreements (may be completed with Phase 1 QBS; may begin before DA received)
		2. Phase 1 Design Approval (DA) received	Before submitting draft agreements
		3. Draft agreements submitted to IDOT district (3-6 month review)	June 30 (approx.)
Right-of-Way	Execution of Local Agency Agreement	1. Phase 1 Design Approval (DA) received	Before submitting documents and draft agreement
		2. Approved plats and legals, cost estimates, and documentation of use of approved firms	Before submitting draft agreement
		3. Draft agreements submitted to IDOT district (3-6 month review)	June 30 (approx.)
Construction (state let)	Execution of Local Agency Agreement (Approx. 6 weeks prior to letting)	1. Phase 2 pre-final plans submitted	Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early-June)

# APM Requirements

- APM can be done at any time
- **Must** have fiscal constraint at all times
- Any project phase(s) moved into the current FFY is subject to obligation deadlines **Page 10**
- It may be necessary to move another project phase or phases out of the current FFY to accommodate ready-to-obligate phases **Page 9**
- MCCOM must publish an updated active program and contingency program prior to making TIP changes **Page 9**

# Quarterly Status Updates

**Page 6**

You must submit quarterly status updates to me every quarter of every FFY.

These are due in:

- December
- March
- June
- September

IF you do not submit a status update, there may be a significant delay in your project, or a loss of funding for current and subsequent project phases.

# Active Reprogramming

Page 9

As mentioned, active reprogramming can occur at any time.

Active reprogramming within the same FFY can be used for:

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

**Each CFP is an opportunity to request reprogramming in a different FFY! (Page 10)**



# Carryover

**Pages 10-11**

**Funds can only be carried over under the following circumstances:**

- Unobligated funds were programmed for a project that was granted an extension
- Unobligated funds are the result of an “obligation remainder”
- Unobligated funds were unprogrammed at the end of the FFY for one of the following reasons:
  - Cost of ready to obligate project(s) exceeds the unprogrammed balance available
  - No projects are ready to obligate the available funds, but MCCOM can demonstrate a reasonable expectation for using the carried over funds in the following FFY.

**All funds aside from those carried over with a project extension expire March 31st of the following calendar year.**

# Unobligated Funds

**Page 11**

- These are the funds that are redistributed to the Shared Fund
- Can be accessed for cost increases or to advance ready to obligate local and shared fund projects.
- Available ONLY if MCCOM's current year funds have been obligated
- First ready, first served basis
- Requests can only be made when obligation of funds is imminent.
- CMAP will determine if Shared Fund funds are available and will approve requests upon verification of obligation readiness.
- Cannot use Shared Fund to go over \$1.5 million cap
- Cannot use Shared Fund for increased costs funded with other sources.

# Cost Increases

- Cannot be guaranteed
- Require approval based on available funds
- Eligible for up to a 10% increase (subject to federal funding cap and available funds)
- Federal funding award cap is \$1,500,000. Anything higher is the responsibility of local agency
- Information on current year cost increases is located in the **STP Program Guidebook**

# ROW Clearances

- Responsibility of local agency
- Must be certified by IDOT by June 30th of the **preceding** FFY to program construction or Phase III engineering in the next FFY.
- Must follow Federal Land Acquisition Process even when using local funds.

# Summary

- Much of this information can be found in either the [MCCOM STP Guidebook](#), [CMAP's website](#), or [IDOT's website](#).
- Communication is key. There are strict deadlines for funding and they need to be met.
- Goal: to obligate all of our money each FFY.

# We are here to help you!

Please reach out if you have any questions about any part of this process, including:

- Applying
- Active Program Management
- Scheduling meetings
- Submitting paperwork
- Funding
- CMAP or IDOT processes

This is a new process for everyone.

# Questions?

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