

# Statewide Planning & Research Funds Fiscal Year 2021 Program Guidance

Illinois Department of Transportation

February 2020

## Contents

Introduction .....	3
Eligibility of Funds .....	3
Requesting SPR funds .....	4
Process for Requesting Funds .....	4
Funding Limitations and Match Requirements.....	5
Project Funding Limitations .....	5
Prioritization of Projects .....	5
Announcement of Successful Projects.....	6
Implementation of Successful Projects.....	6
Program Management.....	7
Invoicing.....	7
Accomplishment .....	7
Status Reporting.....	7
IDOT Participation in Project.....	7
Appendix A – Application.....	8

## Questions?

Holly (Ostdick) Bieneman

Bureau Chief, Planning

Office of Planning & Programming | Illinois Department of Transportation

Office: 217-557-4145 | Cell: 217-206-0655

[holly.bieneman@illinois.gov](mailto:holly.bieneman@illinois.gov)

<http://www.idot.illinois.gov/transportation-system/transportation-management/planning/index>

## Introduction

The Illinois Department of Transportation receives approximately \$20 million annually in Federal Highway Administration State Planning and Research Funds to conduct statewide planning and research activities as identified in 23 USC 135 and 49 USC 5304.

Statewide Planning & Research (SPR) funds are used to support planning and research activities. The funds are used to establish a cooperative, continuous, and comprehensive framework for making transportation investment decisions and to carryout transportation planning and research activities throughout the State. Eligible activities include:

- Planning studies
- Data purchase, collection, and/or analysis
- Program development activities
- Performance management activities
- Coordination/outreach activities

IDOT intends to implement an open and competitive process for use of these funds and is conducting a call for SPR funded projects. All proposed projects should be related to further studying or implementing a goal, strategy, or objective within the State's Long Range Transportation Plan or one of the Department's modal plans. IDOT will evaluate and select projects based on their ability to further study or implement the Long Range Transportation Plan (LRTP) or one of the Department's modal plans.

## Eligibility of Funds

SPR funds are **not** for use on preliminary engineering, design, right-of-way, construction, or maintenance projects. Transportation planning is multi-modal in nature and SPR funds may be used for highways, active transportation, rail (passenger and freight), and transit; however, other non-surface transportation modes such as air and water are not generally eligible. Planning studies or data collection related to air and water may be partially funded based on the portion of the study related to goods movement or surface transportation. IDOT, in coordination with FHWA, will determine if project proposals are eligible for SPR funding.

Proposed projects can be used to support internal agency staff, hire a consultant for assistance, and purchase data or equipment. The procurement of these services, data, or equipment must follow federal and state procurement rules.

Eligible entities must meet the requirements identified in [23 USC 135](#) and include a number of government entities, such as IDOT, other state agencies, planning organizations, or other local jurisdictions. Joint applications are encouraged, such as when multiple sponsors may be interested in a project. Private entities or non-profits are also eligible to apply if they have a public sponsor such as a municipality, park district, county, etc.

## Requesting SPR funds

IDOT's Bureau of Planning will conduct a call for projects in the spring of every year in which bureaus within IDOT, other state agencies, planning organizations, or other local jurisdictions identify planning projects that meet the eligibility requirements identified in 23 USC 135 can request funds.

### Process for Requesting Funds

Public agencies, including IDOT and other state agencies, that are interested in applying for these funds must complete [an online application](#) by the deadline, March 13, 2020 AT 11:59:59 p.m. CDT. A copy of the application is available in Appendix A. The application includes general information regarding the project including:

- Project Sponsor
- Type of Agency (Unit of Government)
- Project Sponsor Contact Information
- Scope of Project
- Total Cost of Project
- Federal Amount Request
- Source and Amount of Match Funds
- Timeframe for accomplishing project
- Associated project numbers
- How the project:
  - Implements the goals, objectives, strategies, or performance measures identified in the State's Long Range Transportation Plan (LRTP) or other modal plans
  - Moves an agency towards completing a performance-based program development process
  - Implements the Transportation Asset Management Plan
  - Benefits a disadvantaged/economically distressed community
- Previous associated planning efforts
- Partnerships
- Deliverables
- Final Product

Non-IDOT applicants must submit<sup>1</sup>:

- [Grant Accountability and Transparency Act \(GATA\) application](#)
- [GATA Budget Template](#)
- [Programmatic Risk Assessment](#)

Non-IDOT applicants must comply with GATA, which includes logging into the [Grantee portal](#) and completing the following for SFY 2021:

- Registration
- Pre-Qualification

- Internal Control Questionnaire (ICQ)
- Indirect Cost Information

The above listed GATA requirements are completed annually per agency. This call is for State Fiscal Year 2021 (SFY21) (7/1/20 to 6/30/21). If your agency has already completed these for SFY21 they do not need to be completed again.

## Funding Limitations and Match Requirements

Statewide Planning and Research funds are federal funds. A 20% match is required to use these funds. However, a match greater than 20% will be considered positively when prioritizing projects. Conversely, projects may request a waiver from providing local match assistance. The waiver of the matching requirement will be strongly considered for projects that benefit disadvantaged/economically distressed communities.

These funds are a reimbursement program where the project sponsor is responsible for incurring 100% of the upfront costs and then is reimbursed up to 80% after invoicing IDOT. Illinois receives approximately \$20 million annually; however, more than \$20 million is available for SFY21. While soft match is a possibility, it requires increased documentation from the project sponsor and additional administrative activities by IDOT, so the use of soft match should be avoided. If soft match is requested, IDOT will be seeking additional information on the necessity to use soft match.

## Project Funding Limitations

There is no project minimum cost; however, with SPR funds being federal funds and a grant from IDOT, the amount of paperwork and time for processing should be considered when applying for a project less than \$20,000.

There is no maximum project cost limitation.

Projects that spend out over multiple years are eligible. If a project has multiple phases, such as identification of a new multi-modal transfer and then studying the economic impact of the new multi-modal transfer center, those types of projects are eligible.

## Prioritization of Projects

The goal of this program is to further implement the ongoing planning and performance-based initiatives of the Department. Therefore, IDOT will evaluate projects for:

- How the proposed scope of work supports the Department's goals and objectives identified in its many policy documents including:
  - [Long Range Transportation Plan](#)
  - [Transportation Asset Management Plan](#)
  - [Freight Plan](#)
  - [Transit Plan](#)
  - [Rail Plan](#)

- [Bike Plan](#)
- [All Hazards Vulnerability Assessment](#)
- Other modal plans
- If the project is implementing asset management
- If the project is moving an agency forward in implementing performance-based program development
- If the project is benefiting a disadvantaged/economically distressed community
- If the proposed budget is reasonable given the scope of work and funds are available
- If the proposed local match is greater than 20%
- If the project is a continuation of previous planning efforts
- If the project involves multiple jurisdictions
- If the project is scalable to a larger geography such as countywide or statewide
- Community need
- Geographic diversity
- Inactivity on prior SPR project

For **non-IDOT** Grantees, the Bureau Chief of Planning also evaluates:

- GATA Portal Registration
- GATA Portal Pre-Qualification
- GATA Portal ICQ
- Programmatic Risk Assessment
- Audit Findings

## Announcement of Successful Projects

Projects that are to receive funding will be included in the State Fiscal Year 2021 SPR-PL Planning Work Program that is effective July 1, 2020. This document outlines the planning activities occurring in the state. Sponsors will be made aware of their selection in early July 2020.

## Implementation of Successful Projects

Successful non-IDOT projects will need to enter into an Intergovernmental Agreement with the Department of Transportation. Information provided during the application will be sufficient to draft the intergovernmental agreement. Prior to receiving the intergovernmental agreement, a notice of state award (NOSA) will be provided indicating specific terms and conditions based on the responses received in the internal control questionnaire and programmatic risk assessment. The NOSA must be accepted, along with the terms and conditions indicated within the NOSA. The intergovernmental agreement will be drafted by IDOT and sent to the successful applicant for local execution. Once the agreement is locally executed, it will be sent back to IDOT for execution. **No work can begin until the agreement is fully executed.** The entire process should take approximately 8-12 weeks.

## Program Management

### Invoicing

Invoicing must begin within the first three months of the execution of the agreement. If it does not, the project will be considered for removal from the program and will not be able to move forward.

### Accomplishment

The project must be accomplished within the timeframe indicated within the agreement barring any extenuating circumstances. Request for extension of the project must be requested as soon as possible. Requesting an extension can be completed by sending an e-mail to the project's IDOT contact.

### Status Reporting

Quarterly reports of status of the project are required. The status reports must include progress made over the last quarter and whether the project is still on track to be accomplished by timeframe outlined within the application.

Additional reporting requirements will be on an agency by agency basis and will be outlined in the NOSA as well as the Agreement. By accepting the NOSA and executing the agreement, the agency agrees to comply with the additional reporting requirements.

### IDOT Participation in Project

Currently IDOT does not have the staff to participate on a project steering committee or have a prominent level of coordination for project implementation; however, IDOT will be available to provide any advice, data, and assistance upon request. In return, the project sponsor will be responsive to requests of status or data made from IDOT to the project sponsor.

# Statewide Planning & Research Funds Application

Please complete this application by 3/13/20 at 11:59:59 p.m. CDT to be considered for these federal planning funds. Program Guidance is available here:

<http://www.idot.illinois.gov/transportation-system/transportation-management/planning/index>

\* Required

---

Email address \*

Your email

---

---

1. Grantee/Organization Name \*

Please provide the sponsor of the project.

Your answer

---

---

2. Grantee/Organization Contact Name \*

Your answer

---

---

3. Grantee/Organization Contact Phone \*

Your answer

---

4. Grantee/Organization Mailing Address \*

Your answer

---

---

5. Grantee/Organization Contact E-mail \*

Your answer

---

---

6. Grantee/Organization Project Number

Add grantee/organization project number for tracking

Your answer

---

---

7. Project Title \*

Please provide a short/concise title for the project. This is how it will be commonly referred to.

Your answer

---

---

8. Project Scope \*

Please provide a description of the project. This should include an explanation of the need for the project, the ultimate product of the project (i.e. planning study), and how that ultimate project will be accomplished (i.e. data collection and analysis).

Your answer

---

---

### 9. Deliverable to be Submitted

Please describe the product of completion for the project that will be delivered to the Illinois Department of Transportation (IDOT).

Your answer

---

### 10. Total Cost of the Project \*

Please indicate the total cost of the project. 20% match is required. Enter data as whole numbers, for example, 125,000.

Your answer

---

### 11. Federal Amount of the Project \*

Please indicate the federal amount of the project. At minimum this is 80% of the total project cost.

Your answer

---

### 12. Would you like to request a waiver from providing local (non-federal) match? \*

In some cases, especially if the project is assisting a disadvantaged/economically distressed community, the state can provide matching funds for the project. In this instance, the budget template should include all funds (federal and match) in Section A.

Yes

No

### 13. Please explain why a waiver from providing local match is being requested. \*

Limited funds are available to provide local (non-federal) match. Instances where the project benefits a disadvantaged/economically distressed community will receive priority for receiving match assistance.

Your answer

---

**14. Source of Local (non-federal) Match \***

Please add the source of local match. Make sure to indicate if it is already included in your agency's current fiscal year budget. If the request is to receive a waiver from providing local match, please indicate here that state funds are being request for local (non-federal) match.

Your answer

---

**15. Time needed to complete the project \***

The earliest available start date would be approximately September 1, 2020. Please indicate when you anticipate beginning this project and the projected project completion date. Please be generous in your estimate to avoid unnecessary paperwork extending the project.

Your answer

---

**16. If the project spans more than one state fiscal year (SFY), please indicate the amount to be spent in each SFY.**

State fiscal year is July 1-June 30. This program is for SFY 21. Additionally, indicate the costs for each phase. An example response for this item is: Total project cost \$150,000. Anticipated SFY 21 expenditures for data collection and tool development - \$100,000; Anticipated SFY 22 expenditures for final plan - \$50,000.

Your answer

---

**17. For Locally sponsored projects, please provide: Name of Individual Authorized to Execute Project Agreement**

Your answer

---

**18. For Locally sponsored projects, please provide: Title of Individual Authorized to Execute Project Agreement**

Your answer

---

19. For Locally sponsored projects, please provide: Email of Individual Authorized to Execute Project Agreement

Your answer

---

20. For State sponsored projects, will significant staff time be used to prepare for this project, analyze data that comes from this project, or implement this project in any way?

Your answer

---

21. Explain how this project assists in meeting the goals of the IDOT Long Range Transportation Plan or one of the Department's modal plans.

Make sure to include if it meets objectives/strategies/performance measures/implementation identified in the LRTP or modal plan. All plans are available here: <http://www.idot.illinois.gov/transportation-system/transportation-management/planning/lrtp/index>

Your answer

---

22. Explain how this project assists in implementing a performance based program development process.

This could include collecting, purchasing, or analyzing data.

Your answer

---

23. Explain how this project helps implement asset management practices.

Explain how this project develops analytical tools or data collection that help prioritize future improvements to existing assets such as transit vehicles, pavement, and bridges, use asset condition data to predict the impact of different improvement strategies on future network conditions, or determine activities that will slow the rate of pavement and bridge deterioration so assets last as long as possible.

Your answer

---

24. Explain how this project benefits a disadvantaged/economically distressed community.

Please explain how this project benefits a disadvantaged/economically distressed community. This could include, enhanced mobility for disadvantaged populations, economic development plan for underserved communities, or other planning activities that benefit disadvantaged/economically distressed communities. Please make sure to include why this community is considered disadvantaged or economically distressed. While difficult to quantify for planning projects, the state has developed the following maps indicating some metrics that could be used to identify disadvantaged/economically distressed communities:

<https://www2.illinois.gov/dceo/ExpandRelocate/Incentives/Pages/UnderservedAreas.aspx>

<https://illinois-epa.maps.arcgis.com/apps/webappviewer/index.html?id=f154845da68a4a3f837cd3b880b0233c>

Your answer

---

### Supplemental information

Please complete and e-mail the following documents to [DOT.OPP.GrantApplications@illinois.gov](mailto:DOT.OPP.GrantApplications@illinois.gov). Make sure to include your project title in the e-mail and file name.

GATA Application: <http://idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/Planning/FY21-Grant%20Application.docx>

GATA Budget Template: [http://idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/Planning/LocalMatch\\_FY21UniformGATABudgetTemplate.pdf](http://idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/Planning/LocalMatch_FY21UniformGATABudgetTemplate.pdf)

Programmatic Risk Assessment: <http://idot.illinois.gov/Assets/uploads/files/About-IDOT/Misc/Planning/FY21%20SPR%20%20Programmatic%20Risk%20Assesmenst.docx>

A copy of your responses will be emailed to the address you provided.

**Submit**

Never submit passwords through Google Forms.

## Appendix B – Application Check List

Application Questions				
Item #	Item	Explanation	Is this done?	Required
n/a	e-mail address	This e-mail allows the application to be sent back to the person completing the application.		Yes
1.	Grantee/Organization Name	The agency sponsoring the project, will provide or secure local match, & if non-IDOT, will enter into an agreement with IDOT.		Yes
2.	Grantee Organization/Contact Name	The contact at the agency sponsoring the project.		Yes
3.	Grantee/Organization Contact Phone	Enter the phone number of the main contact for the project.		Yes
4.	Grantee/Organization Mailing Address	Enter the mailing address of the main contact for the project.		Yes
5.	Grantee/Organization Contact E-mail	Enter the e-mail address of the main contact for the project.		Yes
6.	Grantee/Organization Project Number	Add grantee/organization project number for tracking, if applicable.		No
7.	Project Title	Enter the title of the project. Keep it concise. This will be how the project is referred to.		Yes
8.	Project Scope	Provide a description of the project. This will work as the scope of services to be included in the agreement if the project is selected for funding. This should include an explanation of the need for the project, the ultimate product of the project (i.e., planning study), and how that ultimate project will be accomplished (i.e., data collection and analysis).		Yes
9.	Deliverable to be Submitted	Describe the product of completion for the project that will be delivered to IDOT		Yes
10.	Total Cost of the Project	This is the total cost to complete the project. A 20% match is required. Enter in cost format. No cents are needed.		Yes
11.	Federal Amount of the Project	This is the amount request for the grant. The maximum that can be requested is 80% of the Total Cost of the Project.		Yes

12.	Request a waiver from providing local (non-federal match)?	In some instances, IDOT will provide match. Generally, this will occur when the project benefits a disadvantaged/economically distressed community, or the project is for an MPO or Rural Planning Organization that is using their state planning funds as match to the federal funds.		Yes
13.	Why waiver for local (non-federal match) is being requested	Explain why this project should be granted a waiver for local (non-federal) match. The two main options would be that this project benefits a disadvantaged/economically distressed community, or the project is for an MPO or Rural Planning organization that is using their state planning funds as match to the federal funds.		Yes
14.	Source of Local Match	At minimum, 20% local match is required for the project. Indicate the source of the local match.		Yes
15.	Time Needed to Complete the Project	If selected for funding, 9/15/2020 is the earliest a project can begin. Indicate the anticipated time necessary and project end date. The agreement with IDOT (for non-IDOT sponsors) will indicate this as the end date for the agreement. Any requests for reimbursement for work completed after this date will not be approved.		Yes
16.	If the project spans more than one state fiscal year (SFY), please indicate the amount to be spent in each SFY.	The state fiscal year is July 1 to June 30. This program is for SFY20. An example response for this item is: Total project cost \$150,000. Anticipated SFY20 expenditures - \$100,000; SFY21 expenditures - \$50,000.		No – only complete if project spans more than one SFY.
17.	For Locally sponsored projects, please provide: Name of Individual Authorized to Execute Project Agreement	Enter the name of the individual in your organization who is authorized to execute the agreement for the project.		Yes, if a locally-sponsored project.
18.	For Locally sponsored projects, please provide: Title of Individual Authorized to Execute Project Agreement	Enter the title of the individual in your organization who is authorized to execute the agreement for the project.		Yes, if a locally-sponsored project.
19.	For Locally sponsored projects, please provide: Email of Individual Authorized to Execute Project Agreement	Enter the email address of the individual in your organization who is authorized to execute the agreement for the project.		Yes, if a locally-sponsored project.

20.	For State sponsored projects, will significant staff time be used to prepare for this project, analyze data that comes from this project, or implement this project in any way?	Answer yes or no. If yes, elaborate.		Yes, if a state-sponsored project.
21.	Explain how this project assists in meeting the goals of the IDOT Long Range Transportation Plan or one of the Department's modal plans.	Indicate here how the proposed project moves forward the goals and objectives of the Long Range Transportation Plan or one of the Department's modal plans. All the plans produced by the department include goals and objectives. They should be reviewed and indicated here how this project will move those goals or objectives forward.		Yes
22.	Explain how this project assists in implementing a performance-based program development process.	Indicate here how the project moves forward implementing a performance based program development process. This could include collecting, storing, or analyzing data, creating tools or interfaces for viewing data, or conducting outreach on performance based program development.		Yes, as appropriate
23.	Explain how this project helps implement asset management practices.	Explain how this project develops analytical tools or data collection that help prioritize future improvements to existing pavements and bridges, use asset condition data to predict the impact of different improvement strategies on future network conditions, or determine activities that will slow the rate of pavement and bridge deterioration so assets last as long as possible.		Yes, as appropriate
24.	Explain how this project benefits a disadvantaged/economically distressed community	This could include, enhanced mobility for disadvantaged populations, economic development plan for under served communities, or other planning activities that benefit disadvantaged/economically distressed communities. Please make sure to include why this community is considered disadvantaged or economically distressed. While difficult to quantify for planning projects, the state has developed the		Yes, as appropriate

		following maps indicated some metrics that could be used to identify disadvantaged communities: <a href="#">DCEO</a> ; <a href="#">IEPA</a>		
<b>Supplemental Information</b>				
	<a href="#">GATA Application</a>	Complete the questions in the application. Questions 1-12 have already been completed. Send to <a href="mailto:DOT.OPP.GrantApplications@illinois.gov">DOT.OPP.GrantApplications@illinois.gov</a> by the deadline.		If a non-IDOT sponsor, yes.
	<a href="#">Programmatic Risk Assessment</a>	Complete the questions and send to <a href="mailto:DOT.OPP.GrantApplications@illinois.gov">DOT.OPP.GrantApplications@illinois.gov</a> by the deadline. This questionnaire is best completed by fiscal and administrative staff. Do your best in completing it.		If a non-IDOT sponsor, yes.
	<a href="#">GATA Budget Template</a>	Instructions for completing the GATA budget template are available within the document. Section A on page 1 would be the amount of federal funds requested (80% [or less] of total cost) and any non-federal match requested from the state. Section B on page 3 is the local match (20% [or more] of total cost). Make sure to select the appropriate check box on page 2 for indirect cost rate information. If an indirect cost rate has not been negotiated with a federal cognizant agency, the agency is not using <i>de minimus</i> , or no indirect costs are being charged, the applicant must negotiate an indirect cost with the State of Illinois through the CARS system. Make sure to have the appropriate people sign on page 4 before submitting the budget document. These are federal funds, therefore page 5 of the budget must be completed. Complete the budget and sent to <a href="mailto:DOT.OPP.GrantApplications@illinois.gov">DOT.OPP.GrantApplications@illinois.gov</a> by the deadline.		If a non-IDOT sponsor, yes.