ILLINOIS TRANSPORTATION

ENHANCEMENT PROGRAM

ITEP PROGRAM GUIDELINES

Funding Provided by
Fixing America’s Surface Transportation Act (FAST Act)

PREPARED BY

Illinois Department of Transportation
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Section A

PROGRAM BACKGROUND

Purpose of Guidelines

These guidelines are intended to assist project sponsors in understanding the eligibility of their projects and the responsibilities of all parties involved. The guidelines explain program policies and regulations, the application process, and how projects are reviewed, approved, and implemented. A list of abbreviations and acronyms appear in Appendix 1.

Key Points

These key points need to be understood and addressed before a sponsor applies for funding. The key points of the Illinois Transportation Enhancement Program (ITEP) include:

NEW for 2019-2020 ITEP Cycle 14

✓ Before application submission, Phase I Engineering must be complete by submitting the Final Project Development Report to IDOT for review and approval and the submittal date is included and can be verified in the application.
✓ New rules for street lighting and pedestrian lighting. Eligible lighting must be co-located with an alternate transportation facility or be in a designated historical district. See Streetscape Lighting in Section C for further guidance.
✓ All bike and pedestrian facilities are required to be paved.
✓ In order to apply for ITEP funds, every applicant must be registered through the Grant Accountability and Transparency Act (GATA) grantee portal, and all pre-award requirements must be fulfilled. All GATA pre-award documents must be submitted before receiving a grant award. All grant recipients are required to submit financial reports according to award letter, and the Notice of State Award (NOSA).

✓ Projects must enhance the transportation system by serving a transportation need or providing a transportation use or benefit.
✓ Projects must have an eligible project sponsor such as a local government or state agency sponsor.
✓ The ITEP is a reimbursable grant program, which requires an interagency/joint funding agreement that details the project scope of work and cost participation.
✓ Local project sponsors may have to seek alternative funding sources or be able to provide additional local funds to complete a project. Sponsors may request additional funds, but they are not guaranteed.
✓ Project sponsors must provide the matching funds, follow the appropriate federal and state guidelines, manage the project and maintain the project after completion.
Federally funded projects must follow all federal right-of-way and easement requirements regardless of whether enhancement funding is involved in the acquisition.

Projects must be implemented in a timely manner in accordance with the Sunset Clause (Section I).

Project funds must be for public benefit and public use and cannot be used to solely benefit private or commercial businesses or individuals.

Operation and maintenance costs, along with contingency fees, are ineligible for ITEP funds.

Any unused ITEP funds remaining after project completion will be returned to the program. They may not be used for additional work or for another project.

If more than one application is submitted by a project sponsor, each application will be reviewed and scored based on its own merit, regardless of category or relationship to any other application submissions.

Before any work qualifies for federal reimbursement: 1) all costs must be approved for funding; 2) authorization must be received from the Federal Highway Administration (FHWA); and 3) any required agreements must be in place.

The maximum ITEP award per project is capped at $2 million.

Road work (i.e. resurfacing) and parking lot improvements that support cars, trucks, and buses are ineligible for ITEP funds.

About the Program

On December 4, 2015, the transportation bill, Fixing America’s Surface Transportation Act, or “FAST Act” was signed into law. The FAST Act eliminated the MAP-21 Transportation Alternatives Program (TAP) and replaced it with a set-aside of Surface Transportation Block Grant (STBG) program funding for transportation alternatives authorized under Section 1109 of the FAST Act (23 U.S.C. 133(h)). This STBG program set-aside provides funding for the ITEP.

The enhancement program allows the scope of transportation projects to expand beyond the traditional accommodations for cars, trucks and transit. Each state has flexibility to create a program that best suits its needs, within the limits of the law.

The goal of ITEP is to allocate resources to well-planned projects that provide and support alternate modes of transportation, enhance the transportation system through preservation of visual and cultural resources and improve the quality of life for members of the communities. ITEP requires communities to coordinate efforts to develop and build safe, valuable and functional projects in a timely manner.

Under ITEP, the Illinois Department of Transportation (IDOT) works jointly with other state agencies, local governments, interest groups and citizens in enhancing the transportation system and building more livable communities. The enhancement program allows the opportunity for the public to become directly involved in transportation projects. Public participation is encouraged throughout the entire program.
planning, development and implementation process. The public may provide comments on the program
guidelines, as well as individual projects.

Funding

Pursuant to federal requirements as established by MAP-21 and subsequently by the FAST Act, a proposed
project must meet the following criteria to qualify for STBG funds:

- The project must fit within one of the eligible categories and must comply with any additional IDOT
  policies as outlined in these guidelines.
- The project must relate to surface transportation.
- The project must have an eligible project sponsor.
- The project must be selected through a competitive process.

As with any federal transportation program, federal budgetary constraints will control the total amount of
federal funds that are available for the ITEP. Additionally, state budget constraints could impact the level of the
program in any year.

Federal funds will provide reimbursement up to 50 percent for right-of-way and easement acquisition costs,
and up to 80 percent for Phase II Engineering, utility relocations, construction engineering and construction
costs. The required 20 percent or 50 percent local match is the responsibility of the project sponsor.
There are a variety of other funding sources available to communities (see Matching Funds under Section
D). Other federal transportation funds cannot be used as local match. Sponsors should seek alternative
funding sources or be able to make up funding shortfalls with local funds.

Eligible Project Sponsors:

Under 23 U.S.C. 213(c)(4)(B), the eligible entities to receive enhancement funds are:

- local governments;
- regional transportation authorities;
- transit agencies;
- natural resource or public land agencies;
- school districts, local education agencies, or schools;
- tribal governments;
- nonprofit entities responsible for administration of local transportation safety programs; and
- any other local or regional governmental entity with responsibility for oversight of transportation or
  recreational trails (other than a metropolitan planning organization or a State agency) that the State
determines to be eligible, consistent with the goals of this subsection.

Although IDOT and other State agencies and MPOs with responsibility for oversight of transportation or
recreational trails cannot sponsor a project, they can partner with an eligible project sponsor.
Section B

METROPOLITAN PLANNING ORGANIZATIONS WITH TRANSPORTATION MANAGEMENT AREAS

The FAST Act continues to require states to allocate STBG funds to urbanized areas with a population greater than 200,000, as under TAP. These areas are referred to as Transportation Management Areas (TMAs). The TMAs are represented by a Metropolitan Planning Organization (MPO). A list of those urbanized areas and their respective MPOs are provided below in this section.

In addition to the ITEP program offered through IDOT, the MPOs that include a TMA may also be accepting applications for TAP or STBG funds. Those MPOs with a TMA may choose to have their own application schedule and selection process separate from IDOT. A complete list of Illinois MPOs and their points of contact is included in Appendix 5.

✓ If you have submitted an application for TAP or STBG program funding through your local MPO, you may also submit an application for the same project or a different project through IDOT’s ITEP.
✓ If you are approved for TAP or STBG funds through another source, those funds cannot be used to offset any required local match.
✓ You are required to report any TAP or STBG funds you have received from any source during the application process.
✓ Your funding amount may have to be adjusted if you received TAP or STBG funds from two different sources for the same project.

TMAs - Illinois has five MPOs with urbanized areas having a population greater than 200,000:

1) Bi-State Regional Commission (Davenport/Quad Cities)

2) Chicago Metropolitan Agency for Planning (Chicago & Round Lake Beach-McHenry-Grayslake)

3) East-West Gateway Council of Governments (East St. Louis)

4) Rockford Metropolitan Agency for Planning (Rockford)

5) Peoria/Pekin Urban Area Transportation Study (Peoria)
Section C

PROGRAM CATEGORIES

In order to be eligible for enhancement funding, a project must be located on public property and must demonstrate a relationship to surface transportation. The enhancement projects must enhance the transportation system either by serving a transportation need or providing a transportation use or benefit. Activities are not eligible if they are routine maintenance projects such as re-striping a trail, cleaning up debris or repairing broken curb.

Please be advised that if your project involves sidewalk work you most likely will be required to update the facility to meet current ADA Accessibility Standards. That would include, but not be limited to, curb cuts and handicapped ramps at intersections and corrective measures to fix cross slopes that exceed the ADA standards. In this example, curb cuts for the disabled would be eligible since they are required as a part of the overall project.

Using the federal guidelines as defined under the FAST Act, IDOT is accepting project applications for ITEP funding in 9 categories.

Funding Categories:

1) Pedestrian/Bicycle Facilities
2) Streetscapes (Stand-alone Landscape projects are ineligible)
3) Conversion of Abandoned Railroad Corridors to Trails
4) Historic Preservation and Rehabilitation of Historic Transportation Facilities
5) Vegetation Management in Transportation Rights-of-Way
6) Archaeological Activities Relating to Impacts from Implementation of a Transportation Project
7) Storm Water Management, Control and Water Pollution Prevention or Abatement Related to Highway Construction or Due to Highway Runoff
8) Reduce Vehicle-Caused Wildlife Mortality or Restore and Maintain Connectivity Among Terrestrial or Aquatic Habitats
9) Construction of Turnouts, Overlooks, and Viewing Areas

The following activities are ineligible for ITEP funds:

- Scenic or historic highway programs (including the provision of tourist and welcome center facilities)
- Provision of safety and educational activities for pedestrians and bicyclists
- Acquisition of scenic easements and scenic or historic sites
- Establishment of transportation museums
- State or MPO administrative purposes
- Promotional activities
- Routine maintenance and operation
- General recreation and park facilities, playground equipment, sports fields, campgrounds, picnic areas and pavilions
✓ Road work (i.e. resurfacing)
✓ Bike sharing programs – capital and operational costs
✓ Bike/bus/picnic shelters
✓ Equestrian and snowmobile trails
✓ Landscape work (as a stand-alone project)
✓ Parking lots/parking spaces/striping (that support traditional modes of transportation such as cars, trucks, and buses
✓ Storm sewers (see storm sewers in streetscape category)
✓ Trash receptacles
✓ Courthouses
✓ Building purchase
✓ Alleyway improvements
✓ Trail resurfacing (maintenance)
✓ Bicycle lockers/racks (as a stand-alone project)
✓ Pedestrian crossings (as a stand-alone project)
✓ Street lighting (with no co-located alternate transportation facility or as a stand-alone project; unless in a designated historic district)
✓ Pedestrian lighting (as a stand-alone project)
✓ Fences (unless addressing a significant safety issue)
✓ Recreational trails
✓ Benches (unless permanent in nature, limited use)
✓ Non-paved surfaces on pedestrian/bicycle facilities

**Category-Specific Information Including Eligible and Ineligible Items**

The following defines the ITEP eligible project categories and eligible/ineligible items within each category:

1. **Pedestrian / Bicycle Facilities**
   These types of projects create alternative transportation options to complement the existing transportation system. By providing access to workplaces, businesses, schools, universities and shopping centers, communities have an alternative mode of transportation. Projects that improve existing facilities by making them more accommodating and/or accessible for pedestrian and bicycle use are eligible for funding. Projects can be at new locations or can improve existing facilities by providing connections to other regional facilities. Bike facilities, multi-use paths and sidewalks are eligible items in this category. Routine maintenance such as striping and repairing cracks are ineligible for ITEP funds.

   ITEP funds cannot be used as a match to Safe Routes to School Program funds. However, projects that would complement or extend a Safe Routes to School Program project would be eligible.

   **Projects under this category must:**
✓ provide a mode of transportation from one destination to another or make a transportation facility more accessible or accommodating for pedestrians or bicyclists (projects cannot be solely for recreational uses)

✓ be included in a local, regional or statewide plan (bikeway, trail or greenways) and must be consistent with the Metropolitan Planning Organization (MPO) plan

✓ be constructed in reasonable, useable segments and provide logical termini

✓ include signing in bikeway projects for directions, permitted users and rules of the bikeways

Project elements eligible for funding as part of pedestrian/bicycle projects are:

✓ bikeways (lane, path, route and trail)

✓ installing new sidewalks or replacing existing sidewalks (Note: projects that are solely routine maintenance or sidewalk repairs are ineligible)

✓ pedestrian/bicycle structures crossing rivers, railroads and roadways

✓ pedestrian crossings (not eligible as a stand-alone project)

✓ bikeway connections through local communities

✓ bicycle lockers/racks

✓ crossing warning lights (per MUTCD)

✓ pedestrian modifications to existing signals (ped heads, push buttons, etc.)

✓ utility relocation (see Section D)

✓ pedestrian lighting*

✓ directional and regulatory signs

✓ Planting trees and shrubs as a part of a larger project

✓ benches** (must be permanent in nature [built-in] or bolted/anchored down)

✓ fencing (must be addressing a significant safety issue)

✓ parking lots***

✓ restrooms***

✓ water fountains***

*Lighting along bike paths will not be eligible unless justification can be provided that would address a significant safety risk and local sponsor can show that the path will be utilized at night time for transportation purposes. Lighting of pedestrian underpasses would be eligible if conditions warrant the need.

Justification for the bike path lighting could come in several ways. For example: if the path connects to other trails that are currently being used at nighttime for commute purposes, a survey of existing users would suffice; if the path connects to businesses such as an industrial/manufacturing area that runs multiple shifts; if the path connects to a transit station that operates during nighttime; if other significant safety considerations can be provided. It may be that only a portion of the trail would be eligible for ITEP funds based on the information provided.

** Benches that meet the criteria of “permanent in nature” (being built-in or bolted down or secured in a similar fashion) are eligible but will be limited. On the average, benches will be limited to a maximum of two benches per mile of bike trail or two benches per block per side on a streetscape project. The project sponsor may elect to provide additional benches but ITEP will only pay for a limited amount.
Parking lots, restrooms and water fountains are eligible as part of a bicycle/pedestrian trail head project. These amenities will only be eligible if they are to be constructed with your bicycle/pedestrian project or if they serve as a trailhead for an existing bicycle/pedestrian facility – they are not eligible as stand-alone projects. Parking lots, lanes, and improvements are ineligible as a part of streetscape projects.

Ineligible project elements in this category include:

- Trails for recreational use only. For example, a loop trail within a park is ineligible because it does not provide transportation from one destination to another.
- Equestrian trails
- Snowmobile trails
- Trash receptacles
- Campgrounds
- Picnic tables
- Picnic shelters
- Bus shelters
- Bike shelters
- Installation of new traffic signals
- Routine maintenance such as resurfacing, striping, or repairing cracks
- Trail resurfacing as a stand-alone project is ineligible and is considered maintenance
- Planting trees and shrubs as a stand-alone project
- Bike sharing projects including capital costs, bicycles, equipment, operation and maintenance
- Road work (i.e. resurfacing)
- Street lighting not co-located with an alternate transportation facility (with the exception of a project within a historic district; see Section C, Subsection 4)
- Non-paved surfaces

It is the responsibility of the project sponsor or the entity that owns the property to determine what modes of transportation are permitted to use a bikeway. Enhancement projects must be available for public use and access and meet current ADA regulations and the requirements of the IDOT Bureau of Design and Environment Manual (BDE Manual) Chapter 58 related to accessibility. The enhancement program funding is intended for the design and construction of bikeways for pedestrian and bicycle users. Bikeway designs created in accordance with the appropriate design policies for pedestrians and bicyclists are eligible for funding through the enhancement program. Any extra costs associated with the design and construction of the bikeways for users other than pedestrians and bicyclists are the project sponsor’s responsibility.

Projects must follow all federal and state requirements in the design and construction process. Local and state sponsored bicycle projects must follow Chapter 17 of the IDOT BDE Manual, Bicycle and Pedestrian Accommodations. For a copy of these policies, please contact the IDOT District Enhancement Coordinator (Appendix 2) for your area. These policies meet the guidelines established in the American Association of State Highway and Transportation Officials (AASHTO) Guide for the Development of Bicycle Facilities, 2012. Project sponsors should review the policies and procedures prior to submitting project applications to ensure adequate cost estimates.
Special Note: A federal requirement in funding bicycle facilities is to provide viable transportation alternatives to motor vehicles and to provide upkeep and maintenance to that facility. Certain trail surfaces meet this requirement better than others. Trail surfaces are typically asphalt, crushed limestone or concrete. Limestone trails generally require significantly more maintenance than paved surfaced trails to keep them in a condition suitable for the narrow-tired bicycles commonly used by commuters. If a multi-use path is planned, the department requires use of a more durable material that will last longer, require less maintenance and provide a surface more suitable to all users. All bicycle facilities eligible for ITEP federal funds will be required to use paved surfaces.

When the update to Chapter 17 comes out later this year it will provide further guidance on the use of only paved surface for bicycle facilities.

2. Streetscapes

Streetscapes are eligible as a part of community improvement activities. They are also eligible if they are being done in conjunction with a Federal-Aid funded highway/roadway improvement or other TAP/STBG funded improvement (see below for a listing of roadway functional classifications eligible for Federal-Aid funding).

Landscaping elements that enhance the aesthetic or ecological value of an area may be eligible as a part of the overall streetscape project. Eligible streetscape projects focus on improving the infrastructure to accommodate the traveling public. Landscape work as a stand-alone project is ineligible.

Projects submitted in conjunction with a Federal-Aid highway improvement:

Projects submitted under this category that are being done in conjunction with a Federal-Aid highway improvement will be required to provide specific information from IDOT’s Annual or Multi-Year Highway Improvement Program. This information is explained in the on-line application documentation and will include options to:

- Choose whether your project has other Federal or TAP funds secured
- Choose whether your project is in the Annual or Multi-Year program
- Enter the Annual or Multi-Year program PPS #
- Enter the State Job Number (if available)

Landscape/streetscape and scenic beautification projects proposed in conjunction with a Federal-Aid highway improvement ideally should be done at same time as the Federal-Aid improvement but must be started within a one (1) year period after the Federal-Aid improvement has been completed.

Streetscape projects must be located on public property along Federal-Aid highways, bike trails, or streets in downtown areas. Landscaping projects in parks or local neighborhoods/subdivisions are not eligible for funding. Landscaping projects must follow IDOT landscaping policies and procedures for projects on and off state right-of-way unless a local ordinance policy and procedures exists for off-state right-of-way projects. For more information on the appropriate policies and manuals to follow, please contact the IDOT District Enhancement Coordinator in your area (Appendix 2).

For additional assistance, contact the IDOT District Programming Engineer for your area. (See Appendix 2)

Specific eligible items in a streetscape project include but are not limited to:
new sidewalks or replacing existing sidewalks in a downtown area (Note: projects that are solely routine maintenance or sidewalk repairs are ineligible)

- planters/planter boxes (permanent in nature)
- perennials, wildflowers, trees, shrubs
- sidewalks, crosswalks and ADA related accessibility improvements
- bicycle racks
- benches*
- irrigation systems germane to the project
- curb bump outs
- ADA curb cuts and crosswalks (not eligible as a stand-alone project)
- pedestrian lighting (see Streetscape Lighting funding eligibility criteria)
- utility relocation (see Section D)

*Benches that meet the criteria of “permanent in nature” (being built-in or bolted down or secured in a similar fashion) are eligible but will be limited. On the average, benches will be limited to a maximum of two benches per block per side on a landscape and scenic beautification project. Project sponsor may elect to provide additional benches but ITEP will only pay for a limited amount.

**Ineligible items in a streetscape project include but are not limited to:**

- routine or maintenance activities such as cutting grass, clearing and removal of vegetation, or replanting and reseeding
- building facades and awnings
- supplemental watering beyond what is initially required when planting is considered as maintenance and is ineligible
- construction of new or reconstruction of an existing median including curb/curb and gutter or concrete median surface
- banners or hanging baskets which are sometimes included with street or pedestrian lighting fixtures
- flags and flag poles
- annual plants/flowers
- fences (unless addressing a significant safety issue)
- street lighting - purely esthetic (see Streetscape Lighting funding eligibility criteria)
- Lighting fixtures intended for aesthetic purposes only (instances where adequate lighting already exists)
- roadway work
- ADA improvements as a stand-alone project
- parking lots
- storm sewers (as a stand-alone project)
- trash receptacles
- landscape (improvements as a stand-alone project)
Curb, curb and gutter, storm sewers and other related items would typically be considered as roadway work and is therefore ineligible for ITEP funds. However, if these items are required as a provision of constructing (or reconstructing) a sidewalk for ADA compliance, then they may be eligible, but only to the extent that they are germane to the project. If a roadway is being widened, the curb and gutter work would be ineligible, as it is required for the roadway widening and not the sidewalk construction. This typically must be looked at on a project-by-project basis.

**Streetscape lighting funding eligibility criteria:**

- **Street lighting**, reimbursable at 50%, is defined as lighting for the street and must be co-located with an alternate transportation facility. Ornamental lighting would be eligible in this category.
- **Pedestrian lighting**, reimbursable at 80%, is defined as lighting for an alternate transportation facility and must not be co-located with a street.
- **Lighting design standards**: Properly designed street and pedestrian lighting shall be in accordance with Chapter 56 of the BDE Manual. Also referenced in Chapter 56, pedestrian lighting must meet standards outlined in RP-8-18. All lighting designs must be evaluated by submitting an AGi32 lighting design for approval during PE II.
- **Aesthetic lighting**: Street lighting purely for aesthetic purposes that does not provide lighting elements meeting BDE Manual design standard for an alternate transportation facility will be ineligible.
- **Bike path lighting**: (see the section on Pedestrian Bicycle Facilities – Project elements eligible for funding as part of pedestrian/bicycle projects).
- **Historical district lighting**: Lighting within a historical designated district and germane to a historical preservation project is eligible for 80% federal funding.

Properly designed street lighting enhances motorist and non-motorist safety at night. The BDE Manual states that street lighting is required to meet requirements for pedestrians on adjoining bike and pedestrian facilities. This typically requires adding pedestrian luminaires at a lower mounting height on the street light poles and possibly separate light pole(s) with pedestrian luminaires between the street light poles. It is not acceptable to light only pedestrian areas along state roadways, and it is typically more difficult to light the street with pedestrian lighting than to light the sidewalk with street lighting. The lower mounting height of pedestrian lighting as well as the optical design (designed to produce high vertical illuminance) results in many more pedestrian light poles when trying to light the adjacent street. More pedestrian luminaires may also increase glare. Consistent light coverage is key to reducing hazards between motorist and non-motorist because a person’s perception of light is affected significantly when trying to view dark areas when viewed within good lighting. This contrast in lighting, due to dimly lit areas, will make the dark areas even darker. The design challenge is to serve both street traffic and pedestrian requirements adequately and uniformly. The BDE Manual references submitting an AGI 32 lighting design for approval and a photometric analysis. The lighting design approval intends to increase safety and security by ensuring proper designed lighting for motorist and non-motorist transportation. The overall lighting design should include consideration of street and sidewalk widths, number and location of trees, focal points, road geometry, and how the lighting will specifically address the transportation-related goals of the ITEP.

Lighting where there can be the most benefit is in high pedestrian use areas such as crosswalks and high-conflict locations like bus stops and focal points. Use of LED lighting in lieu of other types is recommended if not in violation of the lighting design standards or creates a safety conflict.
3. Conversion of Abandoned Railroad Corridors to Trails

This category provides for the acquisition of abandoned railway corridors for the development of pedestrian or bicycle trails. Converted rail corridors make ideal trails because of their flat grade and long length. Abandoned railway corridors may be acquired that are in danger of being purchased by developers or other users. Intent must be shown that a pedestrian and bicycle trail will be built within ten years of the acquisition of the corridor. A greater emphasis will be placed on projects that have capital improvements planned within the near future.

Projects in this category must be included in a local, regional or statewide plan (bikeway, trail or greenways plan). Corridors will not be purchased unless an established plan is in place.

Projects converting abandoned railway corridors into trails must provide a mode of transportation for people to travel to places such as workplaces, businesses, schools, universities, shopping centers or other communities. Projects cannot be solely for recreational uses. Projects can be at new locations or can improve existing facilities by providing connections for users to other main facilities. Projects should follow all the eligibility requirements, policies and procedures discussed in the first program category (Pedestrian/Bicycle Facilities).

Funds may be used for transaction costs including appraisals, surveys, legal costs and the actual purchase costs for acquiring the corridors. Projects acquiring land must adhere to the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Act of 1970 as amended. This can be accomplished by following the IDOT’s land acquisition policies and procedures. Projects that are for right-of-way purchase only are ineligible.

In order to allow federal funding participation, compliance with these policies is required. For more information on the land acquisition requirements, please contact the District Land Acquisition Engineer through the IDOT District Enhancement Coordinator (Appendix 2). Project sponsors should review the policies and procedures prior to submitting project applications.

Railroad Coordination

Any projects involving railroads involves extensive work with the railroad and may need to include ICC. It is strongly recommended that this coordination effort be complete. The farther along a project is in this process will improve the project selection score in the project readiness category.

Examples of eligible projects include:

- Planning, designing and constructing multi-use trails along a railroad right-of-way
- Purchasing unused railroad property for reuse (ineligible as a stand-alone project)

4. Historic Preservation and Rehabilitation of Historic Transportation Facilities

Through historic preservation and rehabilitation activity, communities rehabilitate and restore transportation facilities significant to the history of transportation in Illinois. Historic projects should be related to active or inactive transportation systems that enhance the transportation experience. These properties must have been used or are still being used for surface transportation activities. Properties must be publicly owned and operated. The exterior and interior structural components of the building may be eligible for funding. Interior amenities are typically the sponsor’s responsibility but may be eligible depending on the end use.
Historic projects must follow the Secretary of the Interior’s Standards for Historic Preservation Projects. For a copy, please contact IHPA Division of Preservation Services (Appendix 3).

Historic projects must be designated as at least one of the following:

- properties listed on the National Register of Historic Places
- properties contributing to a National Register Historic District
- properties designated as historic by a Certified Local Government that is approved by the Illinois Historic Preservation Agency and the Department of the Interior
- properties contributing to the historic districts designated by a Certified Local Government that is approved by the Illinois Historic Preservation Agency and the Department of the Interior
- properties in historic central business districts designated as an Illinois Main Street Community

The historic properties and/or districts must be designated prior to submission of the project application. If your project is selected for ITEP funding, coordination with the IHPA is required as soon as you receive your award letter. Contact your respective IDOT District Enhancement Coordinator for guidance.

Rehabilitation, the second treatment, emphasizes the retention and repair of historic materials, but more latitude is provided for replacement because it is assumed the property is more deteriorated prior to work. (Both Preservation and Rehabilitation standards focus attention on the preservation of those materials, features, finishes, spaces, and spatial relationships that, together, give a property its historic character.). From the U.S. Secretary of Interior's Standards for Historic Preservation.

Restoration focuses on the retention of materials from the most significant time in a property's history, while permitting the removal of materials from other periods. From the U.S. Secretary of Interior's Standards for Historic Preservation.

Preservation places a high premium on the retention of all historic fabric through conservation, maintenance and repair. It reflects a building's continuum over time, through successive occupancies, and the respectful changes and alterations that are made. From the U. S. Secretary of Interior's Standards for Historic Preservation.

The National Register of Historic Places is the nation’s official list of places that are recognized for their historical, architectural, or archeological significance. The National Register provides protection in preserving these places. Properties that may be eligible for listing on the National Register include buildings, districts, sites, structures and objects that are significant to the national, state and/or local history. Anyone can nominate a place for designation in the National Register. For more information on the National Register of Historic Places, please contact the IHPA (Appendix 3).

The Certified Local Government (CLG) Program recognizes local governments that have established a local historic preservation ordinance through their own initiative. To qualify as a CLG, specific requirements must be met and maintained. For more information on the CLG Program, please contact the IHPA (Appendix 3).

The Illinois Main Street Program is a downtown revitalization program established by the Illinois Lieutenant Governor’s office and IHPA. Illinois Main Street focuses on the preservation of historic central business districts and provides direct technical assistance in organization, design, promotion and economical restructuring.

Some historic preservation projects include landscape and streetscape elements with their project. If your project includes street or pedestrian lighting that is germane to the historic preservation project
and within a designated historic district, the street and pedestrian lighting would be eligible for 80% federal funding.

**Examples of historic rehabilitation projects include:**
- rehabilitation, stabilization and restoration of a historic transportation property
- rehabilitation of a historic railroad depot and train station
- rehabilitation of a historic highway bridge or pedestrian bridge to their original historic design (not upgrading to AASHTO design policy)
- rehabilitation of a historic brick street
- revitalization of a historic downtown (historically compatible streetscape improvements)
- historical markers at a historic site

**Limitations and ineligible items:**
- road work / parking lot improvements are ineligible
- downtown building facades with no transportation link are ineligible
- actual purchase of the historic facility is ineligible
- office furniture, office supplies, decorative items or related materials are ineligible
- routine maintenance items are ineligible (i.e. interior painting)
- courthouses are ineligible
- historic tourist and welcome facilities are ineligible
- Limitations for interior improvements are dependent on the end use. Museums are no longer an eligible category. As long as the historic facility had a surface transportation link, it may qualify for funding. If the end use was to be a museum, even a transportation museum, the interior improvements would be ineligible. If only part of the facility was a museum and part was a functioning transit facility, then partial funding could be provided for the transit area but not the museum area.

5. **Vegetation Management in Transportation Rights-of-Way**

Through vegetation management activities, communities improve roadway safety, prevent against invasive species and provide erosion control along transportation corridors. Projects funded under this category cannot be used to replace what would typically be required on a Federal-Aid highway improvement but can be used to add to or supplement what would be considered as the standard required treatment.

Project improvements will be limited to the public roadway right-of-way. If justification can be provided that merits the project extending beyond the public right-of-way, either an easement or right-of-way will be required.

**Examples of eligible projects in this category include:**
- removal of trees or similar foliage within a clear zone that could potentially create a crash hazard
✓ removal of vegetation that obstructs clear line-of-sight distances of traffic, highway signs and traffic control devices
✓ clearing of invasive species such as in a prairie grass restoration area
✓ establishment of native plants within an interchange, or as a gateway or highway corridor entering a community
✓ planting of vegetation to eliminate or mediate an established erosion problem or to enhance standard erosion control measures

**Funding Limitations**

Funds cannot be used for routine maintenance such as mowing, brush burning, tree trimming or weeding an existing landscaped area. However, as mentioned above, if the proposed work can be shown to address a specific safety issue, it may be eligible as a one-time consideration. Additional review and approval by IDOT may be required before a project will be allowed to proceed.

6. **Archaeological Activities Relating to Impacts from Implementation of a Transportation Project**

The archaeological activity allows communities to explore the history in America with archaeological excavations and surveys in conjunction with highway construction projects. The activity also helps build local economies by attracting tourists interested in history.

Projects in this category must focus on physical evidence of historic or prehistoric human life or activity relating to artifacts recovered from locations within or along highway corridors or along areas affected by a TAP/STBG program funded project. The project must be consistent with the Secretary of the Interior’s Standards for Preservation Projects.

**Examples of eligible planning and research projects include:**

✓ research, preservation, planning, and interpretation of archeological artifacts
✓ curation for artifacts related to surface transportation
✓ curation for artifacts recovered from locations within or along highway corridors
✓ extending the limits of an archeological survey beyond what is required for a highway improvement

7. **Storm Water Management, Control and Water Pollution Prevention or Abatement Related to Highway Construction or Due to Highway Runoff**

As part of the National Environmental Policy Act (NEPA) process, all Federal-Aid transportation projects are required to provide environmental mitigation based on their impacts. Mitigation efforts include measures to avoid and minimize impacts. Projects in this category are not to replace mitigation currently eligible or required under Federal-Aid funded projects.

Storm water management allows communities to decrease the negative impact of roads on the natural environment. Rainwater runoff washing over road surfaces carries pollutants into water supplies, endangering human health and the ecological balance of local streams and rivers. Projects funded in this category seek to reduce these environmental impacts by going beyond the environmental mitigation already required for Federal-Aid highway projects. Storm sewer improvements as a stand-alone project are ineligible in this category.
Examples of eligible projects include:

- retrofitting an existing highway by creating a wetland to filter highway runoff based on the impacts from the road in terms of water pollution
- stream channel stabilization within the roadway right-of-way through landscaping to promote filtering and improve the overall water quality conditions of receiving channels. If improvements are required to extend beyond the roadway right-of-way, a permanent easement (or right-of-way) will be required
- establishment of permeable sidewalks or related infrastructure to trap and store urban runoff which may require storm water detention areas
- provide vegetation and other related controls to filter pollutants before they enter a stream or other public body of water
- storm drain stenciling and river clean-ups
- detention and sediment basins
- water pollution studies

Maximum Expenditure: In a case in which a transportation facility is undergoing reconstruction, rehabilitation, resurfacing, or restoration, the expenditure of funds under this Section for environmental restoration or pollution abatement shall not exceed 20 percent of the total cost of the reconstruction, rehabilitation, resurfacing, or restoration of the facility.

8. Reduce Vehicle-Caused Wildlife Mortality or Restore and Maintain Connectivity Among Terrestrial or Aquatic Habitats

This category addresses activities for the reduction of vehicle-caused wildlife mortality while maintaining habitat connectivity. This category is not limited to threatened and endangered species, but includes any wildlife mortality directly caused by vehicles.

Examples of eligible projects include:

- projects designated as wildlife underpasses or overpasses
- bridge extensions to provide or improve wildlife passage and wildlife habitat connectivity
- monitoring and data collection on habitat fragmentation and vehicle-related wildlife mortality
- fencing, markings, and other mitigation techniques associated with movement of wildlife across highway corridors

9. Construction of Turnouts, Overlooks, and Viewing Areas

The construction of turnouts, overlooks, and viewing areas allow communities to develop the scenic and historic character of highways. These projects make the travel experience educational and attract tourists to local roads.

Projects in this category are no longer limited to national scenic byways or state historic highways. If a project is proposed along, adjacent to, or in association with a nationally designated scenic byway or state
historic highway, the project sponsor must provide a letter of support from the scenic byway or historic highway organization. (See Appendix 3 for listing of National Scenic Byways.)

**Examples of eligible projects include:**
- Related lighting, interpretation and pedestrian amenities
- Observation decks/facilities
- Interpretive displays

**Examples of ineligible projects include:**
- The construction of visitor centers
- Marketing or promotional material
- Staffing, operating or maintenance costs
Section D

FUNDING ELIGIBILITY AND MATCHING FUNDS

Eligible Costs

The sponsor must prepare (or have prepared by an engineering or architectural firm) an accurate cost estimate for all types of work involved with the enhancement project. Agencies or their consultants should be knowledgeable about estimating these types of project costs and the requirements of utilizing federal funds.

The costs eligible for reimbursement are Phase II Engineering (PE II), utility relocations, right-of-way, easements, construction engineering and construction.

Utility relocations include any costs not covered in an existing utility agreement for relocation of power lines, telephone lines, gas lines and other utilities affected by the ITEP project. Utility relocation as a result of a Federal-Aid funded roadway improvement such as a widening project which would require the relocation of utilities would not be eligible for ITEP funds. Although utility relocations are eligible, they cannot be the major element in a project. If you are seeking federal participation in utility relocation costs and that amount exceeds fifty percent (50%) of the construction cost, your project will be marked ineligible. Right-of-way or easements include acquiring land or rights necessary for the construction of the project. Buildings cannot be purchased with enhancement funds. Construction Engineering (CE) involves the supervision of construction. Construction includes all materials and labor costs necessary to complete the construction of the project.

Any costs associated with the project that are necessary for implementing the enhancement project are eligible. For example, costs for environmental mitigation required for the project would be eligible costs of a project.

Feasibility and planning studies are not project specific and therefore are ineligible costs. Projects can have enhancement eligible items and ineligible items implemented in the same project as long as the project elements are similar in construction procedures. The eligible and ineligible project elements must be separated in the local or interagency agreements, summary of quantities, plans and contract.

The project sponsor is responsible for 100 percent of any ineligible costs.

Costs must be approved for funding, and Federal Authorization must be received from the Federal Highway Administration (FHWA) and required agreements executed before any work would qualify for reimbursement.

Matching Funds

The ITEP is a grant reimbursement program. Once an executed Local Agency Agreement is in place, project sponsors pay Phase II Engineering costs up-front and will be reimbursed as the sponsor submits the paperwork documenting implementation. Depending upon whether the project is local-let or state-let, the same conditions may apply for the construction phase (See Sections N & O). Acquisition of right-of-way and easements are eligible for funding at a 50/50 match; i.e., 50% is federal enhancement funding matched by 50% sponsor share.

Phase II Engineering, utility relocations, construction engineering and construction are eligible for funding at an 80/20 match; i.e., 80% is federal enhancement funding matched by 20% sponsor share.
The federal enhancement funds may be matched by funding from other programs provided the funds are federal non-transportation funds. Federal enhancement funds cannot be matched by other federal transportation funds. Enhancement projects can be accomplished in conjunction with other transportation-funded projects as long as the matching requirements are met for all federal funds being used. Federal enhancement funds cannot be used as local match toward any other federal or state funds.

In March 2007 **Local Agency Federal Flexible Match (FFM) Program was implemented.** It allows local agencies to apply for credits to be used as a part of their local match against the construction or construction engineering portion of the project. This program was updated in April 2015 in Circular Letter 2015-07 (see Appendix 6). There is an application process that must be followed, and approval must be obtained from IDOT and FHWA. There is no need to apply for these credits until you have received notification that your project has been selected. Details of the program can be found in Appendix 6.

Eligible alternate funding sources for local match include:

- Illinois Bicycle Path Grant Program (IDNR)
- Other IDNR Grant Programs (based on IDNR eligibility)
- Department of Commerce and Economic Opportunity Tourism Funding Options
- State and Local Motor Fuel Tax Funds (MFT)
- Local General Revenue Tax Funds
- Federal funds that are not included in the ISTEA, TEA-21, SAFETEA-LU, MAP-21 or FAST Act federal highway bills
- Non-Profit Organization Funds donated to the ITEP sponsor
- Private or Corporate Funds donated to the ITEP sponsor
- Soft Match (See Local Agency Federal Flexible Match Program - Appendix 6)

Ineligible matching funding sources include:

- National Recreational Trails Program
- Public Lands Highways Discretionary Fund Program (Forest Highway Program)
- National Scenic Byway Program
- ISTEA federal highway funds
- TEA-21 federal highway funds
- SAFETEA-LU federal highway funds
- MAP-21/TAP federal highway funds
- FAST Act federal highway funds
- Safe Routes to School (SRTS) program funds
Right-of-Way/Easements Procedures

All enhancement projects must comply with specific federal regulations regardless of whether enhancement funds are used to acquire the right-of-way or easements. When a project requires the acquisition of private property or a real estate interest in order to be completed, the sponsor must adhere to the provisions of the Federal Uniform Relocation Assistance and Real Property Acquisition Act of 1970 as amended. Compliance with these requirements allows federal participation in funding during the acquisition and construction process. This can be accomplished by following the IDOT Land Acquisition policies and procedures. For more information, on the requirements, please contact the District Land Acquisition Engineer through the IDOT District Enhancement Coordinator for your area (Appendix 2).

Right-of-Way Donations

Right-of-way donations from a third party can be credited toward the sponsor share (match) of the construction of a project. Donations must be from a private owner to the project sponsor for the purpose of the enhancement project. Donations must occur after the project report (discussed in Sections N & O) is approved for enhancement funding and prior to having the construction advertised on a letting. Land acquired previously or that is already owned by the project sponsor cannot be used as a donation credit. The Code of Federal Regulations 49 CFR Part 24 Section.108 explains the specific requirements that must be followed when donating right-of-way in federally funded projects. For more information on the requirements, please contact the District Land Acquisition Engineer through the IDOT District Enhancement Coordinator for your area (Appendix 2). The sponsor share (match) of the construction can be credited up to 25 percent of the appraised value of the land or up to 10 percent of the total estimated cost of the project, whichever is larger. (See also Federal Flexible Match in Appendix 6.)

Urban Youth Corps

The Urban Youth Corps (UYC) is a program established under the National and Community Service Trust Act of 1993 that gives economically disadvantaged youth the opportunity to learn job training skills. In TEA-21, Congress recognized youth corps as appropriate partners for transportation enhancement projects and encouraged the states to enter into partnerships and cooperative agreements to implement projects. IDOT is promoting the use of UYC in implementing enhancement projects. The type of work needs to be suitable for the youth and part of a larger project with a local government sponsor. The UYC operating in Illinois includes the Chicago River Corps, City Year Chicago and Lake County Youth Conservation Corps. For more information, please contact the respective UYC (Appendix 3).
Eligible project sponsors are local entities with taxing authority that can guarantee matching funds to carry out the proposed project. Sponsors assume responsibility and accountability for the use and expenditure of program funds. Applicants and/or implementing agencies must be able to comply with all the federal and state laws, regulations, policies and procedures required to enter into project agreements.

Under 23 U.S.C. 213(c)(4)(B), the eligible entities to receive enhancement funds are:

- local governments
- regional transportation authorities
- transit agencies
- natural resource or public land agencies
- school districts, local education agencies, or schools
- tribal governments
- nonprofit entities responsible for administration of local transportation safety programs; and
- any other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of this subsection.

Although State agencies and MPOs with responsibility for oversight of transportation or recreational trails cannot sponsor a project, they can partner with an eligible project sponsor.

Jointly sponsored project sponsors must identify a lead sponsor. It is the responsibility of the sponsor(s) to obtain support from all affected jurisdictions. Projects require strong state and/or local government commitment throughout the entire process in order for the project to reach fruition.

The project sponsor is responsible for the following:

- Secure required sponsor match through cash, right-of-way donations, FFM, or other means
- Complete environmental documents, clearances, permits and mitigation
- Ensure necessary environmental studies and sign-off by appropriate federal, state and local agencies
- Acquire local assurance from the proper authorities to ensure commitment
- Complete GATA pre-award requirements
- Submit all GATA documents required in the application
- Complete all GATA periodic reporting requirements and consolidated year-end financial review CYFER
- Coordinate project with Local IDOT District Office
- Schedule start dates for all types of work according to the Sunset Clause (see Section I)
- Acquire sponsor and agency joint agreements
✓ Complete preliminary engineering
✓ Prepare contract plans
✓ Perform utility relocations (as required)
✓ Manage, administer and implement the project
✓ Acquire necessary right-of-way and easements
✓ Maintain the project after completion
✓ Provide project status or timeline upon request
✓ Responsible for the cost of all ineligible items
Section F

Program Administration

FHWA provides the state guidance on the eligibility of projects and final approval and authorization of projects.

IDOT manages all aspects of the enhancement program. The Bureau of Programming in the Office of Planning and Programming administers the program and makes policy decisions on eligibility and funding issues. It coordinates project evaluation with the appropriate state agencies and programs for the selected projects. The Central Bureau of Design and Environment reviews and coordinates the development and implementation of the state-sponsored projects. It ensures all the federal and state requirements have been followed, and it requests authorization for funding from FHWA. The Central Bureau of Local Roads and Streets reviews the local-sponsored projects to ensure all requirements have been followed and agreements are written appropriately and executed. This bureau requests authorization of locally sponsored projects from FHWA. IDOT is divided into five regions and nine highway districts (see Appendix 4). Each local IDOT District is responsible for the implementation of their district projects and should be the first point of contact for implementation procedures such as, completing the Final Project Development Report (PDR), submitting a job number request and preparation of local agency joint agreements.

In urbanized areas with a population over 50,000, the Metropolitan Planning Organizations (MPOs) review projects to ensure consistency with regional transportation plans, policies and programs. The MPOs also examine proposed projects to ensure consistency with projects already programmed. The project sponsor is responsible for ensuring that approved projects within a MPO area are included in the most current Transportation Improvement Program (TIP) for that MPO. The MPOs are listed in Appendix 5.

| Each local IDOT District is responsible for the Implementation of projects within their district boundaries And should be the first point of contact for implementation. |
Section G

PRE-APPLICATION PROCESS

Phase I Engineering must be complete by submitting the Final PDR to IDOT for review and approval and the submittal date is included and can be verified in the application. The IDOT District Local Roads and Streets Enhancement Coordinator (Appendix 2) will be the first point of contact for completing all requirements for the Final PDR.

GATA pre-award requirements can be completed and several other GATA documents can be prepared any time before starting the online application. It is encouraged to complete and draft all documents early before the application period begins.

There are five GATA grantee pre-award requirements. Instructions on completing GATA pre-award requirements can be found on the Illinois GATA website. https://www2.illinois.gov/sites/GATA/Pages/default.aspx

Pre-Award Requirements (GATA):

- Authentication – One Time (Grantee Portal)
- Grantee Registration – One Time (Grantee Portal)
- Grantee Pre-qualification – One Time (Grantee Portal)
- Fiscal and Administrative Risk Assessment Internal Control Questionnaire (ICQ) - Annual Requirement (Grantee Portal)
- Programmatic Risk Assessment -

Note: Indirect Cost Rate Declaration – Not required for ITEP!
Section H

Application Process

All project applications must be submitted through the on-line application process and should be complete and accurate. Application instructions can be found on the ITEP website. Applications received beyond the deadline will not be accepted.

Projects submitted in conjunction with a previously funded ITEP improvement:
Projects submitted that are being done in conjunction with a previously awarded ITEP project will need to provide specific information regarding the related project. In other words, if you are applying for funds to continue with another construction phase, extend, or fund another phase of a previously funded ITEP project, information identifying the related project will need to be provided. This information is explained in the on-line application documentation. The sponsor will need to provide the following information:

- ITEP number
- Project Title
- Amount of federal funding provided previously
- Any state job numbers tied to the previous ITEP project
- Project status

Applying for multiple projects that are closely related within the current application cycle.
If the sponsor is applying for more than one project in the same application cycle and the projects are closely related, the sponsor will need to provide information in the application identifying all related projects. A project is related if it has overlapping project limits or is built adjacent to each other.

Since the ITEP number is created only after the application is finalized and submitted, then only with subsequently submitted applications will the ITEP be known to include in the related application. Due to this limitation please provide at a minimum the project title, project description, and location of any related projects before finalizing and submitting.

- ITEP number (if known, include for all related projects already submitted in current cycle)
- Project Title
- Project Description
- Project Location

All project applications and related materials are to be mailed to the Illinois Department of Transportation at the following address:

Illinois Department of Transportation
Illinois Transportation Enhancement Program
Room 307
2300 South Dirksen Parkway
Springfield, Illinois 62764
GATA Documents submitted with the ITEP Application:

✓ GATA Uniform Grant Application - ITEP Template is available on the ITEP website

✓ GATA Programmatic Risk Assessment – ITEP Template is available on the ITEP website

✓ GATA Uniform Grant Budget Template – Available on the Illinois GATA Website

✓ GATA Grantee Conflict of Interest Form – Available on the Illinois GATA Website

ITEP Application Documents:

✓ Detailed Cost Estimate
✓ Project Location Map
✓ Colored Photographs
✓ Local Assurance Page
✓ Government Resolution
✓ Public Involvement
✓ Letters of Support
Section I

Project Evaluation, Selection, And Approval Process

Project Evaluation

All ITEP projects must be selected through a competitive merit-based review process. In order to comply with federal guidelines, IDOT has developed a numerically-based scoring process. First, after IDOT receives the candidate project applications, the staff conducts an initial review of all applications received for eligibility and GATA compliance. Final PDR submittal date, GATA prequalification requirements, and GATA documents submitted with the application will be evaluated to determine project eligibility. If there are significant errors or project misrepresentations in the cost estimates, it may be determined that the application is incomplete and is not eligible to be evaluated within the merit-based selection process. Next, all eligible project applications are organized and assigned to reviewers statewide for a more comprehensive review based on established review criteria listed below. Reviewers submit scores online. These reviewers consist of MPOs, IDOT districts, other state agencies and internal IDOT staff, whereas each project has a minimum of three reviewers. Finally, the top 30% of the highest scoring projects move on to the ITEP Selection Committee. The Selection Committee will review the top 30% of candidate projects in rating order from highest to lowest and discuss the cut off for approval based on the funding available. Geographical equity and project feasibility will be considered.

Review Criteria

- Eligibility
- Strength of transportation relationship
- Project meets category intent
- Public benefits and accessibility
- Cost effectiveness
- Project support/Local commitment
- Connectivity to existing facilities/Linkage
- Prior sponsor investment
- Inclusion in a local, state or regional plan
- Planning and coordination
- Project sponsor capacity, readiness and past performance
- Project readiness
- Extra points will be given for the completion of Land Acquisition
- Application completeness/Information provided

Project Selection and Approval

The final stage of review is conducted by the ITEP Selection Committee. Once the Committee completes a review, a final list of projects is compiled. This list contains the recommended projects for funding. The recommended project list is forwarded to the Secretary of Transportation and then to the Governor for announcement.
Post-Award Announcement

✔️ A Notification letter will be sent to the applicant after ITEP awards are announced. Letters are sent out notifying every applicant whether their project received funds or not. For those projects that were selected, the letter will contain the award amount and deadlines for your specific project based on phases of work approved for funding. Note that if any deadline is not met, funds may be rescinded.

✔️ **A kick-off meeting must be scheduled within 6 weeks of award notification.** Immediately contact your IDOT District Local Roads Enhancement Coordinator after receiving award notification. Contact information can be found at the bottom of the notification letter.

✔️ **Post-Award Document Requirements:** Obtain guidance on how to proceed with the project development process by getting the proper paperwork in place

**Reporting Requirements**

✔️ **BoBS Form 2832 Grantee Required Periodic Reporting** - All agencies are required to submit, at a minimum, quarterly based on the agency's fiscal year the BoBS Form 2832 Periodic Reporting. This form is used as the minimum reporting tool for additional grant reporting requirements imposed by the grantee's specific conditions.

The results of the Internal Control Questionnaire (ICQ) or Programmatic Risk assessment may require an agency to report more frequently. Specific conditions are reported on the NOSA and UIGA for local let projects.

✔️ **Consolidated Year End Financial Review (CYEFR)** - All agencies are required to submit the CYEFR annually on the agency's fiscal year.

✔️ **Project Status Update Report, Project Schedule Update Report, Change Requests, Scope Changes, Time Extension and Cost Increases** will be coordinated, and formal requests submitted to IDOT District Local Roads Enhancement Coordinator (Appendix 2). See Sections J-N for additional guidance. Projects not showing signs of progress towards meeting deadlines are required to submit a Project Status Update Report.

✔️ **Detailed Cost Estimates** - At any time a document is found to have an error or missing key information the grantee may be required to provide an updated or corrected document. Any request to change the project scope, increase or dropped portion of project, will require an updated cost estimate. The cost estimates should not be missing any of the following fields: unit, quantity, unit cost, federal share, sponsor share, ineligible costs, and total costs. Costs should be organized by improvement types (landscape, lighting, street, bridge, bike path). Costs should be displayed separately for each planned construction phase or project location (if applicable). See cost estimate examples in Appendix 7.

**Accepting the Notice of State Award (NOSA)**

The NOSA is required to be completed when the grantee submits the project’s first subject draft agreement. The grantee will need to review and accept the NOSA before the agreement is finalized. This will be accomplished within the Catalog of State Financial Assistance (CSFA). Accepting the NOSA will require the grantee to begin financial reporting. At a minimum, quarterly reports are due starting at the end of the grantee's fiscal quarter following accepting the NOSA.
Section J

Sunset Clause

The Sunset Clause will be enforced on all ITEP funded enhancement projects. Project sponsors have the responsibility of ensuring their projects are constructed in a timely manner. Every project that receives ITEP funds will receive an award notification letter. Each notification letter will contain specific deadlines for each respective project based on phases of work approved. If any deadline cannot be met, funds will be rescinded, and the project will be considered dropped. Any funds spent will have to be paid back.

Any project identifying conflicts that will create significant delays, should report this information to the district local roads enhancement coordinator as soon as possible. Local agencies may submit a time extension request when nearing the deadline. Requests for a time extension must include justification, an updated project schedule, an outline of all the issues affecting the project, and present options to address these issues. Any actions to address project conflicts must stay in compliance with ITEP guidelines and FHWA rules. All extension requests will be submitted to the IDOT District Local Roads and Streets Enhancement Coordinator (Appendix 2). Extension requests will need approval of both district and state coordinators and may require FHWA approval before proceeding with the project.

Requests to modify the grant or project is not a typical process for a competitive grant program but will be evaluated on a case-by-case basis.

An executed Local Agency Agreement is required for each phase of the project. Separate agreements will be required for PE II, land acquisition and construction. Any work done prior to the date of the executed agreement cannot be reimbursed. Processing and executing these agreements typically take several months. To get the agreement process started, you must contact the IDOT District Enhancement Coordinator in your area upon notice of award.

Before any work qualifies for federal reimbursement,

- all costs must be approved for funding;
- authorization must be received from the Federal Highway Administration (FHWA); and
- agreements must be in place.

Note: The Federal Highway Administration (FHWA) has the authority to rescind funds from projects that have not fulfilled their commitment for project implementation, which can lead to FHWA requiring a pay-back of federal funds that have been used on the project up to that point. For example, if your community has performed all the required engineering but has not been able to get the project constructed, FHWA could rescind remaining funds slated for construction and require the local community to pay back the federal funds used to complete the engineering. FHWA directive 5020.1A requires a project to be constructed within 10 years of the date federal funds were authorized for engineering. Communities can apply for a ‘no-build’ waiver from FHWA if there are circumstances that justify the project not being constructed, but approval of such waivers should not be assumed.
Section K
Cost Estimates

Accuracy in developing the project cost estimates is vital. IDOT encourages project sponsors to have someone (i.e., an engineering or architectural firm) familiar with the type of project complete or review any detailed cost estimate. All items should be listed out and detailed in the total project cost estimate. **Both eligible and any known ineligible items should be listed separately.** Ineligible items will be 100 percent the responsibility of the project sponsor and will not count toward the required 20 percent local match. **Contingencies and inflation factors are not eligible for federal ITEP funds reimbursement.** IDOT realizes that planning estimates need to account for unforeseen costs including the rising costs of construction, but there should be other ways to account for this as you prepare your estimates. **Eligible items will be reimbursable up to 80% with 20% being the local project sponsor share. Right of Way cost are reimbursable up to 50% with the other 50% being the local project sponsor share.**

Section L
Cost Increases

The amount of federal ITEP funds is limited. However, some projects end up in a situation in which there is a funding shortfall and additional funds are needed to continue moving forward. Although a project sponsor may ask for a cost increase at any time, funds are not guaranteed. All requests will be reviewed on a case-by-case basis, with consideration based on available funding within the ITEP.

In order to request additional federal ITEP funds for your project, we offer the following guidance to project sponsors:

- Write a letter specifying the amount of funds you are requesting and why.
- Address the letter to the IDOT Enhancement Coordinator in your district.
- Include any attachments that may be helpful in considering your request, such as a revised cost estimate, additional maps/photos, a project completion timeframe or schedule and any other relevant details and supporting evidence.
- Once the letter is received and reviewed by the district, it will be forwarded to IDOT Central Office to the Bureau of Programming for a final review.
- A decision will be made, and a response letter will be written and sent to the project sponsor.
Section M

Scope Changes

The project scope consists of pertinent project information such as type of work, costs, location, project limits and funding. A scoping meeting between local sponsors and IDOT will be scheduled for selected projects.

Project scopes that change from the original approved project scope must be submitted with documentation and justification to the IDOT Enhancement Coordinator for review (Appendix 2). The scope changes are forwarded to the Bureau of Programming in the IDOT Central Office and must be approved. Scope changes may include a location change, adding or deleting a project element, a cost change or design change. In order to submit an official request for a project scope change, please follow the same steps that are listed in Section K under Cost Increases.

Costs associated with work designed outside the original approved project scope without prior approval will become the sponsor’s responsibility. Project scope changes may require additional environmental analysis and may result in deleting projects from funding or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved federal authorization will require an authorization addendum before the project is advertised for letting. Significant project scope and cost changes must be reflected in the MPO TIP where applicable. All project scope and cost changes must be approved by the Bureau of Programming before final plans are approved and the project is advertised for letting.

Section N

ITEP Change Requests (PRO 2255 Form)

Approved federal ITEP funds may be moved around within a project from one improvement to another. For example, if a project was approved for engineering and construction funds, and the local agency wanted to pay for engineering after the award, then those engineering funds may be moved into construction. The overall award amount would remain the same. Approved ITEP funds should be used on the project scope and project limits they were originally approved for; they may not be used on another project.

In order to request that funds be moved from one improvement to another, an ITEP Change Request (form PRO 2255) needs to be filled out and submitted to the IDOT Enhancement Coordinator in your district. District personnel may also fill out this form on a project sponsor’s behalf. The IDOT Enhancement Coordinator must forward this form to the Bureau of Programming at Central Office for approval.

If you need a copy of the ITEP Change Request form (PRO 2255), please contact your IDOT District Enhancement Coordinator (Appendix 2).
Section O
Local-sponsored Projects Administration And Implementation

Projects need to follow all federal and state requirements in the design and construction process. The projects should be constructed according to appropriate design policies to provide basic needs, and any costs associated with amenities above appropriate design requirements are the sponsor’s responsibility.

Each step in the process requires separate approvals for initiation and completion. The elements involved in each step are more fully described in this section. Each step is undertaken in accordance with joint funding agreements executed between IDOT and the local sponsor and the procedures spelled out in the various policy manuals. Each step requires the use of qualified consultants or qualified in-house staff to undertake the necessary steps as outlined.

Departmental Processes

Funding Authorization

IDOT submits the project to FHWA for federal funding authorization. Engineering, right-of-way and construction projects will receive federal authorization only if the project is identified in the annual element of the state multi-year program and the annual program of the appropriate MPO TIP. The approved construction costs identified in the annual element of the state multi-year program will be based on the PE project estimate.

✓ The Bureau of Local Roads and Streets in the Central Office will obtain the federal funding authorization from FHWA for contracts and notify the local sponsor when the work may begin.


Reimbursement

The enhancement program is a reimbursable federal grant program. Federal project funds cannot be paid in advance of the work performed. The project documentation and costs are paid by the project’s sponsor and then reimbursed by IDOT in accordance with the joint funding agreement.

✓ The Bureau of Local Roads and Streets in the Central Office will establish a contract obligation document (COD) for land acquisition, PE, CE, materials, utility relocation agreements and local construction contracts to facilitate IDOT reimbursement to the local sponsor for the federal share.

✓ The project sponsor pays the engineering, land acquisition, utility relocation and local-let construction cost. After the sponsor has paid these costs, receipts of payment should be forwarded to the District Bureau of Local Roads and Streets for reimbursement of the federal share.

✓ Land acquisition, PE, CE and utility relocation bills will be submitted and paid according to the Bureau of Local Roads and Streets’ billing procedures.

✓ Construction contracts let through the local letting process will have their bills paid through the District Bureau of Local Roads and Streets.
Construction contracts let through the state letting process will follow the Bureau of Construction billing procedures. The local sponsor will be billed for their cost share in accordance with the local agency joint agreement.

No Reimbursement Will Be Allowed For Expenditures Made Prior To The Date Of Federal Authorization.

Project Sequencing

When selected, local-sponsored projects receive notification of project approval. The sponsor should contact the IDOT District Local Roads and Streets Enhancement Coordinator (Appendix 2) to discuss details of the right-of-way and easement acquisition process and obtain guidance on how to proceed with the project development process.

Agreements

Local sponsor professional services agreements and contracts must follow the Bureau of Local Roads and Streets Manual. The agreement and procurement procedures are outlined in Chapter 5.

The local sponsor will coordinate with the District Bureau of Local Roads and Streets and will negotiate a consultant services agreement regarding the scope of professional services. The agreement shall contain the necessary consultant staff-hours to complete the project’s architectural or engineering phase.

The local sponsor and consultant shall enter into a professional services agreement which contains the necessary state and federal certificates and audit requirements using the standard engineering agreement forms. The forms can be supplemented to add pertinent architectural language for building and landscaping projects where architects are required. These forms can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

Agreements include:

- The local sponsor will execute PE, CE, land acquisition and utility relocation agreements.
- The district will submit the signed local sponsor consultant agreement along with a joint funding agreement between the local sponsor and IDOT to the Bureau of Local Roads and Streets in the Central Office. The IDOT district and Central Office personnel will review agreements for proper project scope and costs. The joint funding agreement form can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).
- The Bureau of Local Roads and Streets in the Central Office will approve PE, CE, land acquisition and utility relocation agreements.
- IDOT payments to the local sponsor will be facilitated by the joint funding agreement and will be based on the actual cost of material or work performed, along with a request for payment reimbursement submitted to the District Bureau of Local Roads and Streets.

Engineering

Phase I engineering is required to be completed and the Final Project Development Report (PDR) submitted to IDOT for review and approval and the submittal date is included and can be verified in the application. Refer to the Bureau of Local Roads and Streets manual for guidelines on what is required for the Final PDR.

The first phase of project development is the preliminary engineering. If the PE is completed, the right-of-way and/or construction phase may begin after federal authorization and required agreements are in place.
The PE includes the environmental assessment, permits and project reports (PE I) and the project plans and contracts (PE II). Consultant construction engineering/supervision agreements must follow the same steps as PE and may have a different firm or qualified sponsor staff.

✓ The local agency shall select a consultant with the approval of the District Bureau of Local Roads and Streets.

✓ To obtain a list of the IDOT pre-qualified consultants, contact the Preliminary Engineering Section in the Bureau of Design and Environment (Appendix 2) or contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2). Building architects and consultant engineers for local-sponsored projects are not required to be prequalified with IDOT.

✓ Local sponsors may choose to perform engineering functions with qualified in-house staff with the approval of the District Bureau of Local Roads and Streets.

**Engineering (PE I):** Six to eighteen months are typical time periods required to accomplish PE I. Planning and coordination with District Local Roads and Streets enhancement Coordinator will be crucial to completing requirements before applying for ITEP funds.

**Engineering (PE II):** Four to twelve months are typical time periods required to accomplish PE II. The following areas must be evaluated during PE II.

✓ After environmental and design approval is received, the local sponsor can begin to prepare the final plans and specifications for the project in accordance with the appropriate design policies and approved project report.

✓ All permits must be obtained by the local sponsor before advertising the letting for the construction contract (examples include IDNR Office of Water Resources and Corps of Engineers permits). The need for these permits must be identified during PE I.

✓ District coordination meetings with the sponsor will be held as necessary.

✓ When the final plans, specifications and cost estimates are completed, they shall be submitted to the District Bureau of Local Roads and Streets for approval.

**Project Scope**

The project scope is the pertinent information on a project such as type of work, costs, location, project limits and funding. A scoping meeting between local sponsors and the department will be scheduled for selected projects.

Project scopes that change from the original approved project scope must be submitted with documentation and justification to the District Local Roads and Streets Enhancement Coordinator for review (Appendix 2). The scope changes are forwarded to the Bureau of Programming in IDOT Central Office and must be approved. Scope changes may include a location change, adding or deleting a project element, a cost change or design change.

Costs associated with work designed outside the original approved project scope without prior approval will become the sponsor’s responsibility. Project scope changes may require additional environmental analysis and may result in deleting projects from funding or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved federal authorization will require an authorization addendum before the project is advertised for letting. Significant project scope and cost changes must be reflected in the MPOs TIP where applicable.
All Project Scope and Cost Changes Must Be Approved By The Office Of Planning and Programming, Bureau Of Programming Before Final Plans Are Approved And The Project is Advertised For Letting.

Right-of-Way/Easements

All enhancement projects must identify and certify the status of existing and proposed right-of-way and easements. It is the local sponsor’s responsibility to ensure they have the property rights (right-of-way or easements) to construct the enhancement project. IDOT has no authority to purchase property or easements in the name of the local sponsor, nor can IDOT purchase property or easements on local transportation systems in the name of the state. All right-of-way and easements acquired for federal enhancement projects (regardless whether federal funds are utilized for the acquisition) must be acquired in accordance with Titles II and III of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended. If right-of-way or easements are necessary, project sponsors will be required to review and agree to the Standard Agreement Provisions Joint Improvement Projects On the State Highway System (LA Form 4192) or the Standard Agreement Provisions Joint Improvement Projects Off the State Highway System (Federal Aid Projects) (LA Form 4193). The local sponsor shall certify title for all property necessary for the project. For more information contact the District Land Acquisition Engineer through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

The environmental process (PE I) should be completed prior to conducting right-of-way or easement acquisition activities. Right-of-way and easement parcels may require a title search and a possible property survey before purchasing or signing the right-of-way certification document. If federal funds will be utilized for right-of-way or easement acquisitions, a joint funding agreement along with preliminary right-of-way plans and cost estimates must be submitted to the District Land Acquisition Office to be forwarded to the Central Office Bureau of Land Acquisition. The District Bureau of Land Acquisition will notify the sponsor when acquisition work may proceed.

Any Negotiations Or Acquisitions Performed Prior To Federal Authorization Will Be Ineligible For Federal Reimbursement.

Billing procedures for right-of-way costs are the same as for PE. The Bureau of Local Roads and Streets will establish a contract obligation document (COD) to facilitate IDOT reimbursement to the local sponsor for the federal share. Typical implementation time required to appraise, negotiate and acquire right-of-way or easement will range from 18 to 24 months.

Letting Process

The requirements for letting and constructing enhancement projects parallel those of other federally funded local-sponsored projects. Prior to letting, all required items included on the IDOT Certification/Project Status form must be completed. The form can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2). The items include:

- ✓ Plan approval
- ✓ Environmental approvals
- ✓ Right-of-way certification
- ✓ Funding agreements
✓ Utility relocation agreements
✓ Railroad crossing agreements (Refer to Section C regarding the early initiation of railroad agreements
✓ Signed permits
✓ Plan certification by professional engineer
✓ Structure certification by structural engineer
✓ Traffic signal plan approval
✓ Lighting plan approval
✓ Regional and State Clearinghouse approvals
✓ Inclusion in the Metropolitan Planning Organization (MPO) annual element of the Transportation Improvement Program (TIP)

State-let

Most projects should be advertised in IDOT’s Professional Transportation Bulletin (PTB) and included on one of the scheduled state lettings. Final plans must be submitted to the district office 75 days prior to the date of the proposed bid letting for approval. The Central Office Bureau of Local Roads and Streets must be notified 14 days prior to the project letting to issue addenda. IDOT will make the plans available for contractors to review and submit bids. Contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2) for the submittal requirements for the IDOT letting schedule.

Local-let

Certain types of construction projects may, with IDOT approval, be locally let and awarded. The local sponsor makes contractor payments for locally awarded projects and then obtains reimbursement from IDOT for the federal share. Information on the local letting procedures is contained in the Bureau of Local Roads and Streets Manual, Chapter 24. Local let agreements must use the GATA Uniform Interagency Grant Accountability (UIGA) Form found on the Illinois GATA website. The UIGA form will include program specific terms and conditions for reporting and accounting based of the ICQ and programmatic risk assessment.

Examples of projects that may be approved for local lettings are:
✓ Enhancement projects being constructed in conjunction with a larger MFT or locally financed project.
✓ Small projects where a local letting may be more appropriate.
✓ Projects not typically included in IDOT state lettings, such as buildings and historic restoration.
✓ Projects for which federal funds are included in materials only.

Construction Process

A typical construction contract may require from six to twelve months to complete. The pre-construction meeting with the sponsor, contractor, Resident Engineer (RE), District Construction Engineer, District Materials Engineer, and District Local Roads and Street Engineer will be held after the construction contract has been awarded. There are different construction billing procedures for state-let and local-let construction contracts.
IDOT pays the contractor’s billing schedule as the project progresses and then bills the sponsor for the local share of the project.

- The local sponsor must provide a public-sector Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision.

- There are significant material and construction documentation requirements for state-let projects. For assistance, please contact the District Bureau of Implementation through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

Projects on IDOT lettings will use the Bureau of Construction Manual, Manual of Test Procedures for Materials, the Standard Specifications for Road and Bridge Construction and as appropriate the Secretary of Interior’s Standards for Historic Preservation for contract documentation and construction inspection procedures. IDOT Manuals are available on the IDOT website.

After state-let contract bids are received, IDOT will award the construction contract, conduct general administrative project supervision, make contractor payments and request reimbursement from the local sponsor for the local share.

- State-let contracts will be included in the Bureau of Construction project monitoring and billing system.

- The Bureau of Construction will prepare blank monthly contract pay estimates to be completed by the RE and submitted to the Bureau of Construction.

- The RE will submit to the Bureau of Construction the material inspection reports, inspector’s daily reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.

With prior agreement IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.

- All contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.

- All contract and contract change orders must follow the construction manual procedures or a special IDOT agreed change order and conform to the Illinois Procurement Code (30 ILCS 500), the State Finance Act (30 ILCS 105/9.02) and the Criminal Code (720 ILCS 5/33E).

Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Construction And Bureau Of Local Roads And Streets For State-Let Projects Before Proceeding With Any Work.

Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Programming Before Proceeding With Any Work.

Local-let Procedures
The local sponsor pays the full amount of the contractor’s billing schedule as the project progresses, then documents and requests reimbursement from IDOT for the federal share of the project.

- The local sponsor must provide a public-sector Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision.
- There are significant material and construction documentation requirements for local-let projects. For assistance, please contact the District Bureau of Implementation through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

Projects on local lettings will use the Bureau of Local Roads and Streets Manual, Chapter 24. The District Bureau of Local Roads construction, material inspection and billing process for local contract documentation and procedures information are also available through the district office. The contract will conform to the Manual of Test Procedures for Materials, the Standard Specifications for Road and Bridge Construction and as appropriate the Secretary of Interior’s Standards for Historic Preservation for contract documentation and construction inspection procedures (Appendix 3). For more information, contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

- After local-let contract bids are received, the sponsor shall request concurrence from IDOT to award the contract.
- The sponsor will administer the contract, make contractor payments, and request reimbursement from IDOT for the Federal cost share.
- Local-let contracts will not be included in the Bureau of Construction project monitoring and billing system and are the sponsor’s responsibility.
- The RE will prepare the monthly contract pay estimates.
- The RE will submit to the district the daily inspector reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.
- All contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- With prior agreement, IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.

**Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Local Roads And Streets For Local-Let Projects Before Proceeding With Any Work.**

**Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Programming Before Proceeding With Any Work.**

**Contract Completion**

After the construction contract is completed, the RE and District Bureau of Local Roads and Streets or District Construction Office will perform the final inspection. The RE will then complete the final pay
estimate and final report. Project construction documentation and funding may be audited by IDOT and FHWA staff.

The sponsor may schedule an opening dedication for their project and will be responsible for all maintenance and operational functions for the project.
Section P

STATE-SPONSORED PROJECTS ADMINISTRATION AND IMPLEMENTATION

Projects need to follow all federal and state requirements in the design and construction process. The projects should be constructed according to appropriate design policies to provide basic needs, and any costs associated with amenities above design requirements are the sponsor’s responsibility.

Each step in the process requires separate approvals for initiation and completion. The elements involved in each step are more fully described in this section. Each step is undertaken in accordance with joint funding agreements executed between IDOT and the local sponsor and the procedures spelled out in the various policy manuals. Each step requires the use of qualified consultants or qualified in-house staff to undertake the necessary steps as outlined.

Departmental Processes

Funding Authorization

IDOT submits the projects to FHWA for federal funding authorization. Engineering, right-of-way and construction projects will receive federal authorization only if the project is included in the annual element of the state multi-year program and the annual program of the appropriate MPO TIP. The approved construction costs identified in the annual element of the state multi-year program will be based on the PE project estimate.

✓ The Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section, will obtain federal authorization from FHWA for the PE, CE, land acquisition and utility relocation agreements.


✓ The Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section, will obtain federal authorization from FHWA prior to advertising a construction contract on a letting.


✓ The Bureau of Design and Environment, Preliminary Engineering Section, will notify the PE and CE consultant and the utility relocation contractor/company when they may proceed with the work.

✓ The Bureau of Land Acquisition will notify the land acquisition agreement contractor when they may proceed with the work.

✓ The contractor will be notified to proceed with the contract by the Bureau of Construction for IDOT-let projects and by Capital Development Board (CDB) for CDB-let projects.
Reimbursement

The enhancement program is a reimbursable grant program. Federal project funds cannot be paid in advance of the work performed. The project documentation and costs are paid by IDOT and the sponsor in accordance with the interagency agreement. Contract obligation documents (COD) will establish the level of funding for reimbursement.

- The Bureau of Design and Environment, Preliminary Engineering Section, will establish a COD for PE, CE and utility relocation agreements to facilitate IDOT payment.
- The Bureau of Land Acquisition will establish a COD for right-of-way or easement acquisition to facilitate IDOT payment.
- The Bureau of Construction will establish a COD for the construction to facilitate IDOT payment.

CDB let projects will require IDOT to obligate the Federal share and CDB to obligate the non-Federal share of the project funds with the Comptroller’s Office.

Payments

As the work is accomplished, sponsors should forward the bills for payment to the appropriate area. The project sponsor will pay the consultant, utility company or contractor the non-Federal share of all agreements and contracts.

- The Bureau of Design and Environment, Preliminary Engineering Section, will process the consultant utility relocation bills for payment.
- For CDB-let projects, the CDB Fiscal Section will collect and forward all engineering, land acquisition, utility relocation and construction pay requests to the Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section.
- The Bureau of Land Acquisition will pay the warrants for right-of-way or easements to facilitate IDOT payment.
- The Bureau of Construction will process the pay estimate for construction contracts to facilitate IDOT payment.

No Reimbursement Will Be Allowed For Expenditures Made Prior To The Date Of Federal Authorization.

Project Sequencing

After a state-sponsored project is selected and has received notification of project approval, a meeting should be scheduled with the appropriate IDOT State Enhancement Coordinator (Appendix 2) to discuss requirements of the right-of-way and easement acquisition process and the project development process. One of the first procedures is developing and executing an interagency agreement specifying scope of work, cost and participation for the selected project.

Agreements

- IDOT sponsored projects will be engineered and administered by the appropriate district and Central Office staff. IDOT may elect to use outside engineering/architectural consulting services for IDOT projects requiring special services or expertise. IDOT will negotiate and execute an interagency agreement with the state agency to identify the project funding and scope. All department agreements will be processed through the Preliminary Engineering Section in the Bureau of Design and Environment.
State agencies must advertise their project scope and services in IDOT's Professional Transportation Bulletin (PTB) or use the CDB process to select a pre-qualified engineering or architectural consultant. To obtain a list of the IDOT pre-qualified engineering consultants contact the Preliminary Engineering Section in the Bureau of Design and Environment.

CDB-let projects will follow the Bureau of Design and Environment ITEP Procedures for design contracts, bid documents, document review and bidding and CDB Minority Business Enterprises/Female Business Enterprises (MBE/FBE) goals.

All agreements will be reviewed by IDOT's auditing section to ensure all costs are within federal guidelines.

State agencies and consultants will enter into a professional services agreement which contains the necessary state and federal certificates and audit requirements. Professional services agreements can be modified to add pertinent architectural language for building and landscaping projects where architects are required. Appropriate forms can be obtained through the Preliminary Engineering Section in the Bureau of Design and Environment.

All agreements must be signed by the appropriate agency heads and the Secretary of Transportation.

The project sponsor will negotiate a consultant services agreement with IDOT assistance as appropriate regarding scope of professional services and the necessary consultant staff-hours to complete the project architectural or design PE I or PE II phases.

After the PE II project design is approved, the next procedures are advertising, selecting and negotiating a consultant services agreement regarding scope of professional services and the necessary consultant staff-hours to complete the project construction engineering phase (CE).

Agreement addenda will be processed through the Bureau of Design and Environment, Preliminary Engineering Section. CDB agreement addenda will be processed through the Bureau of Design and Environment, Preliminary Engineering Section subject to funding approval.

The Bureau of Design and Environment, Preliminary Engineering Section, will approve and execute sponsor agreements and will notify all state agencies when the consultant may proceed with the preliminary engineering.

No Federal Reimbursement Will Be Allowed For Work Started Before Notification To Proceed With Contract.

The project sponsor shall execute their PE, CE, land acquisition and utility relocation agreements.

Engineering

Phase I engineering is required to be completed and the Final Project Development Report (PDR) submitted to IDOT for review and approval and the submittal date is included and can be verified in the application. Refer to the Bureau of Local Roads and Streets manual for guidelines on what is required for the Final PDR.

The first phase of project development is the preliminary engineering. The PE II includes the project plans and contracts. The project, the right-of-way and/or construction phase may begin after federal authorization. PE and CE may be performed by qualified state agency staff or by outside engineering/architectural consulting services.
Engineering (PE I): Six to eighteen months are typical time periods required to accomplish PE I. Planning and coordination with District Local Roads Enhancement Coordinator (Appendix 2) will be crucial to completing requirements before applying for ITEP funds.

Engineering (PE II): As the project proceeds through the PE II phase, the following areas must be evaluated. Four to twelve months are typical time periods required to accomplish PE II.

- After environmental and design approval and Federal authorization is received, the state sponsor can begin to prepare the final plans and specifications for the project in accordance with the appropriate design policies and approved project report.
- The sponsor must obtain all permits before advertising the letting for the construction contract (examples include IDNR Office of Water Resources and Corps of Engineers permits). The need for these permits should be identified during PE I.
- As necessary, coordination meetings should be held between the project sponsor, IDOT, CDB and FHWA.
- When the final plans, specifications, permits and cost estimates are completed, the Certification Acceptance/Project Status (BDE 488) and plans shall be submitted to the Bureau of Design and Environment, Project Development and Implementation Section. The Bureau of Design and Environment or District Engineer must sign the final plans. The BDE 488 form can be obtained through the appropriate State Enhancement Coordinator (Appendix 2).

Project Scope

The project scope is the pertinent information on a project such as type of work, costs, location, project limits and funding. Project scopes that change from the original approved project scope must be submitted with documentation and justification to the appropriate State Enhancement Coordinator for review. The scope changes are forwarded to the Office of Planning and Programming, Bureau of Programming for review and approval. Scope changes include a location change, adding or deleting a project element or a cost or design change.

Costs associated with work designed outside the original approved project scope without prior approval will become the sponsor’s responsibility. Project scope changes may require additional environmental analysis and may result in deleting projects from funding or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved Federal authorization will require an authorization addendum before the project is advertised for letting.

All Project Scope And Cost Changes Must Be Approved By The Office Of Planning And Programming, Bureau Of Programming Before Final Plans Are Approved And The Project is Advertised For Letting.

Right-of-way/Easements

All enhancement projects must identify and certify the status of existing and proposed right-of-way and easements. It is the sponsor’s responsibility to ensure they have the property rights (right-of-way or easements) to construct the enhancement project. IDOT has no authority to purchase property or easements in the name of a local agency, nor can IDOT purchase property or easements on the local transportation systems in the name of the state. All right-of-way and easements acquired for federal enhancement projects (regardless whether federal funds are utilized for the acquisition) must be acquired
in accordance with Titles II and III of the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended. If right-of-way or easements are necessary, project sponsors will be required to review and agree to the Standard Agreement Provisions Joint Improvement Projects on the State Highway System (LA Form 4192) or agree to the Standard Agreement Provisions Joint Improvement Projects Off the State Highway System (Federal Aid Projects) (LA Form 4193). For more information contact the District Land Acquisition Engineer through the appropriate State Enhancement Coordinator (Appendix 2).

The environmental process (PE I) must be complete prior to conducting right-of-way or easement acquisition activities. Property and easement parcels may require a title search and a possible property survey before purchasing or signing the right-of-way certification document. If federal funds will be utilized for right-of-way or easement acquisitions, an interagency agreement between the state sponsor and IDOT, along with preliminary right-of-way plans and cost estimates, must be submitted to the Bureau of Land Acquisition. The Bureau of Land Acquisition then will notify the sponsor when work may begin.

Any Negotiations Or Acquisitions Performed Prior To Federal Authorization Will Be Ineligible For Federal Reimbursement.

Billing procedures for on and off state right-of-way are the same as for PE. The Bureau of Land Acquisition will establish a contract obligation document (COD) to facilitate payment for the federal share, and the project sponsor shall pay the non-federal share. Typical implementation time required to appraise, negotiate and acquire right-of-way or easement will range from 18 to 24 months.

Letting Process

The requirements for letting and constructing enhancement projects parallel that of other federally funded state-sponsored projects. Before advertising the projects for letting, all projects must be reviewed by the Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section when the plans are 75 percent and 100 percent complete. The 100 percent review shall include final contract and bidding documents. Prior to letting, all required items included on the IDOT Certification Acceptance/Project Status form (BDE 488) must be completed. The BDE form can be obtained through the appropriate State Enhancement Coordinator.

The items include:

- Plan approval
- Environmental sign-off
- Right-of-way certification
- Funding agreements
- Utility relocation agreements
- Railroad crossing agreements
- Signed permits
- Plan certification by professional engineer
- Structure certification by structural engineer
- Traffic signal plan approval
Lighting plan approval
Regional and State Clearinghouse approvals
Inclusion in the Metropolitan Planning Organization (MPO) annual element of the Transportation Improvement Program (TIP)

All projects will be advertised in the IDOT Transportation Bulletin or the CDB-Bid Information Newsletter (BIN) and included on one of the scheduled state lettings. Final plans must be submitted to the Project Development and Implementation Section in the Bureau of Design and Environment 75 days prior to the date of the proposed bid letting for approval. The Project Development and Implementation Section must be notified 14 days prior to the letting to issue addenda. IDOT will make the plans available for contractors to review and submit bids. Contact the appropriate State Enhancement Coordinator (Appendix 2) for the submittal requirements for the IDOT letting schedule.

Construction Process

A typical construction contract may require from six to twelve months to complete. For projects awarded on an IDOT or a CDB letting, IDOT pays the federal share of the contractor’s billing schedule and CDB or the project sponsor will pay the sponsor share as the project proceeds. The pre-construction meeting with the sponsor, contractor, Resident Engineer (RE), District Construction Engineer and District Materials Engineer will be held after the construction contract has been awarded.

Other state agencies must provide a Resident Engineer (RE) for their sponsored projects and are responsible for the project documentation, material inspection and direct construction supervision (CE). Projects on IDOT lettings will use the Bureau of Construction Manual, Manual of Test Procedures for Materials, the Standard Specifications For Road and Bridge Construction, and as appropriate the Secretary of Interior’s Standards for Historic Preservation for contract documentation and construction inspection procedures. For more information, contact the District Bureau of Implementation for construction procedures through the appropriate State Enhancement Coordinator (Appendix 2).

- After IDOT state-let contract bids are received, IDOT will award the construction contract and conduct general administrative project supervision.
- Bureau of Construction will make contractor payments for the federal share and project sponsor will make contractor payments for the non-federal share.
- IDOT will submit requests to FHWA for reimbursement of the federal share.
- State-let contracts will be included in the Bureau of Construction project monitoring and billing system.
- The Bureau of Construction will prepare blank monthly contract pay estimates to be completed by the RE and submitted to the Bureau of Construction.
- The RE will submit to the Bureau of Construction the material inspection reports, inspector’s daily reports, monthly pay estimates and weekly RE progress reports based on the work completed and billed by the contractor.
- All Contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- With prior agreement, IDOT may provide material inspection and certification for material locations currently staffed by IDOT personnel.
- There are significant material and construction documentation requirements for state-let projects. For assistance, please contact the District Bureau of Implementation through the appropriate State Enhancement Coordinator (Appendix 2).
Projects on a CDB letting will use CDB’s construction manuals and as appropriate the Secretary of Interior’s Standards for Historic Preservation for contract documentation, construction and material inspection procedures.

- Projects that are CDB-let will follow CDB procedures except for contract change orders and contract administration fees.

**It Is The Project Sponsor’s Responsibility To Provide All Construction Documentation, Material Inspection And Material Certification Documents.**

**Change Orders**

All contract and contract change orders must follow the construction manual procedures or a special IDOT agreed change order procedure and conform to the Illinois Procurement Code (30 ILCS 500), the State Finance Act (30 ILCS 105/9.02) and the Criminal Code (720 ILCS 5/33E). CDB change orders will be processed through the established procedures. Failure to notify the Bureau of Design and Environment, Program Support Unit in the Project Development and Implementation Section of a change order prior to the contractor(s) proceeding with any work will jeopardize federal funding. Prior to any work proceeding, all change orders must be signed by all parties including IDOT.

**Change Orders Above The Authorized Resident Engineer And District Engineer Approval Limits Must Have The Funding Approved By The Bureau Of Construction and The Bureau Of Design And Environment Before Proceeding With Any Work.**

**Accumulated Change Order Totals Exceeding Contract Limits Shall Have The Additional Funding Approved By The Bureau Of Programming Before Proceeding With Any Work.**

**Contract Completion**

After the construction contract is completed, the RE and District Bureau of Construction will perform the project final inspection for IDOT-let contracts. CDB and the RE will perform the project final inspection for CDB-let contracts. The RE will then complete the project final pay estimate and final construction reports. Project construction documentation and funding may be audited by IDOT and FHWA.

The sponsor may schedule an opening dedication for their project and will be responsible for all maintenance and operational functions for the project.
## Appendix 1

### LIST OF ABBREVIATIONS AND ACRONYMS

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<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AASHTO</td>
<td>American Association of State Highway and Transportation Officials</td>
</tr>
<tr>
<td>ADA</td>
<td>Americans with Disabilities Act</td>
</tr>
<tr>
<td>BCR</td>
<td>Bridge Condition Report</td>
</tr>
<tr>
<td>BD&amp;E</td>
<td>Bureau of Design and Environment</td>
</tr>
<tr>
<td>CDB</td>
<td>Capital Development Board</td>
</tr>
<tr>
<td>CE</td>
<td>Construction Engineering (Phase III Engineering)</td>
</tr>
<tr>
<td>CLG</td>
<td>Certified Local Government</td>
</tr>
<tr>
<td>COD</td>
<td>Contract Obligation Document</td>
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<tr>
<td>DCEO</td>
<td>Department of Commerce and Economic Opportunity</td>
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<tr>
<td>ESR</td>
<td>Environmental Survey Request</td>
</tr>
<tr>
<td>FAST Act</td>
<td>Fixing America’s Surface Transportation Act</td>
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<tr>
<td>FFM</td>
<td>Federal Flexible Match Program</td>
</tr>
<tr>
<td>FHWA</td>
<td>Federal Highway Administration</td>
</tr>
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<td>FY</td>
<td>Fiscal Year (State)</td>
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<tr>
<td>IDNR</td>
<td>Illinois Department of Natural Resources</td>
</tr>
<tr>
<td>IDOT</td>
<td>Illinois Department of Transportation</td>
</tr>
<tr>
<td>IHPA</td>
<td>Illinois Historic Preservation Agency</td>
</tr>
<tr>
<td>ISTEA</td>
<td>Intermodal Surface Transportation Efficiency Act of 1991</td>
</tr>
<tr>
<td>ITEP</td>
<td>Illinois Transportation Enhancement Program</td>
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<tr>
<td>MAP-21</td>
<td>Moving Ahead for Progress in the 21st Century</td>
</tr>
<tr>
<td>MFT</td>
<td>Motor Fuel Tax</td>
</tr>
<tr>
<td>MPO</td>
<td>Metropolitan Planning Organization</td>
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<tr>
<td>MYP</td>
<td>Multi-Year Program</td>
</tr>
<tr>
<td>PDR</td>
<td>Project Development Report</td>
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<tr>
<td>PE I</td>
<td>Phase I Preliminary Engineering</td>
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<tr>
<td>PE II</td>
<td>Phase II Preliminary Engineering</td>
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<td>PPS</td>
<td>Program Planning System</td>
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<td>PTB</td>
<td>Professional Transportation Bulletin</td>
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<td>RE</td>
<td>Resident Engineer</td>
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<td>RTP</td>
<td>Recreational Trails Program</td>
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<td>ROW</td>
<td>Right-of-Way</td>
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<td>SAFETEA-LU</td>
<td>Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users</td>
</tr>
<tr>
<td>STIP</td>
<td>Statewide Transportation Improvement Program</td>
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<tr>
<td>SRTS</td>
<td>Safe Routes to School</td>
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<td>TAP</td>
<td>Transportation Alternatives Program</td>
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<tr>
<td>TEA-21</td>
<td>Transportation Equity Act for the 21st Century</td>
</tr>
<tr>
<td>TIP</td>
<td>Transportation Improvement Program</td>
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<tr>
<td>TMA</td>
<td>Transportation Management Area</td>
</tr>
<tr>
<td>TS&amp;L</td>
<td>Type Size &amp; Location</td>
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<tr>
<td>UYC</td>
<td>Urban Youth Corps</td>
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</tbody>
</table>
# Appendix 2

## IDOT District Enhancement Program Coordinators

<table>
<thead>
<tr>
<th>District</th>
<th>Program Development (state-sponsored projects)</th>
<th>Local Roads and Streets (local-sponsored projects)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Brian Carlson (847) 705-4080</td>
<td>Charles Riddle (847) 705-4406</td>
</tr>
<tr>
<td>2</td>
<td>Kristine Tobin (815) 284-5444</td>
<td>Tony Baratta (815) 284-5380</td>
</tr>
<tr>
<td>3</td>
<td>Tom Magolan (815) 434-8472</td>
<td>Don Ernat (815) 434-8426</td>
</tr>
<tr>
<td>4</td>
<td>Terrisa Worsfold (309) 671-3495</td>
<td>Tony Sassine (309) 671-3690</td>
</tr>
<tr>
<td>5</td>
<td>Jeannie Bland (217) 466-7312</td>
<td>Brian Trygg (217) 466-7252</td>
</tr>
<tr>
<td>6</td>
<td>Wes Clark (217) 782-7332</td>
<td>Chris Isbell (217) 782-4690</td>
</tr>
<tr>
<td>7</td>
<td>Kristi Sandschafer (217) 342-8242</td>
<td>Sherry Phillips (217) 342-8321</td>
</tr>
<tr>
<td>8</td>
<td>Gwen Lagemann (618) 346-3150</td>
<td>Jon Schaller (618) 346-3330</td>
</tr>
<tr>
<td>9</td>
<td>Doug Keirn (618) 351-5285</td>
<td>Travis Emery (618) 351-5260</td>
</tr>
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</table>

## IDOT Central Office Program Coordinators

<table>
<thead>
<tr>
<th>Project Category</th>
<th>Coordinator</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITEP Projects</td>
<td>Brian McCoy</td>
<td>(217) 782-5482</td>
</tr>
<tr>
<td>Pedestrian/Bicycle Projects</td>
<td>Jon McCormick</td>
<td>(217) 785-3405</td>
</tr>
<tr>
<td>Historic Projects</td>
<td>Brad Koldehoff</td>
<td>(217) 785-7833</td>
</tr>
<tr>
<td>Environmental Projects</td>
<td>Scott Stitt</td>
<td>(217) 785-4245</td>
</tr>
<tr>
<td>Scenic/Historic Highway Projects</td>
<td>Todd Smith</td>
<td>(217) 785-8643</td>
</tr>
</tbody>
</table>
**IDOT Central Office Bureau Contacts**

**Brian McCoy**  
Illinois ITEP Coordinator  
Bureau of Programming  
Office of Planning and Programming  
217-782-5482  
Brian.McCoy@illinois.gov

**Michael Brand**  
State-Sponsored ITEP Projects  
Bureau of Design and Environment  
Office of Highways Project Implementation  
217-782-7651  
Michael.Brand@illinois.gov

**Vacant – Interim contact: Stephane Bablibile**  
Local-Sponsored ITEP Projects  
Bureau of Local Roads and Streets  
Office of Program Development  
217-785-8564

**Greg Lupton**  
Federal Flexible Match  
Bureau of Local Roads and Streets  
Office of Program Development  
217-785-1670  
Greg.Lupton@illinois.gov
Appendix 3

NATIONAL SCENIC BYWAY CONTACTS

Great River Road in Illinois
Roger L. Carmack, C.E.O.
Western Illinois Tourism Development Office
581 South Deere Road
Macomb, Illinois  61455
(309) 837-7460

Historic National Road-Illinois
Kevin Limestall, Board President
106 South Fifth Street
Vandalia, Illinois  62471
(618) 654-7115

Illinois Lincoln Highway
Bonnie Heimbach, Byway Director
Illinois Lincoln Highway Coalition
8200 Fairgrounds Road
Belvidere, Illinois  61008
(815) 547-3854

Illinois River Road National Scenic Byway
Kendall Cramer, Executive Director
North Central Illinois Council of Governments
613 West Marquette Street
Ottawa, Illinois  61350
(815) 433-5830

Meeting of the Great Rivers Scenic Byway
Brett Stawar, Director
Alton Region Convention and Visitor’s Bureau
200 Piasa Street
Alton, Illinois  62002
(618) 465-6676

Ohio River Scenic Byway
Rhonda Belford, Byway President
Ohio River Scenic Byway
PO Box 746
Rosiclaire, IL  62982
(618) 525-1855

Historic Route 66 National Scenic Byway
William Kelly, Executive Director
Route 66 Heritage Project
700 East Adams Street
Springfield, Illinois  62701
(217) 525-9308
<table>
<thead>
<tr>
<th><strong>STATE AGENCY CONTACTS</strong></th>
</tr>
</thead>
</table>
| **IHPA Division of Preservation Services** | Andrew Heckenkamp  
National Register of Historic Places  
National Register Coordinator  
IHPA  
1 Old State Capitol Plaza  
Springfield, IL 62701-1507  
(217) 785-4324 |
| **IHPA Certified Local Government** | Vacant  
Local Government Services Coordinator  
IHPA  
1 Old State Capitol Plaza  
Springfield, Illinois 62701-1507  
(217) 785-5730 |
| **IDNR Office of Realty and Capitol Planning** | Michael Rhodes  
Transportation Enhancement Program Manager  
Illinois Department of Natural Resources  
1 Natural Resources Way  
Springfield, Illinois 62702-1271  
(217) 524-5461 |
| **DCEO Illinois Office of Tourism** | Jan Kemmerling  
Tourism Development Programs Section Manager  
500 East Monroe St.  
Springfield, IL 62701  
217/785-6351 |
| **Capitol Development Board** | Marcy Joerger  
217-782-8708 |
Appendix 4

ILLINOIS DEPARTMENT OF TRANSPORTATION REGION and DISTRICT BOUNDARIES

Region 1

DISTRICT 1
201 WEST CENTER COURT
SCHAUMBURG, ILLINOIS 60195-1096
PHONE: 947/705-4000

Region 2

DISTRICT 2
819 DEPOT AVENUE
DIXON, ILLINOIS 61021-3546
PHONE: 815/284-2271

DISTRICT 3
700 EAST NORRIS DRIVE
OTTAWA, ILLINOIS 61350-1628
PHONE: 815/434-6131

Region 3

DISTRICT 4
401 MAIN STREET
PEORIA, ILLINOIS 61602-1111
PHONE: 309/677-3533

DISTRICT 5
15473 IL HWY 133
P.O. BOX 610
PARIS, ILLINOIS 61944-0610
PHONE: 217/465-4181

Region 4

DISTRICT 6
126 EAST ASH STREET
SPRINGFIELD, ILLINOIS 62704-4782
PHONE: 217/786-7501

DISTRICT 7
400 WEST WABASH
EFFINGHAM, ILLINOIS 62401-2899
PHONE: 217/343-3651

Region 5

DISTRICT 8
1102 EASTPORT PLAZA DRIVE
COLLINSVILLE, ILLINOIS 62234-6198
PHONE: 618/344-3100

DISTRICT 9
STATE TRANSPORTATION BUILDING
P.O. BOX 103
CARBONDALE, ILLINOIS 62903-0100
PHONE: 618/549-2171

Address: 612.0x792.0

Date: 4/19/2019

Office of Planning & Programming

Illinois Department of Transportation

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Appendix 5

Illinois Metropolitan Planning Organizations

Alton-St. Louis Urbanized Area (Illinois side)
East-West Gateway Council of Governments
One S. Memorial Drive, Suite 1600
St. Louis, Missouri  63102-2451
(314) 421-4220

Bloomington-Normal Urbanized Area
Mclean County Regional Planning Commission
115 E. Washington Street, Suite 1
Bloomington, Illinois  61701
(309) 828-4331

Cape Girardeau Urbanized Area
Southeast Metropolitan Planning Organization
City of Cape Girardeau
401 Independence
Cape Girardeau, MO 63703
(573) 339-6327

Danville Urbanized Area
Danville Area Transportation Study
1155 East Voorhees Street, Suite A
Danville, Illinois  61832
(217) 431-2321

Decatur Urbanized Area
Decatur Urbanized Area Transportation Study
Economic & Urban Development
#1 Gary K. Anderson Plaza
Decatur, Illinois  62523
(217) 424-2700

Dubuque, Iowa Urbanized Area (Illinois side)
Dubuque Metropolitan Area Transportation Study
East Central Intergovernmental Association
7600 Commerce Park
Dubuque, IA 52002
Dubuque, Iowa  52002
(563) 556-4166

Beloit, Wisconsin Urbanized Area (Illinois side):
State Line Area Transportation Study
City of Beloit
2400 Springbrook Court
Beloit, Wisconsin  53511
(608) 364-6702

Champaign-Urbana Urbanized Area:
Champaign-Urbana Urbanized Area Transportation Study
Champaign County Regional Planning Commission
1776 East Washington Street
P.O. Box 17760
Urbana, Illinois  61803-7760
(217) 328-3313

Southern Illinois Metropolitan Planning Organization
Greater Egypt Regional Planning and Development Commission
3000 West DeYoung Street
Suite 800B-3
Marion, IL 62959
(618) 997-9351

Davenport, Rock Island, Moline Urbanized Area (Illinois side)
Bi-State Regional Commission
1504 Third Avenue, P.O. Box 3368
Rock Island, Illinois  61204-3368
(309) 793-6300

DeKalb Urbanized Area:
DeKalb/Sycamore Area Transportation Study
City of DeKalb
223 S. Fourth St., Suite A
DeKalb, Illinois  60115
(815) 748-2331
Northeastern Illinois Urbanized Area:
(includes Cook, DuPage, Kane, Lake, McHenry and Will counties):
**Chicago Metropolitan Agency for Planning**
233 South Wacker Drive, Suite 800
Chicago, Illinois  60606
(312) 386-8600

Rockford Urbanized Area:
**Rockford Metro Agency for Planning**
313 North Main Street
Rockford, Illinois  61101
(815) 319-4180

Kankakee Urbanized Area:
**Kankakee Area Transportation Study**
189 East Court Street
Kankakee, Illinois  60901
(815) 937-2940

Peoria Urbanized Area:
**Peoria/Pekin Urbanized Transportation Study**
Tri-County Regional Planning Commission
456 Fulton St. Suite 401
Peoria, IL 61602
(309) 673-9330

Springfield Urbanized Area:
**Springfield Area Transportation Study**
200 South Ninth Street
Room 212
Springfield, Illinois  62701-1629
(217) 535-3110
Appendix 6

LOCAL AGENCY FEDERAL FLEXIBLE MATCH PROGRAM
CIRCULAR LETTER 2015-07

FEDERAL FLEXIBLE MATCH PROGRAM - REVISED

COUNTY ENGINEERS / SUPERINTENDENTS OF HIGHWAYS
MUNICIPAL ENGINEERS / DIRECTORS OF PUBLIC WORKS / MAYORS
METROPOLITAN PLANNING ORGANIZATIONS - DIRECTORS
CONSULTING ENGINEERS

OVERVIEW

Provisions introduced in TEA-21 and expanded by SAFETEA-LU allowed new flexibility to the Federal-Aid Highway Program’s matching requirements by allowing certain public donations of cash, materials, and services to satisfy the local matching requirements. Title 23 USC - “Highways,” Chapter 3 - “General Provisions,” Section 323 - “Donations and Credits,” outlines the legal basis for the FHWA Innovative Finance Management tool known as flexible match or soft match. Flexible match allows a wide variety of public and private contributions to be counted toward the non-Federal match (local match). The Moving Ahead for Progress in the 21st Century (MAP-21) federal transportation bill consolidated programs which eliminated some donations and credits that may be used towards the flexible match.

The following benefits may be realized through the Federal Flexible Match (FFM) Program:

- Acceleration of projects that receive donated resources
- Allowing local public agencies to reallocate funds that otherwise would have been used to meet Federal matching requirements
- Promoting public-private partnerships by providing incentives to seek private donations

IDOT limits FFM credits to use during construction and construction engineering, and recognizes up to 80% of the value of FFM as direct federal match. It should be noted that seeking FFM does not increase the specific approved amount of federal funding awarded for projects selected through a solicitation process. In these cases, the additional federal funding will need to come from an approved local public agency federal funding source, such as Surface Transportation Program funds. The FFM request should not be submitted unless federal funding is expected to be used for some portion of the project.

ELIGIBLE ITEMS FOR FLEXIBLE MATCH

Flexible match may be used for federal highway programs with the exception of the Emergency Relief Program. Flexible match can be applied toward all or any portion of the required matching share. This flexible match will only affect individual approved projects; no carryover or credit of flexible match funds for other projects will be allowed.

The following table outlines the eligibility of flexible match donations or credits and their associated donors:

<table>
<thead>
<tr>
<th>Source of Donation/Credit</th>
<th>Private</th>
<th>Local Government</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funds (see note 1)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Land or ROW (see note 2)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Materials (see note 3)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Notes:
1. Funds must be received prior to project authorization by FHWA.

2. Land may be donated by a non-governmental owner in accordance with 23 CFR 710.505 or contributed by a local government in accordance with 23 CFR 710.507. For any donated property that was originally acquired with federal funds, only the non-federal share of the property may be counted as the donation.

3. Federal “Buy America” requirements apply.

4. Pre-MAP-21 Transportation Enhancement projects are allowed to use consultant services. Local government services are limited to only those services performed by local government employees in accordance with Title 23 Section 323.

Donations or credits must be earned or given in a previous phase of the same project and clearly documented in order to be utilized as flexible match. Anticipation of flexible match will not be allowed. For example: preliminary engineering (PE) or land acquisition may be applied to construction, but construction items cannot be applied to PE or land acquisition. If material cannot be stockpiled near the jobsite, it may not be applied as credit during construction which utilizes that material. However, after the material is accepted, in-place, and its value clearly documented, application to use the material donation as a credit in a later stage of the project which has not yet received federal authorization might be permissible. Material contributed to a project needs approval for it to be required in a construction contract.

The donations or credits may consist of funds, land, materials, equipment rental, and/or services that are directly associated with the specific project. Only that portion germane to the project will be eligible for FFM credit. These flexible match donations must not have been used as match for any other federally-funded project. Also, the dollar amount of the in-kind donations must be included in the total project cost; these in-kind donations cannot both reduce the project cost and be used as flexible match.

REQUIRED DOCUMENTATION

Local public agencies should notify IDOT, by letter through the District Local Roads and Streets office, as early in the project as possible of their intent to utilize FFM. A proposed project description and funding schedule (example in Attachment 1) should also accompany this letter. IDOT will in turn request FHWA concurrence with the local public agency intent. This letter of intent to utilize FFM on a project should be submitted prior to, and separate from, the request to approve the dollar amount of FFM earned for the project.

It is the responsibility of the local public agency to maintain adequate records and documentation to verify the flexible match on any given project. The fair market value of the non-monetary donations to be used on a project must be determined and documented by the local public agency in order to be considered for flexible match. Land and materials must be appraised to determine fair market value by an IDOT-approved appraiser. If the value of a land parcel is less than $10,000 it may be appraised by the County Engineer or Municipal Engineer for their projects. Contributions of land can be by fee title or any lesser property interest, i.e., dedicated right-of-way. The services must be based on the local prevailing wage rate or actual local public agency expenditures with supporting invoices or time cards. All documentation supporting the claimed flexible match amount must be submitted and approved by FHWA prior to authorization for utilizing the flexible match.

Preliminary engineering performed by consultants on Transportation Enhancement Program (ITEP) projects funded prior to MAP-21 may be considered for FFM. Otherwise, preliminary engineering performed by consultants can only be considered when the work performed is a donation from the private entity. Preliminary engineering provided by local public agency employees may be used as FFM for all federal programs except Emergency Relief, and will be approved based on actual expenditure documentation.
Upon completion, a local city official, county engineer, or consultant that has been contracted by the local authority to act as the same, will certify the flexible match items have been completed in accordance with all applicable guidelines. This certification should be submitted with all documentation required to justify the requested Federal Flexible Match amount.

To allow sufficient time for review and approval, local public agencies should submit all final FFM documentation in a single submittal to the District prior to the date of federal authorization. This should be done far enough in advance to allow sufficient time for review by IDOT and approval by FHWA. No changes to the FFM amount will be allowed after final award of the contract.

IMPLEMENTATION PROCEDURES

Prior to proceeding with a project that utilizes FFM, FHWA approval is required. The initial funding schedule submitted through the district with the local public agency’s intent to use FFM letter (as well as the cost estimate submitted at the same time as the joint agreement) should show the type, source, and amount of FFM, and the particular phases in which it is anticipated to be donated and applied. Metropolitan Planning Organization guidelines should be followed for use of FFM on Surface Transportation Program and Congestion Mitigation and Air Quality Program funds within their respective areas. This FFM cost estimate is to be submitted by the local public agency to the IDOT District Bureau of Local Roads and Streets.

If you have any questions regarding this Circular Letter, please contact the Local Policy and Technology Unit at (217) 782-5048 or DOT.LocalPolicy@illinois.gov.
## LOCAL PUBLIC AGENCY FEDERAL FLEXIBLE MATCH (FFM)

<table>
<thead>
<tr>
<th>Project Phase</th>
<th>Total</th>
<th>Federal Funds Used</th>
<th>% Federal Funds</th>
<th>Local Funds or Contribution</th>
<th>% Local</th>
<th>FFM Earned (80% of Local Contribution)</th>
<th>FFM Applied (additional to 80% fed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1: FFM Earned</td>
<td>Land Acquisition</td>
<td>$20,000</td>
<td>$0</td>
<td>0%</td>
<td>$20,000</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Step 2: FFM Applied</td>
<td>Construction</td>
<td>$100,000</td>
<td>80,000+16,000= $96,000 (80% fed + FFM = total)</td>
<td>96%</td>
<td>$4,000</td>
<td>4%</td>
<td></td>
</tr>
<tr>
<td>Summary</td>
<td>$120,000</td>
<td>$96,000</td>
<td>80%</td>
<td>$24,000</td>
<td>20%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In the above scenario, rather than the project sponsor having to come up with $20,000 local match towards the construction of the project, the $16,000 approved as FFM for Land Acquisition can be utilized to offset the required 20% local match and the project sponsor only has to provide $4,000 local match for construction. However, the FFM counts against the Federal Not-to-Exceed amount that was originally approved for the project. It is not an increase in federal funding.

Let's presume that this project was approved for $100,000 Federal. In the above example, if the construction costs exceed $100,000, the project sponsor would be responsible for any costs over $100,000. If the construction costs are $100,000 or less then the project can be funded at 100% with the Federal funds.

Federal Flexible Match can be applied to construction or construction engineering.
REQUEST AND INTENT LETTER

____________, Regional Engineer
Attention: District Bureau of Local Roads and Streets
____________, District Office Address

Date

Subject: Federal Flexible Match Request

____________ Local Agency requests that Section __-____-__-__ located ________________ be considered as an eligible Federal Flexible Match Program project.

I certify that the local agency intends to utilize donations or credits toward this project as outlined in the Illinois Department of Transportation Federal Flexible Match Program. A proposed project description and funding schedule is attached.

Sincerely,

____________, Local Agency Highway Official
CERTIFICATION AND NOTIFICATION OF FLEXIBLE MATCH ELIGIBLE COST

[Signature], Regional Engineer
Attention: District Bureau of Local Roads and Streets
[Signature], District Office Address

Date

Subject: Federal Flexible Match Eligible Cost

[Signature] Local Agency certifies that Section __-____-__-__ located __________________________________________ has proceeded in accordance with all applicable guidelines of the Federal Flexible Match Program.

I also certify that $_________ is the final eligible Federal Flexible Match cost which has been donated or credited to the project, and request that 80% of this amount be applied as part of the local matching share for Federal funds in the project.

Detailed documentation of the eligible items and evidence of donation, fair market value or payment are attached.

Sincerely,

[Signature], Local Agency Highway Official
The following sample cost estimates are provided as a guideline to exhibit the type of details that should be reflected in your cost estimate. Not all projects will require the same pay items, unit costs vary greatly depending on what part of the state you are in, and not all projects will have an exceptional amount of detail available to them, but every effort should be made to capture the type of project details displayed in these sample cost estimates. Estimates should be detailed enough to show improvement or material categories and cost estimates reported separately for each phase or construction location. At a minimum it should provide the following data fields: cost category, material description, unit, quantity, unit price, total cost. There should be separate columns for cost breakdown by funding source which includes Federal Share, Sponsor Share, Ineligible items, and % federal funds on eligible items (50% or 80%).

Please note that although most of the work included under roadway related work are not eligible for ITEP funding, it should be included as part of the overall project scope of work and annotated in the cost estimates.

Projects will be at risk if there are errors in the project cost estimate.

- Errors in the application may affect how well the application is scored.
- If after the project receives an award and it is found there are ineligible items that bare substantial cost, the local agency must have a plan to cover all ineligible costs. If additional local funds are not available, the project risks losing federal funds.

NOTE: The following sample cost estimates may not accurately reflect what items were approved as eligible nor does it reflect the amount of funds approved for that project. Unit costs are in no way meant to be reflective of today’s current costs.
BICYCLE AND PEDESTRIAN FACILITY PROJECT COST ESTIMATE
(Urban Area)

This is a fair example of the type of details IDOT is looking for when you submit a cost estimate. Notice that the federal and local portions for right-of-way are shown at 50% as they should be. If there were any ineligible items in this project, a separate column should be added to designate those items. Ineligible items are the responsibility of the project sponsor. Lighting of a bicycle facility is very difficult to justify. If justification for the lighting is not provided with your application, this item would typically be marked ineligible (or approved funds will be adjusted later if justification cannot be established).

Note: Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.
<table>
<thead>
<tr>
<th>ITEM</th>
<th>DESCRIPTION</th>
<th>UNITS</th>
<th>QUANTITY</th>
<th>UNIT COST</th>
<th>LOCAL MATCH</th>
<th>FEDERAL SHARE</th>
<th>TOTAL COST</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>EROSION CONTROL</td>
<td>FOOT</td>
<td>2750</td>
<td>8.40</td>
<td>4620.00</td>
<td>18480.00</td>
<td>23100.00</td>
</tr>
<tr>
<td>2</td>
<td>PORTLAND CEMENT CONCRETE DRIVEWAY PAVEMENT, 6 INCH</td>
<td>SQ YD</td>
<td>674</td>
<td>60.29</td>
<td>8127.48</td>
<td>32509.90</td>
<td>40637.38</td>
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<tr>
<td>3</td>
<td>PORTLAND CEMENT CONCRETE SIDEWALK 5 INCH</td>
<td>SQ FT</td>
<td>54450</td>
<td>5.36</td>
<td>58370.40</td>
<td>233481.60</td>
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<tr>
<td>4</td>
<td>PAVEMENT AND DRIVEWAY REMOVAL</td>
<td>SQ YD</td>
<td>1530</td>
<td>12.06</td>
<td>3690.36</td>
<td>14761.44</td>
<td>18451.80</td>
</tr>
<tr>
<td>5</td>
<td>COMBINATION CURB AND GUTTER REMOVAL</td>
<td>FOOT</td>
<td>1848</td>
<td>6.70</td>
<td>2476.32</td>
<td>9905.28</td>
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<tr>
<td>6</td>
<td>SIDEWALK REMOVAL</td>
<td>SQ FT</td>
<td>25988</td>
<td>1.68</td>
<td>8731.97</td>
<td>34927.87</td>
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<tr>
<td>7</td>
<td>COMBINATION CONCRETE CURB AND GUTTER</td>
<td>FOOT</td>
<td>1840</td>
<td>33.50</td>
<td>12328.00</td>
<td>49312.00</td>
<td>61640.00</td>
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<tr>
<td>8</td>
<td>INLET REPLACEMENT / RELOCATE / LEVEL</td>
<td>EACH</td>
<td>11</td>
<td>1700.00</td>
<td>3740.00</td>
<td>14960.00</td>
<td>18700.00</td>
</tr>
<tr>
<td>9</td>
<td>TRAFFIC CONTROL AND PROTECTION</td>
<td>EACH</td>
<td>2</td>
<td>26800.00</td>
<td>10720.00</td>
<td>42880.00</td>
<td>53600.00</td>
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<tr>
<td>10</td>
<td>SIGNING</td>
<td>EACH</td>
<td>1</td>
<td>26800.00</td>
<td>5360.00</td>
<td>21440.00</td>
<td>26800.00</td>
</tr>
<tr>
<td>11</td>
<td>PEDESTRIAN LIGHTING (NOT CO-LOCATED WITH STREET LIGHTING)</td>
<td>EACH</td>
<td>79</td>
<td>2010.00</td>
<td>31758.00</td>
<td>127032.00</td>
<td>158790.00</td>
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<tr>
<td>12</td>
<td>GRADING AND SHAPING</td>
<td>STA</td>
<td>55</td>
<td>469.00</td>
<td>5159.00</td>
<td>20636.00</td>
<td>25795.00</td>
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<tr>
<td>13</td>
<td>CONSTRUCTION LAYOUT</td>
<td>EACH</td>
<td>1</td>
<td>40200.00</td>
<td>8040.00</td>
<td>32160.00</td>
<td>40200.00</td>
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</tbody>
</table>

**ESTIMATED CONSTRUCTION COST**

- SUM: 163121.52
- LOCAL MATCH: 652486.10
- FEDERAL SHARE: 815607.62

**CONTINGENCY 25%**

- LOCAL MATCH: 40780.38
- FEDERAL SHARE: 163121.52
- TOTAL: 203901.91

**TOTAL CONSTRUCTION COST**

- LOCAL MATCH: 203901.91
- FEDERAL SHARE: 815607.62
- TOTAL: 1019509.53

**COMMERCIAL ROW**

- SQ FT: 1750
- LOCAL MATCH: 4375.00
- FEDERAL SHARE: 4375.00
- TOTAL: 8750.00

**RESIDENTIAL ROW**

- SQ FT: 14737.5
- LOCAL MATCH: 7368.75
- FEDERAL SHARE: 7368.75
- TOTAL: 14737.50

**TEMPORARY EASEMENTS**

- SQ FT: 22000
- LOCAL MATCH: 5500.00
- FEDERAL SHARE: 5500.00
- TOTAL: 11000.00

**TOTAL ROW COST**

- LOCAL MATCH: 17243.75
- FEDERAL SHARE: 17243.75
- TOTAL: 34487.50
**BICYCLE AND PEDESTRIAN FACILITY PROJECT COST ESTIMATE**  
(Rural Area)

This is a fair example of the type of details IDOT is looking for when you submit a cost estimate. It describes some of the assumptions and methods used in their calculations. If there were any ineligible items in this project a separate column should be added to designate those items. Ineligible items are the responsibility of the project sponsor.

**Note:** Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

<table>
<thead>
<tr>
<th>Item No</th>
<th>Description</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit Price</th>
<th>Total Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Tree Removal</td>
<td>Acre</td>
<td>6</td>
<td>$3,000.00</td>
<td>$18,000.00</td>
</tr>
<tr>
<td>2</td>
<td>Earth Excavation</td>
<td>Cu. Yd</td>
<td>22,500</td>
<td>$8.00</td>
<td>$180,000.00</td>
</tr>
<tr>
<td>3</td>
<td>Aggregate Base Course</td>
<td>Ton</td>
<td>5,300</td>
<td>$30.00</td>
<td>$159,000.00</td>
</tr>
<tr>
<td>4</td>
<td>Hot Mix Asphalt Surface Course</td>
<td>Ton</td>
<td>2,200</td>
<td>$75.00</td>
<td>$165,000.00</td>
</tr>
<tr>
<td>5</td>
<td>HDPE Culvert Pipe, 12” Diameter</td>
<td>Foot</td>
<td>500</td>
<td>$25.00</td>
<td>$12,500.00</td>
</tr>
<tr>
<td>6</td>
<td>HDPE Culvert Pipe, 24” Diameter</td>
<td>Foot</td>
<td>250</td>
<td>$40.00</td>
<td>$10,000.00</td>
</tr>
<tr>
<td>7</td>
<td>24” RCCP Storm Sewer Pipe</td>
<td>Foot</td>
<td>300</td>
<td>$65.00</td>
<td>$19,500.00</td>
</tr>
<tr>
<td>8</td>
<td>Inlets for Storm Sewer Pipe</td>
<td>Each</td>
<td>2</td>
<td>$1,000.00</td>
<td>$2,000.00</td>
</tr>
<tr>
<td>9</td>
<td>24” Flared End Sections</td>
<td>Each</td>
<td>2</td>
<td>$500.00</td>
<td>$1,000.00</td>
</tr>
<tr>
<td>10</td>
<td>PCC Sidewalk, 6”</td>
<td>Sq. Ft</td>
<td>1,920</td>
<td>$12.00</td>
<td>$23,000.00</td>
</tr>
<tr>
<td>11</td>
<td>Detectable Warnings</td>
<td>Sq. Ft</td>
<td>768</td>
<td>$65.00</td>
<td>$49,900.00</td>
</tr>
<tr>
<td>12</td>
<td>Segmental Concrete Block Retaining Wall</td>
<td>Sq. Ft</td>
<td>900</td>
<td>$50.00</td>
<td>$45,000.00</td>
</tr>
<tr>
<td>13</td>
<td>Pavement Striping</td>
<td>Lump Sum</td>
<td>1</td>
<td>$8,000.00</td>
<td>$8,000.00</td>
</tr>
<tr>
<td>14</td>
<td>Seed, Fertilize and Mulch</td>
<td>Acre</td>
<td>10</td>
<td>$2,000.00</td>
<td>$20,000.00</td>
</tr>
<tr>
<td>15</td>
<td>Temporary Erosion Control Seeding</td>
<td>Acre</td>
<td>10</td>
<td>$300.00</td>
<td>$3,000.00</td>
</tr>
<tr>
<td>16</td>
<td>Install, Maintain and Remove Silt Fence</td>
<td>Foot</td>
<td>10,000</td>
<td>$4.00</td>
<td>$40,000.00</td>
</tr>
</tbody>
</table>

- **Estimated Construction:** $755,900.00  
- **20% Construction Contingency:** $151,000.00  
- **Total Construction:** $906,900.00

- **Phase II Design Engineering:** $63,000.00  
- **Construction Engineering & Staking:** $91,000.00  
- **Total Engineering:** $154,000.00

*Total Estimated Engineering & Construction Costs: $1,060,900.00*

**Estimate Reference Information:**
1. Estimated Trail Length: 11,800 Feet  
2. Estimated Trail Width: 10 Foot Hot Mix Asphalt, 12 Foot Aggregate Base Course  
3. Estimated Thickness: 3” Hot Mix Asphalt, 6” Aggregate Base Course  
4. Pipe size, location & length roughly estimated from USGS quadrangle maps  
5. Assume ADA ramps will be required at all street, alley, and commercial entrance crossings (48 total ramps)  
6. Earthwork was roughly estimated using the 10’ contour lines on the USGS quadrangle maps  
7. Unit prices based on current (2008) construction costs

*THE ABOVE COSTS DO NOT INCLUDE ANY COST ESTIMATES FOR LAND ACQUISITION, PROPERTY SURVEYS FOR LAND ACQUISITION, LEGAL FEES, UTILITY RELOCATION COSTS, GRANT APPLICATION FEES, OR ANY OTHER MISCELLANEOUS COSTS THAT MIGHT BE INCURRED DURING COMPLETION OF THIS PROJECT.*

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The following sample cost estimate is a fair example of a summary cost sheet since it provides separate columns for Federal Share, Local Share and Ineligible items. It also includes the federal / local percent share ratio for the eligible funding. What it doesn’t provide are the calculations used to determine these costs. A more detailed estimate should be provided to show how many of each item is proposed and the unit cost associated with that item.

**NOTE:** Ineligible items in this estimate which should have been shown in the ITEP Ineligible column are Benches, Decorative Fencing, and Trash Receptacles. Also, Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Benches, Decorative Fencing, Trash Receptacles and Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

![Cost Estimate Table](image_url)
The following sample cost estimate is an excellent example since it provides quantities, unit costs and separate columns for Federal Share, Sponsor Share and Ineligible items. It also breaks the project out by specific types of improvements, and improvements at different locations. Please note that although most of the work included under the intersection improvement is roadway related work and not eligible for ITEP funding, it should be included as part of the overall project scope of work. The street lighting is co-located with an alternate transportation facility, so all elements are eligible for 50% federal match. This cost estimate could be improved by adding the percentage of the cost share. If this project intends on constructing this project in construction phases, then each phase should have costs reported separately.
<table>
<thead>
<tr>
<th>Name</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit Price</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>STREET LIGHTING AND TRAFFIC SIGNALS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Traffic Signal Modernization (Batavia Road)</td>
<td>L SUM</td>
<td>1</td>
<td>$16,000</td>
<td>$16,000</td>
</tr>
<tr>
<td>Emergency Vehicles Pre-emption</td>
<td>L SUM</td>
<td>1</td>
<td>$11,000</td>
<td>$11,000</td>
</tr>
<tr>
<td>Aesthetic Upgrades to Traffic Signals (Route 59, Batavia Road, Winfield Rd)</td>
<td>EACH</td>
<td>20</td>
<td>$15,000</td>
<td>$300,000</td>
</tr>
<tr>
<td>Electrical Conduct and Handrails (for Batavia Road, Street Lights)</td>
<td>L SUM</td>
<td>1</td>
<td>$30,000</td>
<td>$30,000</td>
</tr>
<tr>
<td>Street Lighting at Batavia Road (Co-located with All-Transportation Facility)</td>
<td>EACH</td>
<td>20</td>
<td>$100,000</td>
<td>$2,000,000</td>
</tr>
<tr>
<td>Brosow Lighting Aesthetic Upgrade at Route 9 (Co-located Alt-Transport Facility)</td>
<td>EACH</td>
<td>20</td>
<td>$50,000</td>
<td>$1,000,000</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td></td>
<td></td>
<td></td>
<td>$431,000</td>
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<tr>
<td>BRIDGE ENHANCEMENTS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quantified Upgrade at Wood Branch DuPage River Bridge</td>
<td>FOOT</td>
<td>800</td>
<td>$25</td>
<td>$20,000</td>
</tr>
<tr>
<td>Wood Branch DuPage River Bridge Enhancements (decorative railings, architectural elements, accent lighting)</td>
<td>L SUM</td>
<td>1</td>
<td>$100,000</td>
<td>$100,000</td>
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<tr>
<td>Quantified Upgrade at Ferry Creek Bridge</td>
<td>FOOT</td>
<td>600</td>
<td>$25</td>
<td>$15,000</td>
</tr>
<tr>
<td>Ferry Creek Bridge enhancements (decorative railings, architectural elements, accent lighting)</td>
<td>L SUM</td>
<td>1</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td></td>
<td></td>
<td></td>
<td>$265,000</td>
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<tr>
<td>LANDSCAPE AND SIGNAGE</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prairie Path Landscape Improvements (clear invases, trees, shrubs, hedging, wildflowers)</td>
<td>L SUM</td>
<td>1</td>
<td>$60,000</td>
<td>$60,000</td>
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<tr>
<td>Irrigation in Civic Center Area</td>
<td>L SUM</td>
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<td>$50,000</td>
<td>$50,000</td>
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<td>City Entry Signs</td>
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<td>$45,000</td>
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<tr>
<td>Central Community Events Sign</td>
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<td>3</td>
<td>$75,000</td>
<td>$225,000</td>
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<tr>
<td>Street Lighting</td>
<td>EACH</td>
<td>14</td>
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<td><strong>Subtotal</strong></td>
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<td></td>
<td></td>
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<tr>
<td>HARD SURFACE IMPROVEMENTS</td>
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<tr>
<td>Sidewalk</td>
<td>SQ FT</td>
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<tr>
<td>Bike Path</td>
<td>SQ YD</td>
<td>371</td>
<td>$35</td>
<td>$12,985</td>
</tr>
<tr>
<td>Colored, Patterned Concrete Crosswalks</td>
<td>SQ FT</td>
<td>9000</td>
<td>$10</td>
<td>$90,000</td>
</tr>
<tr>
<td>Colored, Patterned Concrete Sidewalk Corners</td>
<td>SQ FT</td>
<td>2500</td>
<td>$10</td>
<td>$25,000</td>
</tr>
<tr>
<td>Colored, Patterned Concrete Median Nosings</td>
<td>SQ FT</td>
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<td>$10</td>
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<td><strong>Subtotal</strong></td>
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<td></td>
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</tr>
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<td>ROCKWELL STREET/ ROUTE 59/ PRAIRIE PATH INTERSECTION IMPROVEMENTS</td>
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<td></td>
</tr>
<tr>
<td>Cleaning and Grinding</td>
<td>L SUM</td>
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<td>$975</td>
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<tr>
<td>Mobilization</td>
<td>L SUM</td>
<td>1</td>
<td>$22,500</td>
<td>$22,500</td>
</tr>
<tr>
<td>Traffic Control and Protection</td>
<td>L SUM</td>
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<td>$7,500</td>
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<tr>
<td>Earth Excavation</td>
<td>MU YD</td>
<td>400</td>
<td>$30</td>
<td>$12,000</td>
</tr>
<tr>
<td>Sewer Extension</td>
<td>CU YD</td>
<td>750</td>
<td>$30</td>
<td>$22,500</td>
</tr>
<tr>
<td>Aggregate Base Course, 3”</td>
<td>SQ YD</td>
<td>1400</td>
<td>$15</td>
<td>$21,000</td>
</tr>
<tr>
<td>HMA Surface Course 2”</td>
<td>SQ YD</td>
<td>1400</td>
<td>$12</td>
<td>$16,800</td>
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<tr>
<td>HMA Binder Course 11”</td>
<td>SQ YD</td>
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<td>$60</td>
<td>$60</td>
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<tr>
<td>HMA Binder Course 4”</td>
<td>SQ YD</td>
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<td>$22</td>
<td>$31,200</td>
</tr>
<tr>
<td>Concrete Curb and Gutter</td>
<td>FOOT</td>
<td>1500</td>
<td>$30</td>
<td>$45,000</td>
</tr>
<tr>
<td>Concrete Sidewalk</td>
<td>SQ FT</td>
<td>2200</td>
<td>$8</td>
<td>$17,600</td>
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<td>Aggregate Bike Trail</td>
<td>SQ YD</td>
<td>360</td>
<td>$25</td>
<td>$9,000</td>
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<tr>
<td>Storm Mastode</td>
<td>EACH</td>
<td>4</td>
<td>$1,600</td>
<td>$6,400</td>
</tr>
<tr>
<td>Storm sewer pipe, 15”</td>
<td>FOOT</td>
<td>250</td>
<td>$50</td>
<td>$12,500</td>
</tr>
<tr>
<td>Storm sewer pipe, 6”</td>
<td>FOOT</td>
<td>0</td>
<td>$20</td>
<td>$20</td>
</tr>
<tr>
<td>Reclaiming Wall</td>
<td>SQ FT</td>
<td>750</td>
<td>$50</td>
<td>$37,500</td>
</tr>
<tr>
<td>Landscaping elements</td>
<td>L SUM</td>
<td>1</td>
<td>$25,000</td>
<td>$25,000</td>
</tr>
<tr>
<td>Colored, Patterned Concrete Crosswalks</td>
<td>SQ FT</td>
<td>1000</td>
<td>$10</td>
<td>$10,000</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
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<tr>
<td>Construction Total</td>
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<td>$1,757,085</td>
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<tr>
<td>Project Total</td>
<td></td>
<td></td>
<td></td>
<td>$1,258,602</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Footnotes/Share (State Share/In-State Share)</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Engineering (25%)</td>
<td>$1,033,304</td>
</tr>
<tr>
<td>Right-of-Way Acquisition (25%)</td>
<td>$398,576</td>
</tr>
<tr>
<td>Utility Relocation</td>
<td>$334,255</td>
</tr>
<tr>
<td>Construction Engineering (25%)</td>
<td>$1,757,085</td>
</tr>
<tr>
<td></td>
<td>Project Total</td>
</tr>
</tbody>
</table>

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One of the good features about this sample cost estimate is that the project sponsor listed three separate funding scenarios based on the urgency and scope of work for each phase. If the ITEP program could not fund the full renovation, the estimate allows IDOT to provide enough funding to complete Level 1, Level 2 or any combination of items to make this a viable project.

**Note:** Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Contingencies would have to be deducted from the eligible project costs. There are other ways to account for contingencies and inflation in your cost estimate.

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Slate Roof (<em>Level 1= Asphalt Shingle</em>)</td>
<td>$150,592</td>
<td>$473,200</td>
<td>$473,200</td>
</tr>
<tr>
<td>B.</td>
<td>Roof Dormers</td>
<td>$36,837</td>
<td>$36,837</td>
<td>$36,837</td>
</tr>
<tr>
<td>C.</td>
<td>Remove Warming House Gables</td>
<td>$14,830</td>
<td>$14,830</td>
<td>$14,830</td>
</tr>
<tr>
<td>D.</td>
<td>Stucco</td>
<td>$5,200</td>
<td>$15,101</td>
<td>$15,101</td>
</tr>
<tr>
<td>E.</td>
<td>Masonry Knee Wall/ Ticket Bay Window</td>
<td>$74,152</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F.</td>
<td>Exterior Woodwork</td>
<td>$41,600</td>
<td>$145,600</td>
<td>$444,912</td>
</tr>
<tr>
<td>G.</td>
<td>Masonry</td>
<td>$5,200</td>
<td>$36,816</td>
<td>$184,080</td>
</tr>
<tr>
<td>H.</td>
<td>Windows</td>
<td>$20,800</td>
<td>$93,288</td>
<td></td>
</tr>
<tr>
<td>I.</td>
<td>Doors</td>
<td>$14,560</td>
<td>$61,568</td>
<td></td>
</tr>
<tr>
<td>J.</td>
<td>Toilet Room - Option 1</td>
<td>$61,707</td>
<td></td>
<td></td>
</tr>
<tr>
<td>K.</td>
<td>Reopen Tunnel Stairs</td>
<td>$50,253</td>
<td></td>
<td></td>
</tr>
<tr>
<td>L.</td>
<td>Interior Flooring</td>
<td>$51,755</td>
<td></td>
<td></td>
</tr>
<tr>
<td>M.</td>
<td>Plaster Walls</td>
<td>$116,542</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N.</td>
<td>Exit Signs/EM Lighting</td>
<td>$97,344</td>
<td></td>
<td></td>
</tr>
<tr>
<td>O.</td>
<td>Fire Protection</td>
<td>$64,478</td>
<td></td>
<td></td>
</tr>
<tr>
<td>P.</td>
<td>Mechanical</td>
<td>$223,704</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q.</td>
<td>Other</td>
<td>$20,904</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal**

<table>
<thead>
<tr>
<th>Item</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Conditions (6 months)</td>
<td>$72,800</td>
<td>$218,400</td>
<td></td>
</tr>
<tr>
<td>Bid Documents</td>
<td>$2,080</td>
<td>$5,200</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal**

<table>
<thead>
<tr>
<th>Item</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fee (4%)</td>
<td>$33,305</td>
<td>$92,330</td>
<td></td>
</tr>
<tr>
<td>Insurance (1%)</td>
<td>$8,326</td>
<td>$23,083</td>
<td></td>
</tr>
<tr>
<td>Contingency (15%)</td>
<td>$124,894</td>
<td>$346,238</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal Construction Services**

<table>
<thead>
<tr>
<th>Item</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design / Engineering Fees (15%)</td>
<td>$113,662</td>
<td>$312,698</td>
<td></td>
</tr>
</tbody>
</table>

**Total Estimated Restoration Cost**

<table>
<thead>
<tr>
<th>Item</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>$212,722</td>
<td>$1,112,810</td>
<td>$3,082,604</td>
<td></td>
</tr>
</tbody>
</table>

*Estimate for a cedar shake roof is $248,500.
STREETSCAPE PROJECT COST ESTIMATE

This sample cost estimate was provided as an example of a “lump sum” estimate. This does not provide IDOT with any details as to what is included in this project, nor does it specify eligible and ineligible items. The project costs are far more than can be funded at one time from the ITEP program. If the project sponsor would have divided the project into constructible segments of $2M or less, funding may have been able to be provided for at least one segment of the project.

Lump Sum estimates such as this one is not acceptable. Your project application will be marked as INELIGIBLE and will not be considered for funding.

### DETAILED ESTIMATE OF CONSTRUCTION COSTS

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Unit</th>
<th>Quantity</th>
<th>Unit Price</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Streetscape Elements (estimate from past projects, more detailed costs to be determined during engineering)</td>
<td>330' Block Equivalent</td>
<td>10.5</td>
<td>$715,000</td>
<td>$7,507,500</td>
</tr>
</tbody>
</table>

**TOTAL COST OF CONSTRUCTION ITEMS**

[$7,500,000]