ILLINOIS TRANSPORTATION

ENHANCEMENT PROGRAM

ITEP PROGRAM GUIDELINES

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

PREPARED BY

Illinois Department of Transportation

ILLINOIS TRANSPORTATION ENHANCEMENT PROGRAM

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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 how the 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:

- ✓ **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.**
- ✓ **The ITEP should be considered as a means to supplement funding for a project. In some cases projects will only be partially funded. Local project sponsors may have to seek alternative funding sources or be able to provide additional local funds to complete a project.**
- ✓ **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) is ineligible for ITEP funds.**

About the Program

On December 4, 2015, a new 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 new STBG program set-aside provides funding for the ITEP, and all projects and activities that were previously eligible under TAP continue to be eligible under the STBG program set-aside.

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 in order 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 preliminary engineering, utility relocations, construction engineering and construction costs. Street lighting can qualify for either 80% funding or 50% funding, depending on whether the location is within a designated historic district or not. 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.

The ITEP should not be thought of as a sole funding source to complete your project from beginning to end. Rather, the ITEP should be considered an assistance program to help communities achieve their vision. Some projects may only receive partial funding. In this case, project sponsors need to consider phasing larger, more expensive projects while building flexibility into their designs. 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 Metropolitan Planning Organizations 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.

Illinois has five MPOs with urbanized areas having a population greater than 200,000 (TMAs), and they are:

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 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.

For example, a bike trail that connects to existing public facilities is serving a need for the people traveling to and from the facilities or communities. The preservation of a historic transportation facility serves to improve and enhance the community in which it resides. Scenic beautification, as a community improvement activity, also provides a transportation benefit by significantly enhancing the transportation experience.

Activities are not eligible if they are routine maintenance projects such as re-striping a trail, cleaning up debris or repairing broken curb. Items such as sidewalk repair and curb cuts for the disabled (as stand-alone projects) are considered routine activities and are therefore ineligible for the enhancement program. Curb cuts as part of a new bicycle or pedestrian facility or a landscape/streetscape project would be eligible.

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 the following categories:

1) Pedestrian/Bicycle Facilities
2) Streetscapes
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
- ✓ Storm sewers
- ✓ 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/pedestrian lighting (as a stand-alone project)
- ✓ Fences
- ✓ Recreational trails
- ✓ Benches (unless permanent in nature)

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 or in combination with Safe Routes to School Program funds. However, projects can be funded that would complement or extend a project funded under the Safe Routes to School Program.

Projects under this category <u>must</u>:

- ✓ 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 a box culvert or underpass 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 landscape/scenic beautification 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 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.

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)

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. 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 IDOT’s Bureau of Design and Environment (BDE) Manual, Policies and Procedures for Bicycle Facilities. 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 encourages use of a more durable material that will last longer, require less maintenance and provide a surface more suitable to all users. If a crushed limestone trail is the preferred surface for your project, be able to show how funds will be provided for continued maintenance of the trail to meet the needs of the intended users.

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.

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)

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

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.

Projects submitted in conjunction with a previously funded ITEP improvement:

Projects submitted under this category that are being done in conjunction with a previously funded ITEP project will need to provide specific information regarding the related project. In other words, if you are applying for funds to continue or extend 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:

- ITEP #
- Project title

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

If the project is tied to an application being submitted as a separate application under the current application cycle, project sponsor will need to provide ITEP # and Project Title of the project the landscape/streetscape project is tied to.

Streetscape projects must be located on public property along Federal-Aid highways, bike trails, transit stations 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 state right-of-way and off of 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).

Specific eligible items in a landscape/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)
- ✓ street lighting (only eligible for 50% Federal funding unless your project falls in a designated historic district and period lighting is being provided. For those historic designated areas, street lighting germane to the project will be covered at 80% Federal rate. Proof of historic designation must be provided with your application.)
- ✓ pedestrian lighting (eligible for 80% Federal funding)
- ✓ 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.

Note: Be sure to coordinate with your Local IDOT District for details and clarification as to when IDOT must approve the proposed lighting for your project. At a minimum, all lighting on U.S. or state routes will have to be approved by IDOT.

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
- ✓ street lighting (as a stand-alone project)
- ✓ 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 has to be looked at on a project-by-project basis.

Roadway Functional Classifications eligible for Federal-Aid funds:

Urban Areas

- Interstates
- Freeways or Expressways
- Major Collectors
- Minor Arterials
- Other Principal Arterials

Rural Areas

- Includes all the above
- Minor Collectors

Information on Functional Classifications can be found on IDOT's website at, www.gettingaroundillinois.com . Click on "Map." When the map loads click on "Map Type," then click "Roadway Functional Class." For Urban areas scroll down in the legend and click the Urban Areas box to turn on the Urban Areas layer. Use the Zoom to locate the area of your project.

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.

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.

Examples of eligible projects include:

- ✓ Planning, designing and constructing multi-use trails along a railroad right-of-way
- ✓ Purchasing unused railroad property for reuse

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 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/end user. Since museums are no longer an eligible category, as long as the historic facility had a surface transportation link it may qualify for funding, but 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 surface transportation, or 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, <u>the project sponsor must provide a letter of support from the scenic byway or historic highway organization</u>. (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 preliminary engineering, utility relocations, right-of-way, easements, construction engineering and construction. Preliminary engineering is divided into two phases. The Phase I Engineering (PE I) is the design and environmental study that determines the best overall approach to and the location of a project, addresses environmental concerns, prepares an estimate of cost and defines the scope of work. The Phase II Engineering (PE II) consists of preparation of final construction plans, summary of quantities, specifications and final cost estimate.

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 initial 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. Street lighting, unless in a designated historical area, also requires a 50% local match. In a designated historic area, street lighting may qualify for 80% federal funding with a 20% local match. Proof of

the historic designation is the responsibility of the project sponsor. Documentation should be submitted as part of your application to be eligible for 80% funding. If the historic designation has not been obtained before application submittal, the street lighting must be adjusted to a 50% participation rate. If you receive the historic designation before construction, you must notify the department and provide the proper documentation in order to qualify for 80% funding. No additional federal funds will be added to your project, but the participation rate will be adjusted accordingly.

Preliminary 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 of 2007 a new program was implemented called the **Local Agency Federal Flexible Match (FFM) Program,** which 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 has since been 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 if 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).

SECTION E

PROJECT SPONSOR REQUIREMENTS AND RESPONSIBILITIES

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:

- ✓ Acquire local assurance from the proper authorities to ensure commitment
- ✓ Coordinate project with Local IDOT District Office
- ✓ Secure required sponsor match through cash, right-of-way donations, FFM, or other means
- ✓ Schedule start dates for all types of work according to the Sunset Clause (see Section I)
- ✓ Acquire sponsor and agency joint agreements
- ✓ Ensure necessary environmental studies and sign-off by appropriate federal, state and local agencies
- ✓ Complete preliminary engineering
- ✓ Prepare contract plans
- ✓ Perform utility relocations (as required)
- ✓ Complete environmental documents, clearances, permits and mitigation
- ✓ 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 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

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.

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

SECTION H

PROJECT EVALUATION, SELECTION AND APPROVAL PROCESS

Project Evaluation

All ITEP projects must be selected through a competitive 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. 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
- ✓ Connectivity to existing facilities/Linkage
- ✓ Project support/Local commitment
- ✓ Prior sponsor investment
- ✓ Project sponsor capacity, readiness and past performance
- ✓ Application completeness/Information provided
- ✓ Inclusion in a local, state or regional plan
- ✓ Cost effectiveness
- ✓ Planning and coordination
- ✓ Project readiness
- ✓ Extra points will be given for the completion of Phase I Engineering
- ✓ Extra points will be given for the completion of Land Acquisition

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.

All eligible applicants receive a notification letter 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 for funding, further instructions are provided regarding how to contact your local IDOT District Enhancement Coordinator to proceed with your project. It is imperative that you contact your respective IDOT District Enhancement Coordinator immediately upon award notification.

If your project receives an ITEP award:

1) You will receive a notification letter with the award amount. The notification letter will also contain 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.
2) Immediately contact your IDOT District Enhancement Coordinator; contact information can be found at the bottom of the notification letter. A kick-off meeting must be scheduled within 6 weeks of award notification.
3) Obtain guidance on how to proceed with the project development process by getting the proper paperwork in place.

SECTION I

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.

If you intend to use ITEP funds for any part of your project from preliminary engineering through construction, you must first have an executed Local Agency Agreement in place. Separate agreements will be required for preliminary engineering, land acquisition and construction. Any work done prior to the date of the executed agreement cannot be reimbursed. Processing and executing these agreements typically takes several months. In order 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,

1) all costs must be approved for funding;

2) authorization must be received from the Federal Highway Administration (FHWA); and

3) agreements must be in place.

Note: The Federal Highway Administration (FHWA) has the authority to pull funds from projects that have not met their limitations for project implementation, which could also lead to them 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 pull the remaining funds slated for construction and also require the local community to pay back the federal funds used to complete the engineering. Federal regulations require 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 J

COST ESTIMATES

Accuracy in developing project cost estimates is vital. IDOT encourages project sponsors to enlist someone familiar with the type of project proposed to develop the detailed cost estimate (i.e. an engineering or architectural firm). 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; they do 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.

SECTION K

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 L

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 M

ITEP CHANGE REQUESTS (OPP 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 OPP 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 (OPP 2255), please contact your IDOT District Enhancement Coordinator (Appendix 2).

SECTION N

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 appropriate MPOs annual 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.

No Federal Reimbursement Will Be Allowed For Work Started Prior to Federal Authorization And Notification To Proceed With A Contract.

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).
- ✓ 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

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)

As the project proceeds through the PE I phase, the following areas must be evaluated. Six to eighteen months are typical time periods required to accomplish PE I.

- ✓ Environmental surveys determine involvement and mitigation for such issues as endangered species, wetlands and historic resources and provide a basis for coordination with regulatory agencies. The sponsor should conduct preliminary site assessments to identify any hazardous material concerns to ascertain any liability and determine the appropriate management for any involvement. These surveys and assessments are the responsibility of the sponsoring agency.
- ✓ Project design procedures must meet the design guidelines contained in the Bureau of Local Roads and Streets Manual, Chapters 41-42. Facilities for pedestrians and bicyclists must meet policies and procedures for local pedestrian and bicycle facilities. Building projects must meet applicable building codes and historic buildings must be in conformance with the Secretary of Interior's Standards for Historic Preservation. For more information on building and historic projects, please contact the IHPA Division of Preservation Services (Appendix 3). The requirements of the current Americans with Disabilities Act (ADA) must be met where applicable. For more information on design policies and procedures, please contact the District Local Roads and Streets Enhancement Coordinator (Appendix 2).
- ✓ New or modified bridges, with a clear span greater than 10 feet or with an opening greater than 100 square feet will require a preliminary design report and a hydraulic report if necessary. When a preliminary design report must be submitted for a project that modifies an existing bridge as part of an enhancement project, a bridge condition report (BCR) will be required including a hydraulic report if required. All new and modified bridges will be designed to the applicable sections of the AASHTO Standards Specification for highway bridges or appropriate AASHTO Guide Specification. These reports must be approved by the Bureau of Bridges and Structures before proceeding with PE II.
- ✓ Public involvement requirements will be determined based on the nature of the project.
- ✓ District coordination meetings with the sponsor will be held as necessary.
- ✓ A project report must be prepared for each project. This report will be used to obtain environmental approval from FHWA. It will also be used for IDOT approval of the design concepts for the project. The department must approve the project report.
- ✓ Section 4(f) evaluations may be required for projects using lands from public parks, recreational and wildlife areas and from historic properties. Section 106-4f documentation will be required for projects affecting historic properties. These policies are in the IDOT Bureau of Local Roads and Streets Manual, Chapters 18 and 19.

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 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 Planning 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 follow the Standard Provisions for Enhancement Projects on the State Highway System or follow the Standard Provisions for Enhancement Projects off the State Highway System Utilizing Federal Aid. 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 Bureau of Local Roads and Streets in the Central Office will then obtain federal authorization and execute the joint funding agreement. 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 in the Central Office 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 six to eighteen 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
- ✓ 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.

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 is different construction billing procedures for state-let and local-let construction contracts.

State-let Procedures

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 (CE).
- ✓ 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 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).

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 (construction engineering).
- ✓ 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 O

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.

No Federal Reimbursement Will Be Allowed For Work Started Prior to Federal Authorization And Notification To Proceed With A Contract.

- ✓ 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.

No Federal Reimbursement Will Be Allowed For Construction Contract Or Change Order Work Completed Without Prior Federal Authorization.

- ✓ 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 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 for the Federal share.
- ✓ The Bureau of Land Acquisition will establish a COD for right-of-way or easement acquisition to facilitate IDOT payment for the Federal share.
- ✓ The Bureau of Construction will establish a COD for the construction to facilitate IDOT payment for the federal share.

Capital Development Board (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 of the federal share.
- ✓ 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.
- ✓ The Bureau of Land Acquisition will pay the warrants for right-of-way or easements to facilitate IDOT payment for the federal share.
- ✓ The Bureau of Construction will process the bills for construction contracts to facilitate IDOT payment for the federal share.

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

The first phase of project development is the preliminary engineering. If the PE is completed on the project, the right-of-way and/or construction phase may begin after federal authorization. The PE includes the environmental assessment, permits and project reports (PE I) and the project plans and contracts (PE II). PE and CE may be performed by qualified state agency staff or by outside engineering/architectural consulting services.

Engineering (PE I)

As the project proceeds through the PE I phase, the following areas must be evaluated. Six to eighteen months are typical time periods required to accomplish PE I.

- ✓ Environmental surveys determine involvement and mitigation for such issues as endangered species, wetlands and historic resources and provide a basis for coordination with regulatory agencies. The sponsor should conduct preliminary site assessments to identify any hazardous material concerns to ascertain any liability and determine the appropriate management for any involvement. These surveys and assessments are the responsibility of the sponsoring agency.
- ✓ Project design must meet the design policies contained in the Bureau of Design and Environment Manual. IDOT Manuals are available on the IDOT website. Building projects must meet applicable building codes and historic buildings must be in conformance with the Secretary of Interior's Standards for Historic Preservation. For more information, please contact the IHPA Division of Preservation Services (Appendix 3). The Americans with Disabilities Act of 1990 (ADA) must be met where applicable. For more information, please contact the appropriate State Enhancement Coordinator (Appendix 2).

- ✓ New or modified bridges greater than 10 feet or with an opening greater than 100 square feet, will require type, size and location (TS&L) and a hydraulic report if needed. Projects that modify an existing bridge as part of an enhancement project will require a bridge condition report (BCR) when TS&L information must be submitted for the project. All new and modified bridges will be designed to the applicable sections of the AASHTO Standards Specification for Highway Bridges or the appropriate AASHTO Guide Specification. These reports must be approved by the Bureau of Bridges and Structures before proceeding with PE II.
- ✓ Public involvement requirements will be determined based on the nature of the project.
- ✓ As necessary, coordination meetings should be held between the project sponsor, IDOT, CDB and FHWA.
- ✓ A project report must be prepared for each project. This report will be used to obtain environmental approval from FHWA. It will also be used for IDOT approval of the design concepts for the project. The department must approve the project report.
- ✓ Section 4(f) evaluations may be required for projects using lands from public parks, recreational and wildlife areas and from historic properties. Section 106-4f documentation will be required for projects affecting historic properties. These policies are in the Bureau of Design and Environment Manual (Appendix 3).

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, Program 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 follow the Standard Provisions for Enhancement Projects on the State Highway System or follow the Standard Provision for Enhancement Projects off the State Highway System Utilizing Federal Aid. 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 Design and Environment, Program Support Unit, will obtain Federal authorization. The Bureau of Design and Environment, Preliminary Engineering Section will approve and execute the interagency agreement. 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 six to eighteen 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 Project Development and Implementation Section in the Bureau of Design and Environment 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 Project Development and Implementation Section in the Bureau of Design and Environment 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

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

APPENDIX 2

IDOT District Enhancement Program Coordinators

District	Program Development (state-sponsored projects)	Local Roads and Streets (local-sponsored projects)
1	Brian Carlson (847) 705-4080	Christopher Holt (847) 705-4201
2	Kristine Tobin (815) 284-5444	Tony Baratta (815) 284-5380
3	Tom Magolan (815) 434-8472	Don Ernat (815) 434-8426
4	Terrisa Worsfold (309) 671-3495	Tony Sassine (309) 671-3690
5	Jeannie Bland (217) 466-7312	Brian Trygg (217) 466-7252
6	Wes Clark (217) 782-4762	Sue Graham (217) 782-4690
7	Kristi Sandschafer (217) 342-8242	Sherry Phillips (217) 342-8321
8	Gwen Lagemann (618) 346-3150	Jim Mollet (618) 346-3330
9	Doug Keirn (618) 351-5285	Dennis Hillebrenner (618) 351-5260

IDOT Central Office Program Coordinators

Project Category	Coordinator
ITEP Projects	217-785-8492
Pedestrian/Bicycle Projects	(217) 785-7390
Historic Projects	(217) 785-7833
Environmental Projects	(217) 782-7526
Scenic/Historic Highway Projects	(217) 785-8643

IDOT Central Office Bureau Contacts

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Maureen Kastl
Local-Sponsored ITEP Projects
Bureau of Local Roads and Streets
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217-782-3805
Maureen.Kastl@illinois.gov

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	Nora Fesco, Executive Director North Central Illinois Council of Governments 613 West Marquette Street Ottawa, Illinois 61350 (309) 495-5909
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

State Agency Contacts

IHPA Division of Preservation Services National Register of Historic Places	Andrew Heckenkamp National Register Coordinator IHPA 1 Old State Capitol Plaza Springfield, IL 62701-1507 (217) 785-4324
IHPA Certified Local Government	Rachel Leibowitz Local Government Services Coordinator IHPA 1 Old State Capitol Plaza Springfield, Illinois 62701-1507 (217) 785-5730
IDNR Division of Realty & Planning	Michael Rhodes Landscape Architect Illinois Department of Natural Resources 1 Natural Resources Way Springfield, Illinois 62702-1271 (217) 782-3715
DCEO Illinois Office of Tourism	Jan Kemmerling Tourism Development Programs Section Manager 500 East Monroe St. Springfield, IL 62701 217/785-6351

APPENDIX 4

ILLINOIS DEPARTMENT OF TRANSPORTATION
REGION and DISTRICT BOUNDARIES

Region 1

John Fortmann (Acting)

DISTRICT 1
201 WEST CENTER COURT
SCHAUMBURG, ILLINOIS 60196-1096
PHONE: 847/705-4000

Region 2

Paul Loete

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

Joseph E. Crowe

DISTRICT 4
401 MAIN STREET
PEORIA, ILLINOIS 61602-1111
PHONE: 309/671-3333

DISTRICT 5
13473 IL Hwy. 133
P. O. BOX 610
PARIS, ILLINOIS 61944-0610
PHONE: 217/465-4181

Region 4

Roger L. Driskell

DISTRICT 6
126 EAST ASH STREET
SPRINGFIELD, ILLINOIS 62704-4792
PHONE: 217/782-7301

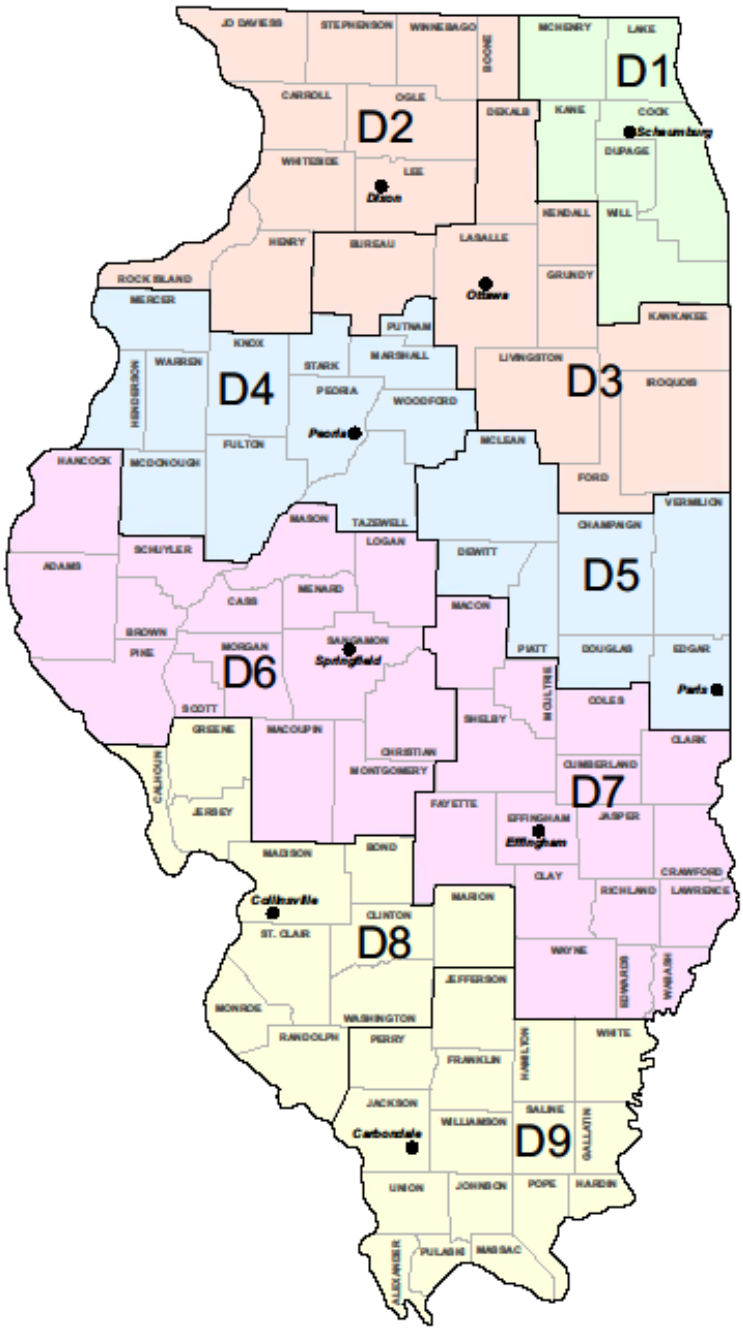
DISTRICT 7
400 WEST WABASH
EFFINGHAM, ILLINOIS 62401-2699
PHONE: 217/342-3951

Region 5

Jeffrey Keirn (Acting)

DISTRICT 8
1102 EASTPORT PLAZA DRIVE
COLLINSVILLE, ILLINOIS 62234-6198
PHONE: 618/346-3100

DISTRICT 9
STATE TRANSPORTATION BUILDING
P. O. BOX 100
CARBONDALE, ILLINOIS 62903-0100
PHONE: 618/549-2171



Mapping & Information Systems
Office of Planning & Programming

January 2013

APPENDIX 5

ILLINOIS METROPOLITAN PLANNING ORGANIZATIONS

Alton-St. Louis Urbanized Area (Illinois side)
East-West Gateway Council of Governments
One S. Memorial Drive
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
City of Danville
17 West Main St.
Danville, Illinois 61832
(217) 431-2325

Decatur Urbanized Area
Decatur Urbanized Area Transportation Study
Economic & Urban Development
#1 Gary K. Anderson Plaza
Decatur, Illinois 62523
(217) 424-2790

Dubuque, Iowa Urbanized Area (Illinois side)
Dubuque Metropolitan Area Transportation Study
East Central Intergovernmental Association
3999 Pennsylvania Ave, Suite 200
Dubuque, Iowa 52002
(563) 556-4166

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

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

Carbondale Urbanized Area
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
City of Rockford Community Development Department
Public Works
425 East State Street
Rockford, Illinois 61104
(815) 987-5638

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
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

April 29, 2015

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:

	Source of Donation/Credit	
Type of Donation/Credit	*Private*	*Local Government*
Funds (see note 1)	Yes	Yes
Land or ROW (see note 2)	Yes	Yes
Materials (see note 3)	Yes	Yes
Services (see note 4)	Yes	Yes (Limited)

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)

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

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. <u>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.</u>

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

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

Date

Subject: Federal Flexible Match Eligible Cost

_____ 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,

_____, Local Agency Highway Official

APPENDIX 7

Sample Cost Estimates

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 this 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.

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 good 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.

ITEM	DESCRIPTION	UNITS	TOTAL QUANTITY	UNIT COST	LOCAL MATCH	FEDERAL SHARE	TOTAL COST
1	EROSION CONTROL	FOOT	2750	8.40	$ 4,620.00	$ 18,480.00	$ 23,100.00
2	PORTLAND CEMENT CONCRETE DRIVEWAY PAVEMENT, 6 INCH	SQ YD	674	60.30	$ 8,127.48	$ 32,509.90	$ 40,637.38
3	PORTLAND CEMENT CONCRETE SIDEWALK 5 INCH	SQ FT	54450	5.36	$ 58,370.40	$233,481.60	$ 291,852.00
4	PAVEMENT AND DRIVEWAY REMOVAL	SQ YD	1530	12.06	$ 3,690.84	$ 14,763.37	$ 18,454.21
5	COMBINATION CURB AND GUTTER REMOVAL	FOOT	1848	6.70	$ 2,476.32	$ 9,905.28	$ 12,381.60
6	SIDEWALK REMOVAL	SQ FT	25988	1.68	$ 8,705.81	$ 34,823.25	$ 43,529.06
7	COMBINATION CONCRETE CURB AND GUTTER	FOOT	1848	33.50	$ 12,381.60	$ 49,526.40	$ 61,908.00
8	INLET REPLACEMENT / RELOCATE / LEVEL	EACH	11	1,700.00	$ 3,740.00	$ 14,960.00	$ 18,700.00
9	TRAFFIC CONTROL AND PROTECTION	EACH	2	26,800.00	$ 10,720.00	$ 42,880.00	$ 53,600.00
10	SIGNING	EACH	1	26,800.00	$ 5,360.00	$ 21,440.00	$ 26,800.00
11	LIGHTING	EACH	79	2,010.00	$ 31,838.40	$127,353.60	$ 159,192.00
12	GRADING AND SHAPING	STA	55	469.00	$ 5,159.00	$ 20,636.00	$ 25,795.00
13	CONSTRUCTION LAYOUT	EACH	1	40,200.00	$ 8,040.00	$ 32,160.00	$ 40,200.00
	ESTIMATED CONSTRUCTION COST			Sum :	$163,229.85	$652,919.40	$ 816,149.25
	CONTINGENCY 25%				$ 40,807.46	$163,229.85	$ 204,037.31
	TOTAL CONSTRUCTION COST				$204,037.31	$816,149.25	$ 1,020,186.56
	COMMERCIAL ROW	SQ FT	1750	5.00	$ 4,375.00	$ 4,375.00	$ 8,750.00
	RESIDENTIAL ROW	SQ FT	14737.5	1.00	$ 7,368.75	$ 7,368.75	$ 14,737.50
	TEMPORARY EASEMENTS	SQ FT	22000	0.50	$ 5,500.00	$ 5,500.00	$ 11,000.00
	TOTAL ROW COST				$ 17,243.75	$ 17,243.75	$ 34,487.50

Bicycle and Pedestrian Facility Project Cost Estimate
(Rural Area)

This is a good 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.

Item No.	Description	Unit	Quantity	Unit Price	Total Price
1	Tree Removal	Acre	6	$ 3,000.00	$ 18,000.00
2	Earth Excavation	Cu. Yd.	22,500	$ 8.00	$ 180,000.00
3	Aggregate Base Course	Ton	5,300	$ 30.00	$ 159,000.00
4	Hot Mix Asphalt Surface Course	Ton	2,200	$ 75.00	$ 165,000.00
5	HDPE Culvert Pipe, 12" Diameter	Foot	500	$ 25.00	$ 12,500.00
6	HDPE Culvert Pipe, 24" Diameter	Foot	250	$ 40.00	$ 10,000.00
7	24" RCCP Storm Sewer Pipe	Foot	300	$ 65.00	$ 19,500.00
8	Inlets for Storm Sewer Pipe	Each	2	$ 1,000.00	$ 2,000.00
9	24" Flared End Sections	Each	2	$ 500.00	$ 1,000.00
10	PCC Sidewalk, 6"	Sq. Ft.	1,920	$ 12.00	$ 23,000.00
11	Detectable Warnings	Sq. Ft.	768	$ 65.00	$ 49,900.00
12	Segmental Concrete Block Retaining Wall	Sq. Ft.	900	$ 50.00	$ 45,000.00
13	Pavement Striping	Lump Sum	1	$ 8,000.00	$ 8,000.00
14	Seed, Fertilize and Mulch	Acre	10	$ 2,000.00	$ 20,000.00
15	Temporary Erosion Control Seeding	Acre	10	$ 300.00	$ 3,000.00
16	Install, Maintain and Remove Silt Fence	Foot	10,000	$ 4.00	$ 40,000.00
				Estimated Construction:	$ 755,900.00
				20% Construction Contingency:	$ 151,000.00
				Total Construction:	$ 906,900.00

Phase I Design Engineering:	$ 73,000.00
Phase II Design Engineering:	$ 63,000.00
Construction Engineering & Staking:	$ 91,000.00
Total Engineering:	$ 227,000.00

*** Total Estimated Engineering & Construction Costs:**	**$ 1,133,900.00**

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.

Landscape and Scenic Beautification Project Cost Estimate
(Streetscape Project)

The following sample cost estimate is a good example of a summary cost sheet since it provides separate columns for Federal Share, Local Share and Ineligible items. What it doesn't provide are the calculations used to determine these costs. A more detailed estimate should be provided that shows 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 and Trash Receptacles. Also Contingencies are not an allowable line item and cannot be included as such. In this example the amount for Benches, 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.

Item	Federal Share	Local Share	ITEP Ineligible	Total Cost	Eligibility
Streetscape PCC Sidewalk	$152,616.00	$38,154.00	$0.00	$190,770.00	80/20
Type A Sidewalk Border Pavers	$74,100.00	$18,525.00	$0.00	$92,625.00	80/20
Type B Island Pavement Pavers	$59,760.00	$14,940.00	$0.00	$74,700.00	80/20
Tactile Brick Warning Border for Cross Walks	$12,096.00	$3,024.00	$0.00	$15,120.00	80/20
Ornamental Trees	$43,600.00	$10,900.00	$0.00	$54,500.00	80/20
Perennials, Shrubs, Groundcover	$60,240.00	$15,060.00	$0.00	$75,300.00	80/20
Pedestrian Light Fixtures	$499,200.00	$124,800.00	$0.00	$624,000.00	80/20
Street Light Fixtures	$112,000.00	$112,000.00	$0.00	$224,000.00	50/50
Pedestrian Bollards for Decorative Fence	$44,400.00	$11,100.00	$0.00	$55,500.00	80/20
Decorative Fencing	$32,400.00	$8,100.00	$0.00	$40,500.00	80/20
Benches	$22,400.00	$5,600.00	$0.00	$28,000.00	80/20
Trash Receptacles	$13,600.00	$3,400.00	$0.00	$17,000.00	80/20
Downtown Streetscape Gateway/Arch Feature	$20,000.00	$5,000.00	$0.00	$25,000.00	80/20
Construction Sub-Total	**$1,146,412.00**	**$370,603.00**	**$0.00**	**$1,517,015.00**	
Consruction Contingency	**$138,282.00**	**$44,703.00**	**$0.00**	**$182,985.00**	
Construction Total	***$1,284,694.00***	***$415,306.00***	***$0.00***	***$1,700,000.00***	

Streetscape Project Cost Estimate

The following sample cost estimate is a good 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. 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.

					Cost Breakdown by Funding Source			
Items	Unit	Quantity	Unit Price	Total Cost	Federal Share	Sponsor Share (Local Match)	Ineligible Items	Total Cost
STREET LIGHTING AND TRAFFIC SIGNALS								
Traffic Signal Modernization (Batavia Road)	L SUM	1	$35,000	$35,000	$0	$0	$35,000	$35,000
Emergency Vehicle Pre-emption	L SUM	1	$16,000	$16,000	$0	$0	$16,000	$16,000
Aesthetic Upgrades to Traffic Signals (Route 59, Batavia Road, Winfield Ro	EACH	3	$20,000	$60,000	$0	$0	$60,000	$60,000
Electrical Conduit and Handholes (for Batavia Road Street Lights)	L SUM	1	$50,000	$50,000	$25,000	$25,000	$0	$50,000
Street Lighting at Batavia Road	EACH	20	$10,000	$200,000	$100,000	$100,000	$0	$200,000
Street Lighting Aesthetic Upgrade at Route 59	EACH	20	$5,000	$100,000	$50,000	$50,000	$0	$100,000
			Subtotal:	$461,000	$175,000	$175,000	$111,000	$461,000
BRIDGE ENHANCEMENTS								
Guardrail Upgrade at West Branch DuPage River Bridge	FOOT	800	$25	$20,000	$16,000	$4,000	$0	$20,000
West Branch DuPage River Bridge Enhancements (decorative railings, architectual elements, accent lighting)	L SUM	1	$150,000	$150,000	$120,000	$30,000	$0	$150,000
Guardrail Upgrade at Ferry Creek Bridge	FOOT	600	$25	$15,000	$12,000	$3,000	$0	$15,000
Ferry Creek Bridge Enhancements (decorative railings, architectual elements, accent lighting)	L SUM	1	$100,000	$100,000	$80,000	$20,000	$0	$100,000
			Subtotal:	$285,000	$228,000	$57,000	$0	$285,000
LANDSCAPE AND SIGNAGE								
Prairie Path Landscape Improvements (clear invasives, trees, shrubs, seeding, wildflowers)	L SUM	1	$150,000	$150,000	$120,000	$30,000	$0	$150,000
Irrigation in Civic Center Area	L SUM	1	$50,000	$50,000	$40,000	$10,000	$0	$50,000
City Entry Signs	EACH	3	$15,000	$45,000	$36,000	$9,000	$0	$45,000
Central Community Events Sign	EACH	1	$75,000	$75,000	$60,000	$15,000	$0	$75,000
Wayfinding Signs	EACH	10	$5,000	$50,000	$40,000	$10,000	$0	$50,000
			Subtotal:	$370,000	$296,000	$74,000	$0	$370,000
HARD SURFACE IMPROVEMENTS								
Sidewalk	SQ FT	7671	$5	$38,355	$30,684	$7,671	$0	$38,355
Bike Path	SQ YD	3791	$25	$94,775	$75,820	$18,955	$0	$94,775
Colored, Patterned Concrete Crosswalks	SQ FT	9000	$10	$90,000	$72,000	$18,000	$0	$90,000
Colored, Patterned Concrete Corner Islands	SQ FT	2500	$10	$25,000	$20,000	$5,000	$0	$25,000
Colored, Patterned Concrete Sidewalk Corners	SQ FT	2500	$15	$37,500	$30,000	$7,500	$0	$37,500
Colored, Patterned Concrete Median Nosings	SQ FT	7500	$10	$75,000	$60,000	$15,000	$0	$75,000
			Subtotal:	$360,630	$288,504	$72,126	$0	$360,630
ROCKWELL STREET/ ROUTE 56/ PRAIRIE PATH INTERSECTION IMPROVEMENTS								
Clearing and Grubbing	L SUM	1	$1,875	$1,875	$0	$0	$1,875	$1,875
Mobilization	L SUM	1	$22,500	$22,500	$0	$0	$22,500	$22,500
Traffic Control and Protection	L SUM	1	$3,750	$3,750	$0	$0	$3,750	$3,750
Earth Excavation, Special	CU YD	400	$30	$12,000	$0	$0	$12,000	$12,000
Borrow Excavation	CU YD	750	$30	$22,500	$0	$0	$22,500	$22,500
Aggregate Base Course, 12"	SQ YD	1420	$15	$21,300	$0	$0	$21,300	$21,300
HMA Surface Course, 2"	SQ YD	1420	$12	$17,040	$0	$0	$17,040	$17,040
HMA Binder Course, 11"	SQ YD	0	$60	$0	$0	$0	$0	$0
HMA Binder Course, 4"	SQ YD	1420	$22	$31,240	$0	$0	$31,240	$31,240
Concrete Curb and Gutter	FOOT	1150	$25	$28,750	$0	$0	$28,750	$28,750
Concrete Sidewalk	SQ FT	2100	$8	$15,750	$12,600	$3,150	$0	$15,750
Aggregate Bike Trail	SQ YD	260	$25	$6,500	$5,200	$1,300	$0	$6,500
Storm Manhole	EACH	2	$2,000	$4,000	$0	$0	$4,000	$4,000
Catch Basin	EACH	4	$1,500	$6,000	$0	$0	$6,000	$6,000
Storm sewer pipe, 15"	FOOT	250	$50	$12,500	$0	$0	$12,500	$12,500
Storm sewer pipe, 24"	FOOT	0	$75	$0	$0	$0	$0	$0
Retaining Wall	SQ FT	750	$50	$37,500	$0	$0	$37,500	$37,500
Landscaping elements	L SUM	1	$25,000	$25,000	$20,000	$5,000	$0	$25,000
Pavement Marking and Signage	L SUM	1	$2,250	$2,250	$0	$0	$2,250	$2,250
Colored, Patterned Concrete Crosswalks	SQ FT	1000	$10	$10,000	$8,000	$2,000	$0	$10,000
			Subtotal:	$280,455	$45,800	$11,450	$223,205	$280,455
			Construction Total:	**$1,757,085**	**$1,033,304**	**$389,576**	**$334,205**	**$1,757,085**
Preliminary Engineering I (10%)	L SUM	1	$175,709	$175,709	$103,330	$38,958	$33,421	$175,709
Preliminary Engineering II (10%)	L SUM	1	$175,709	$175,709	$103,330	$38,958	$33,421	$175,709
Right-of-Way Acquisition (50/50)	L SUM	1	$0	$0	$0	$0	$0	$0
Utility Relocations	L SUM	1	$200,000	$200,000	$0	$0	$200,000	$200,000
Construction Engineering (10%)	L SUM	1	$175,709	$175,709	$103,330	$38,958	$33,421	$175,709
			Project Total:	**$2,484,211**	**$1,343,295**	**$506,449**	**$634,467**	**$2,484,211**

Historic Preservation Project Cost Estimate

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.

Train Station Phased Renovation

Phased Budget Estimates: Level 3		Level 1 Emergency Stablization	Level 2 Enhanced Stabilization	Level 3 Full Renovation
Item	**Description**			
A.	Slate Roof (*Level 1= Asphalt Shingle)	$ 150,592	$ 473,200	$ 473,200
B.	Roof Dormers		$ 36,837	$ 36,837
C.	Remove Warming House Gables		$ 14,830	$ 14,830
D.	Stucco	$ 5,200	$ 15,101	$ 15,101
E.	Masonry Knee Wall/ Ticket Bay Window			$ 74,152
F.	Exterior Woodwork	$ 41,600	$ 145,600	$ 444,912
G.	Masonry	$ 5,200	$ 36,816	$ 184,080
H.	Windows		$ 20,800	$ 93,288
I.	Doors		$ 14,560	$ 61,568
J.	Toilet Room - Option 1			$ 61,707
K.	Reopen Tunnel Stairs			$ 50,253
L.	Interior Flooring			$ 51,755
M.	Plaster Walls			$ 116,542
N.	Exit Signs/EM Lighting			$ 97,344
O.	Fire Protection			$ 64,478
P.	Mechanical			$ 223,704
Q.	Other			$ 20,904
	Subtotal	**$ 202,592**	**$ 757,744**	**$2,084,655**
	General Conditions (6 months)		$ 72,800	$ 218,400
	Bid Documents		$ 2,080	$ 5,200
	Subtotal	**$ 202,592**	**$ 832,624**	**$2,308,255**
	Fee (4%)	$ -	$ 33,305	$ 92,330
	Insurance (1%)	$ -	$ 8,326	$ 23,083
	Contigency (15%)	$ 10,130	$ 124,894	$ 346,238
	Subtotal Construction Services	**$ 212,722**	**$ 999,149**	**$2,769,906**
	Design / Engineering Fees (15%)	**$ -**	**$ 113,662**	**$ 312,698**
	Total Estimated Restoration Cost	**$ 212,722**	**$ 1,112,810**	**$3,082,604**

*Estimate for a cedar shake roof is $248,560.

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 the project will include and eligible and ineligible items cannot be determined. 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 are not acceptable. Your project application will be marked as INELIGIBLE and will not be considered for funding.

DETAILED ESTIMATE OF CONSTRUCTION COSTS

Item	Description	Unit	Quantity	Unit Price	Total
1	**Streetscape Elements** **(estimate from past projects, more detailed costs to be determined during engineering)**	330’ Block Equivalent	10.5	$715,000	**$7,507,500**
					Rounds to
TOTAL COST OF CONSTRUCTION ITEMS					**$7,500,000**