

# **ILLINOIS TRANSPORTATION ENHANCEMENT PROGRAM**

## **ITEP PROGRAM GUIDELINES**

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**PREPARED BY**



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# 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 program policies and regulations, the application process, and how projects are reviewed, approved, and implemented. A list of abbreviations and acronyms appears in Appendix 1.

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### NEW for 2020 ITEP Cycle 14

- ✓ **20 ILCS 2705-615 establishes supplemental state funding, set aside from the Road Fund, for projects in the categories of: pedestrian and bicycle facilities, and the conversion of abandoned railroad corridors to trails. Twenty-five percent of the funding will be directed towards projects in high-need communities based on community median income, and total property tax base. Local matching funds shall be required according to a sliding scale based on community size, median income, and total property tax base. Phase I Studies and Phase I Engineering Reports are not required to be completed before application is made.**
- ✓ **A minimum application score, of 52, based on the merits of the project will be required.**
- ✓ **Any local agency policy that intends on limiting the accessibility (such as time-of-day restrictions) without adequate safety justification or prohibits transportation to any of its intended users will be ineligible.**
- ✓ **New guidance for street lighting and pedestrian lighting. Eligible lighting must be co-located with an alternate transportation facility or be in a designated historical district. See Streetscape Lighting in Section C for further guidance.**
- ✓ **In order to apply for ITEP funds, every applicant must be registered through the Grant Accountability and Transparency Act (GATA) grantee portal, and all pre-award requirements must be fulfilled. All GATA pre-award documents must be submitted before receiving a grant award. All grant recipients are required to submit financial reports according to award letter, and the Notice of State Award (NOSA).**

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### 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.
- ✓ Road work (i.e. resurfacing) and parking lot improvements that support cars, trucks, and buses are ineligible for ITEP funds.
- ✓ Projects must have an eligible project sponsor which are local entities with taxing authority that can guarantee matching funds (if applicable) to carry out the proposed project.

- ✓ 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 project sponsor must pay preliminary 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 Section O)
- ✓ Local project sponsors may have to seek alternative funding sources or be able to provide additional local funds to complete a project. Sponsors may request additional funds, but they are not guaranteed.
- ✓ Project sponsors must provide the matching funds (if applicable), 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. This may cause additional time and should be considered in the project timeline
- ✓ Projects must be implemented in a timely manner in accordance with the Sunset Clause (Section J).
- ✓ Projects involving Railroad coordination will require additional time and should consider that this may cause delays to the project timeline.
- ✓ 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.

## **About the Program**

The goal of the Illinois Transportation Enhancement Program (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.

## **Federal Funding**

On December 4, 2015, the federal transportation bill, Fixing America's Surface Transportation Act, or "FAST Act" was signed into law. The FAST Act replaced the MAP-21 Transportation Alternatives Program (TAP) 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)).

## **State Funding**

On June 28, 2019 the Department of Transportation Law of the Civil Administrative Code of Illinois (20 ILCS 2705) was amended by adding Sec. 2705-615. Supplemental funding; Illinois Transportation Enhancement Program.

Sec. 2705-615 requires that the Department of Transportation shall set aside \$50 million received by the Department of Transportation from the Road Fund for the projects in the following categories:

- ✓ Pedestrian and bicycle facilities and the conversion of abandoned railroad corridors to trails.
- ✓ Phase I Preliminary Engineering will be eligible to receive funds.
- ✓ 25% of the funding will be directed towards projects in high-need communities, based on community median income and total property tax base.
- ✓ Local matching funds shall be required according to a sliding scale based on community size, total property tax base, and median income.

## **Project Funding**

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

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

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. The required match is the responsibility of the project sponsor unless they qualify for state matching funds based on high-need criteria. There are a variety of other funding sources available to communities (see Matching Funds under Section D). Other federal transportation funds cannot be used as local match. Sponsors should seek alternative funding sources or be able to make up funding shortfalls with local funds.

The additional state funding provided through the set-aside of the Road Fund will be used to provide matching funds to the federal funds on a sliding scale for those communities determined to be high need, as well as allow IDOT to award funds to additional ITEP projects. Further details will be provided in Section D.

**Long-term facility access and maintenance:**

Local agency policy that intends on limiting the access (such as time-of-day restrictions) without adequate safety justification or prohibits transportation to any of its intended users will be ineligible. Future use of the facility must not violate the intended use throughout the designed life of the facility. Facilities must be maintained with full ADA accessibility and must continue to function as designed throughout the facility life.

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

## Section B - Metropolitan Planning Organizations with Transportation Management Areas

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

In addition to the ITEP program offered through IDOT, the MPOs that include a TMA may also be accepting applications for 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 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 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 STBG funds from two different sources for the same project.

TMAs will report projects selected to IDOT no later than one month following project selection. Annually TMAs reconcile with IDOT all active TMA selected projects. Updated information will include scope changes, funding categories, and project status.

**TMAs - Illinois has five MPOs with urbanized areas having a population greater than 200,000.** Contact information can be found in Appendix 5.

- 1) Bi-State Regional Commission: *IL - Rock Island & Moline –*
- 2) Chicago Metropolitan Agency for Planning (CMAP): *IL - Chicago, Round Lake Beach, McHenry, Grayslake*
- 3) East-West Gateway Council of Governments (EWGCOG): *IL - Metro East St. Louis -*
- 4) Region 1 Planning Council (R1PC): *Rockford*
- 5) Peoria/Pekin Urban Area Transportation Study (P/PUATS): *IL - Tri-County Regional Planning Commission -*

## Section C - Program Categories

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

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

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

### **Funding Categories:**

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

### **The following activities are ineligible for ITEP funds:**

- ✓ Scenic or historic highway programs (including the provision of tourist and welcome center facilities)
- ✓ Provision of safety and educational activities for pedestrians and bicyclists
- ✓ Acquisition of scenic easements and scenic or historic sites
- ✓ Establishment of transportation museums
- ✓ State or MPO administrative purposes
- ✓ Promotional activities
- ✓ Routine maintenance and operation
- ✓ General recreation and park facilities, playground equipment, sports fields, campgrounds, picnic areas and pavilions

- ✓ Road work (i.e. resurfacing)
- ✓ Bike sharing programs – capital and operational costs
- ✓ Bike/bus/picnic shelters
- ✓ Equestrian and snowmobile trails
- ✓ Landscape work (as a stand-alone project)
- ✓ Parking lots/parking spaces/stripping (that support traditional modes of transportation such as cars, trucks, and buses)
- ✓ Storm sewers (see storm sewers in streetscape category)
- ✓ Trash receptacles
- ✓ Courthouses
- ✓ Building purchase
- ✓ Alleyway improvements
- ✓ Trail resurfacing (maintenance)
- ✓ Bicycle lockers/racks (as a stand-alone project)
- ✓ Pedestrian crossings (as a stand-alone project)
- ✓ Street lighting (with no co-located alternate transportation facility or as a stand-alone project; unless in a designated historic district)
- ✓ Pedestrian lighting (as a stand-alone project)
- ✓ Fences (unless addressing a significant safety issue)
- ✓ Recreational trails
- ✓ Benches (unless permanent in nature, limited use)

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

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

#### **1. Pedestrian / Bicycle Facilities**

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

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

**Projects under this category must:**

- ✓ provide a mode of transportation from one destination to another or make a transportation facility more accessible or accommodating for pedestrians or bicyclists (projects cannot be solely for recreational uses)
- ✓ be included in a local, regional or statewide plan (bikeway, trail or greenways) and must be consistent with the Metropolitan Planning Organization (MPO) plan
- ✓ be constructed in reasonable, useable segments and provide logical termini
- ✓ include signing in bikeway projects for directions, permitted users and rules of the bikeways

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

- ✓ bikeways (lane, path, route and trail)
- ✓ installing new sidewalks or replacing existing sidewalks (Note: projects that are solely routine maintenance or sidewalk repairs are ineligible)
- ✓ pedestrian/bicycle structures crossing rivers, railroads and roadways
- ✓ pedestrian crossings (not eligible as a stand-alone project)
- ✓ bikeway connections through local communities
- ✓ bicycle lockers/racks
- ✓ crossing warning lights (per MUTCD)
- ✓ pedestrian modifications to existing signals (ped heads, push buttons, etc.)
- ✓ utility relocation (see Section D)
- ✓ pedestrian lighting\*
- ✓ directional and regulatory signs
- ✓ Planting trees and shrubs as a part of a larger project
- ✓ benches\*\* (must be permanent in nature [built-in] or bolted/anchored down)
- ✓ fencing (must be addressing a significant safety issue)
- ✓ parking lots\*\*\*
- ✓ restrooms\*\*\*
- ✓ water fountains\*\*\*

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

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

\*\* Benches that meet the criteria of “permanent in nature” (being built-in or bolted down or secured in a similar fashion) are eligible but will be limited. On the average, benches will be limited to a maximum of

two benches per mile of bike trail or two benches per block per side on a streetscape project. The project sponsor may elect to provide additional benches but ITEP will only pay for a limited amount.

\*\*\*Parking lots, restrooms and water fountains are eligible as part of a bicycle/pedestrian trail head project. These amenities will only be eligible if they are to be constructed with your bicycle/pedestrian project or if they serve as a trailhead for an existing bicycle/pedestrian facility – they are not eligible as stand-alone projects. Parking lots, lanes, and improvements are ineligible as a part of streetscape projects.

**Ineligible project elements in this category include:**

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

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

Projects must follow all federal and state requirements in the environmental, design and construction process. Local roads projects must follow policies outlined in the Local Roads and Streets Manual. State right-of-way projects must follow the IDOT BDE Manual, Bicycle and Pedestrian Accommodations. For a copy of these policies, please contact the IDOT District Enhancement Coordinator (Appendix 2) for your area. These policies meet the guidelines established in the American Association of State Highway and Transportation Officials (AASHTO) Guide for the Development of Bicycle Facilities, 2012. Project sponsors

should review the policies and procedures prior to submitting project applications to ensure adequate cost estimates.

**Special Note:** A federal requirement in funding bicycle facilities is to provide viable transportation alternatives to motor vehicles and to provide upkeep and maintenance to that facility. Certain trail surfaces meet this requirement better than others. Trail surfaces are typically asphalt, crushed limestone or concrete. Limestone trails generally require significantly more maintenance than paved surfaced trails to keep them in a condition suitable for the narrow-tired bicycles commonly used by commuters. If a multi-use path is planned on a local project, 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. Landscape work as a stand-alone project is ineligible.

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

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

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

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

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

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

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

- ✓ new sidewalks or replacing existing sidewalks in a downtown area (Note: projects that are solely routine maintenance or sidewalk repairs are ineligible)
- ✓ planters/planter boxes (permanent in nature)
- ✓ perennials, wildflowers, trees, shrubs
- ✓ sidewalks, crosswalks and ADA related accessibility improvements
- ✓ bicycle racks
- ✓ benches\*
- ✓ irrigation systems germane to the project
- ✓ curb bump outs
- ✓ ADA curb cuts and crosswalks (not eligible as a stand-alone project)
- ✓ pedestrian lighting (see Streetscape Lighting funding eligibility criteria)
- ✓ utility relocation (see Section D)

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

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

- ✓ routine or maintenance activities such as cutting grass, clearing and removal of vegetation, or replanting and reseeding
- ✓ building facades and awnings
- ✓ supplemental watering beyond what is initially required when planting is considered as maintenance and is ineligible
- ✓ construction of new or reconstruction of an existing median including curb/curb and gutter or concrete median surface
- ✓ banners or hanging baskets which are sometimes included with street or pedestrian lighting fixtures
- ✓ flags and flag poles
- ✓ annual plants/flowers
- ✓ fences (unless addressing a significant safety issue)
- ✓ street lighting - purely esthetic (see Streetscape Lighting funding eligibility criteria)
- ✓ Lighting fixtures intended for aesthetic purposes only (instances where adequate lighting already exists)
- ✓ roadway work
- ✓ ADA improvements as a stand-alone project
- ✓ parking lots
- ✓ storm sewers (as a stand-alone project)
- ✓ trash receptacles

- ✓ landscape (improvements as a stand-alone project)

Curb, curb and gutter, storm sewers and other related items would typically be considered as roadway work and is therefore ineligible for ITEP funds. However, if these items are required as a provision of constructing (or reconstructing) a sidewalk for ADA compliance, then they may be eligible, but only to the extent that they are germane to the project. If a roadway is being widened, the curb and gutter work would be ineligible, as it is required for the roadway widening and not the sidewalk construction. This typically must be looked at on a project-by-project basis.

#### **Streetscape lighting funding eligibility criteria:**

- ✓ **Street lighting**, federally reimbursable at 50%, is defined as lighting for the street and must be co-located with an alternate transportation facility. Ornamental lighting would be eligible in this category.
- ✓ **Pedestrian lighting**, federally reimbursable at 80%, is defined as lighting for an alternate transportation facility and must not be co-located with a street.
- ✓ **Lighting design standards:** Projects on State right-of-way will provide street and pedestrian lighting designs in accordance with Chapter 56 of the BDE Manual. Pedestrian lighting must meet standards outlined in RP-8-18. All lighting designs must be evaluated by submitting an AGi32 lighting design for approval during PE II.

Projects on local roads and streets will follow standards outlined in the BLRS Manual.

- ✓ **Aesthetic lighting:** Street lighting purely for aesthetic purposes will be ineligible. State right-of-way projects that do not provide lighting elements meeting BDE Manual design standard for an alternate transportation facility will be ineligible.
- ✓ **Bike path lighting:** (see the section on Pedestrian Bicycle Facilities – Project elements eligible for funding as part of pedestrian/bicycle projects).
- ✓ **Historical district lighting:** Lighting within a historical designated district and germane to a historical preservation project is eligible for 80% federal funding.

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

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

### **3. Conversion of Abandoned Railroad Corridors to Trails**

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

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

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

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

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

### **Railroad Coordination**

Any projects involving railroads requires extensive work with the railroad and may need to include the Illinois Commerce Commission. It is strongly recommended that this coordination effort be completed or in progress. Please contact the IDOT District Enhancement Coordinator for assistance. The farther along a project is in this process will improve the project selection score in the project readiness category.

#### **Examples of eligible projects include:**

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

### **4. Historic Preservation and Rehabilitation of Historic Transportation Facilities**

Through historic preservation and rehabilitation activity, communities rehabilitate and restore transportation facilities significant to the history of transportation in Illinois. Historic projects should be related to active or inactive transportation systems that enhance the transportation experience. These properties must have been used or are still being used for surface transportation activities. Properties must be publicly owned and operated. The exterior and interior structural components of the building may be eligible for funding. Interior amenities are typically the sponsor's responsibility but may be eligible depending on the end use.

Historic projects must follow the Secretary of the Interior's Standards for Historic Preservation Projects. For a copy, please contact the Division of Historic Preservation within the Illinois Department of Natural Resources. (Appendix 3). Coordination for these projects should go through the IDOT Bureau of Design and Environment (Appendix 2).

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 IDNR is required as soon as you receive your award letter. Contact your respective IDOT District Enhancement Coordinator for guidance.**

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

**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.*

**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 (NRHP), please refer to the NRHP website.

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 IDNR (Appendix 3).

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

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

#### **Examples of historic rehabilitation projects include:**

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

#### **Limitations and ineligible items:**

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

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

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

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

**Examples of eligible projects in this category include:**

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

**Funding Limitations**

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

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

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

Projects in this category must focus on physical evidence of historic or prehistoric human life or activity relating to artifacts recovered from locations within or along highway corridors or along areas affected by a 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. Eligible facilities in this category may be equivalent to those provided in safety rest areas described in 23 [CFR 752.5](#) (Former 23 U.S.C. 101(a)(29)(D)).

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

### Examples of eligible projects include:

- ✓ Related lighting, interpretation and pedestrian amenities
- ✓ Observation decks/facilities
- ✓ Interpretive displays

### Examples of ineligible projects include:

- ✓ The construction of visitor centers
- ✓ Marketing or promotional material
- ✓ Staffing, operating or maintenance costs

## Section D - Funding Eligibility and Matching Funds

### Eligible Costs

The sponsor must prepare (or have prepared by an engineering or architectural firm) an accurate cost estimate for all types of work involved with the enhancement project. Any work performed to develop an application is not eligible for reimbursement regardless of selection. 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 cost estimates, 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. No State Reimbursements will be Allowed for Expenditures made Prior to Award of the Appropriate Agreement.**

### Matching Funds

**The ITEP is a grant reimbursement program.** Once an executed Local Agency Agreement is in place, the project sponsor pays 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 O & P). 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%.

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% local share (or state if applicable).

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

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.

As part of the Rebuild Illinois Capital Program, IDOT will set aside \$50,000,000 from the Road Fund for pedestrian and bicycle facilities and the conversion of abandoned railroad corridors to trails projects. At least 25% of projects funded will be directed towards projects in high-need communities. Furthermore, the local matching funds shall be determined on a sliding scale based on community size, median income and total property tax base.

A score will be derived from the below criteria to determine the local match required for a project:  
Median Household Income for intersecting census tracts with a .5 mile buffer around the project limits:

Below \$40,000	5 points
\$40,001 - \$60,000	4 points
\$60,001 - \$90,000	3 points
\$90,001 – 130,000	2 points
\$130,001 – above	1 point

Illinois Dept of Revenue Tax Per Capita for intersecting census tracts with a .5 mile buffer around the project limits :

\$0 - \$180	5 points
\$181 - \$520	4 points
\$521 – \$1500	3 points
\$1501 – \$3100	2 points
\$3101 – above	1 point

Percent Below Poverty Level for intersecting census tracts with a .5 mile buffer around the project limits:

0 – 20%	1 point
21 – 40%	2 points
41 – 60%	3 points
61 – 80%	4 points
80 – 100%	5 points

Population for intersecting census tracts with a .5 mile buffer around the project limits. The score assigned is for the total population of all identified census tracts:

0 – 10,000	1 point
10,001 – 20,000	2 points
20,001 – 30,000	3 points
30,001 – 40,000	4 points
40,001 – 50,000	5 points
50,001 – 60,000	6 points
60,001 – 70,000	7 points
70,001 – 80,000	8 points
80,001 – 90,000	9 points
90,001 – above	10 points

The interactive map within the on-line application should be used to draw the limits of the project. This will determine the corresponding score from each of the above criteria. The above scores will be weighted for an overall Community Map score of 100. The Tax Per Capita and Population will receive a weight of 15% and the Percent Below Poverty Level and Estimated Median Household Income will both receive a weight of 35%. Local match will be determined once all applications have been scored for both the project and the mapping high-need elements. The match for those projects in the most high-need communities will have no local match required; those projects in the next group of high-need scores will have 10% local match required. Projects that have high project scores but low scores for the high-need elements will have a 20% local match required.

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
- ✓ Community Development Block Grants (42 U.S.C. 5305)
- ✓ 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)
- ✓ State Road Fund set aside for ITEP

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 IDOT's Land Acquisition Manual. 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. 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 UYC 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 Greencorps Chicago, City Year Chicago, Youth Conservation Corps (Waukegan), and Lake County Youth Conservation Corps, and Peoria Corps. For more information, please contact the respective UYC coordinator (Appendix 3) or visit [serve.illinois.gov](http://serve.illinois.gov), [youthconservationcorps.org](http://youthconservationcorps.org), [youthbuild.org](http://youthbuild.org), [corpsnetwork.org](http://corpsnetwork.org), or [www.nationalservice.gov](http://www.nationalservice.gov).

### **References:**

- <http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section12656&num=0&edition=prelim>
- <https://www.nationalservice.gov/impact-our-nation/state-profiles/IL/contacts>
- <https://www2.illinois.gov/sites/serve/americorps/Pages/AmeriCorpsNOFO.aspx>

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

### **The project sponsor is responsible for the following:**

- ✓ Secure required match through cash, right-of-way donations, FFM, or other means
- ✓ Complete environmental documents, clearances, permits and mitigation
- ✓ Ensure necessary environmental studies and sign-off by appropriate federal, state and local agencies
- ✓ Acquire local assurance from the proper authorities to ensure commitment
- ✓ Complete GATA pre-award requirements
- ✓ Submit all GATA documents required in the application
- ✓ Complete all GATA periodic reporting requirements and consolidated year-end financial review CYFER
- ✓ Coordinate project with Local IDOT District Office
- ✓ Schedule start dates for all types of work according to the Sunset Clause (see Section J)
- ✓ Acquire sponsor and agency joint agreements
- ✓ Complete preliminary engineering

- ✓ Prepare final plans, specifications and estimates
- ✓ Perform utility relocations (as required)
- ✓ Manage, administer and implement the project
- ✓ Acquire necessary right-of-way and easements
- ✓ Maintain the project after completion
- ✓ Provide project status or timeline upon request
- ✓ Responsible for the cost of all ineligible items

### **Additional Reporting Requirements**

If it has been determined that a project has incurred delays and will not meet the 4-year sunset clause and an extension of time has been granted, the sponsor will be required to submit additional status updates. Notification of this requirement will be provided by IDOT to the sponsor. See Appendix 8 for additional information.

## 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 Bureau of Design and Environment provides project evaluation and coordination on environmental issues. The Central Bureau of Local Roads and Streets (CBLRS) reviews the projects to ensure all requirements have been followed and agreements are written appropriately and executed. CBLRS requests authorization of projects from FHWA. IDOT is divided into five regions and nine highway districts (see Appendix 4). **Each local IDOT district is responsible for the implementation of their district projects and should be the first point of contact for implementation procedures** such as: completing the Final Project Development Report (PDR), submitting a job number request and preparation of local agency joint agreements.

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

**Each local IDOT district is responsible for the  
implementation of projects within their district boundaries  
and should be the first point of contact for implementation.**

## Section G - Pre-Application Process

There are five GATA grantee pre-award requirements. These requirements must be completed, and your DUNS number registered and up to date with Sam.gov before starting the on-line application. Instructions on completing GATA pre-award requirements can be found on the Illinois Governor's Office of Management and Budget GATA Portal <https://grants.illinois.gov/portal/>. Questions regarding GATA should be emailed to [DOT.GATA@illinois.gov](mailto:DOT.GATA@illinois.gov).

### **Pre-Award Requirements (GATA):**

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

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

## Section H - Application Process

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

All application project limits will also need to be mapped within the “My Community Map” GIS map provided in the on-line application. The project limits provided on the map must match those provided within your application description. The project location will be used to determine the community need scores. Instructions for the map are included with the application instructions.

### **Projects submitted in conjunction with a previously funded ITEP improvement:**

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

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

### **Applying for multiple projects that are closely related within the current application cycle.**

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

Please provide at a minimum the project title, project description, and location of any related projects before finalizing and submitting.

- ✓ ITEP number (known once projects are submitted in current cycle)
- ✓ Project Title
- ✓ Project Description
- ✓ Project Location

**One hard copy** of each application, the Community Map score and related materials are to be mailed to the Illinois Department of Transportation at the following address:

**Illinois Department of Transportation  
Illinois Transportation Enhancement Program  
Room 307  
2300 South Dirksen Parkway  
Springfield, Illinois 62764**

**GATA Documents submitted with the ITEP Application:**

- ✓ [GATA Uniform Grant Application](#) - Available on the Illinois GATA Website
- ✓ [GATA Programmatic Risk Assessment](#) - ITEP Template is available on the ITEP website
- ✓ [GATA Uniform Grant Budget Template](#) - Available on the Illinois GATA Website
- ✓ [BoBS 2831: Uniform Grant Agreement Affidavit of Disclosure of Conflicts of Interest - Grantee \(09/13/16\)](#) - Available on the IDOT Website under Forms
  - i. [Conflict of Interest and Financial Disclosure Statement](#) - Available on the Illinois GATA Website

**ITEP Application Related Materials:**

- ✓ Detailed Cost Estimate – see best example in Appendix 7
- ✓ Project Location Map
- ✓ Colored Photographs
- ✓ Local Assurance Page (PRO 2245)
- ✓ Government Resolution
- ✓ Public Involvement
- ✓ Letters of Support

# Section I - Project Evaluation, Selection, And Approval Process

## Project Evaluation

All ITEP projects must be selected through a competitive merit-based review process. A minimum application score of 52 will be required in order to receive ITEP grant funds. The application score is derived from the merits of the project and separate from the Community Map Score. In order to comply with federal and state guidelines, IDOT uses a numerically based scoring process. After IDOT receives the candidate project applications, an initial review will be conducted to determine eligibility and GATA compliance. GATA prequalification requirements, and GATA documents submitted with the application will be evaluated to determine project eligibility. If there are significant errors or project misrepresentations in the cost estimates, it may be determined that the application is incomplete and is not eligible to be evaluated within the merit-based selection process. All eligible project applications are organized and assigned to reviewers statewide for a more comprehensive review based on established review criteria listed below. These reviewers consist of MPOs, IDOT districts, other state agencies and internal IDOT staff, each project has a minimum of three reviewers. The list of projects, along with scores, will go to the ITEP Selection Committee for final approval.

## Review Criteria

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

## Community Map Score Criteria

- ✓ Median Household Income by Census Tract/s
- ✓ Tax Per Capita by zip code/s
- ✓ Percent Below Poverty Level by Census Tract/s
- ✓ Population by Census Tract/s

All projects must be mapped and will receive scores, however, only the categories of Bicycle and pedestrian facilities and Conversion of abandoned railroad corridors to trails projects will have Community Map scores. For the projects that meet the minimum application score of 52, the Community Map score will be used to determine the match requirement and that 25% of the state funding is allocated to the high-need communities.

## **Project Selection and Approval**

Once the Selection 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.

- ✓ A Notification letter will be sent to those receiving ITEP grants after the awards are announced. These letters will contain the award amount and deadlines for your specific project based on phases of work approved for funding. Note that if any deadline is not met, funds may be rescinded.
- ✓ There must be an executed Local Agency agreement in place for each phase of work for which ITEP funds will be used. 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.
- ✓ A kick-off meeting must be scheduled within 6 weeks of award notification. Immediately contact your IDOT District Enhancement Coordinator after receiving award notification. Contact information can be found at the bottom of the notification letter.

**Post-Award Document Requirements:** Obtain guidance on how to proceed with the project development process by getting the proper paperwork in place. Processing and executing of the Local Agency agreements typically take several months. To get the agreement process started, you must contact the IDOT District Enhancement Coordinator in your area upon notice of award.

Before any work qualifies for reimbursement,

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

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

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

## **Additional Reporting Requirements**

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

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

- ✓ **Consolidated Year End Financial Review (CYEFR)** - All agencies are required to submit the CYEFR annually on the agency's fiscal year.
- ✓ **ITEP Project Status Checklist, Project Milestone Schedule Update Report, Change Requests, Scope Changes, Time Extension** and **Cost Increases** will be coordinated, and formal requests submitted to IDOT District Local Roads Enhancement Coordinator (Appendix 2). See Sections J-N for additional guidance. Projects not showing signs of progress towards meeting deadlines are required to submit a PRO 2270 ITEP Project Status Checklist and continue to submit the ITEP Quarterly Project Status Update Report as required.
- ✓ **Detailed Cost Estimates** - At any time a document is found to have an error or missing key information the grantee may be required to provide an updated or corrected document. Any request to change the project scope, increase or dropped portion of project, will require an updated cost estimate. The cost estimates should not be missing any of the following fields: unit, quantity, unit cost, federal share, sponsor share, ineligible costs, and total costs. Costs should be organized by improvement types (landscape, lighting, street, bridge, bike path). Costs should be displayed separately for each planned construction phase or project location (if applicable). See cost estimate examples in Appendix 7.

## Section J - Sunset Clause

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

Any project identifying conflicts that will create significant delays, should report this information to the District Enhancement Coordinator as soon as possible. An approved time extension is required to continue to use funds for the project past the original deadline. The following are required submittals for a project to be eligible for an extension:

1. Communication: The project sponsor must demonstrate they have provided the IDOT District Local Roads Office with early notification of issues that may affect a project delay. Issues that may affect the project cost or scope have been reported. A project status update is submitted in a timely manner. The local agency may need to submit a project status update no less than once each quarter.
2. Justification: The project sponsor must provide justification in the request letter that details unanticipated external factors that influenced this project's ability to remain on the approved timeline. Factors that are no fault other than the sponsor's, does not justify a reason to grant an extension.
3. Risk Reduction: Measures the project sponsor will take to mitigate risks that caused the delay. These measures should be updated on a quarterly project status update as needed. [Further reassurances may need to be presented.
4. Schedule: The local sponsor must submit a PRO 2270 Project Status Checklist which includes a project timeline and anticipated completion date of tasks that are required to mitigate delays to the project.
5. Costs: The project sponsor must provide an updated project cost if the project will be segregated into multiple construction phases or project costs have increased from the last approved amount. Updated project costs must be displayed by phase of construction.

Any actions to address project conflicts must stay in compliance with ITEP guidelines and FHWA rules. All extension requests will be submitted to the IDOT District Enhancement Coordinator (Appendix 2). Extension requests will need approval of both district and state coordinators and may require FHWA approval before proceeding with the project.

**Note:** The Federal Highway Administration (FHWA) has the authority to rescind funds from projects that have not fulfilled their commitment for project implementation, which can lead to FHWA requiring a pay-back of federal funds that have been used on the project up to that point. For example, if your community has performed all the required engineering but has not been able to get the project constructed, FHWA could rescind remaining funds slated for construction and require the local community to pay back the federal funds used to complete the engineering. FHWA directive 5020.1A requires a project to have substantial right-of-way purchased or constructed activities started 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. Additionally, if state funds were given for part of the match to federal funds, those will also be required to be repaid.

## Section K - Cost Estimates

Accuracy in developing the project cost estimates is vital. IDOT encourages project sponsors to have someone (i.e. an engineering or architectural firm) familiar with the type of project, complete or review any detailed cost estimate. All items should be listed out and detailed in the total project cost estimate. **Both eligible and any known ineligible items should be listed separately.** Ineligible items will be 100 percent the responsibility of the project sponsor and will not count toward the required 20 percent match. **Contingencies and inflation factors are not eligible for 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% federal funds with 20% match. Right of Way cost are reimbursable up to 50% federal funds with a 50% match amount. Additional guidance can be found in Chapter 65 of the BDE Manual for items that may cause unforeseen delays in moving a project to construction.

## Section L - Cost Increases

The amount of 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 as well as the progress the project has made towards construction.

In order to request additional 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 Bureau of Programming for a final review.

## **Section M - Scope Changes**

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

Project scopes that change from the original approved project scope must be submitted with documentation and justification to the IDOT District 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 L 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 rescinding awarded funds on the project or reducing the project scope due to funding constraints. Project scope changes that increase the project cost over the approved federal authorization will require an authorization addendum before the project is advertised for letting. Significant project scope and cost changes must be reflected in the MPO TIP where applicable. All project scope and cost changes must be approved by the Bureau of Programming before final plans are approved and the project is advertised for letting.

## **Section N - ITEP Change Requests (PRO 2255 Form)**

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

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

If you need a copy of the ITEP Change Request form (PRO 2255), please contact your IDOT District Enhancement Coordinator (Appendix 2).

# Section O - Local-Sponsored Projects Administration and Implementation

Projects need to follow all federal and state requirements in the design and construction process. The projects shall 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

### Project Sequencing

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

### Project Scope

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

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

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

**All Project Scope and Cost Changes Must be Approved by the Office of Planning and Programming, Bureau of Programming Before Final Plans are Approved and the Project is Advertised For Letting.**

## Engineering

The first phase of project development is the preliminary engineering (PE). PE is broken into two phases. PE I includes evaluating the impact of the project on the environment, permitting requirements, and the preparation of project development reports which documents the findings of environmental studies, public involvement, and describes the footprint of the project. PE II begins when PE I concludes and involves preparation of the plans, specifications, and estimates for the construction bidding proposal.

Construction Engineering, often referred to as Phase III engineering (CE) is the engineering required to construct the project while under contract.

### Phase I Preliminary Engineering (PE I):

As the project proceeds through the PE I phase, the following areas must be evaluated. Twelve to twenty-four 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 special waste 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, Building projects must meet applicable building codes and historic buildings must be in conformance with the Secretary of Interior's Standards for Historic Preservation. 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.
- ✓ 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. Confer with the District Bureau of Local Roads and Streets for guidance.
- ✓ 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. Projects involving 4(f) properties are required to be presented at a District coordination meeting.

## **Phase II Preliminary Engineering (PE II):**

Twelve to eighteen months are typical time periods required to accomplish PE II. The following areas must be evaluated during PE II.

- ✓ After environmental and design approval is received, the local sponsor can begin to prepare the final plans and specifications for the project in accordance with the appropriate design policies and approved project report.
- ✓ All permits must be obtained by the local sponsor before advertising the letting for the construction contract (examples include IDNR Office of Water Resources and Corps of Engineers permits). The need for these permits must be identified during PE I.
- ✓ District coordination meetings with the sponsor will be held as necessary.
- ✓ When the final plans, specifications and cost estimates are completed, they shall be submitted to the District Bureau of Local Roads and Streets for approval.

## **Phase III Construction Engineering (CE):**

Construction Engineering will roughly follow the length of time required to build and close out a construction project.

## **Agreements**

All phases of a project utilizing state or federal funding will require a joint funding agreement. If an engineering consultant firm is utilized for engineering work, a professional services agreement between the project sponsor and the selected consultant is also required. The joint funding agreement and engineering agreement procedures are outlined in Chapter 5 of the Bureau of Local Roads and Streets Manual.

## **Engineering Agreements:**

- ✓ Based on the Qualifications Based Selection criteria in Section 5-5 of the Bureau of Local Roads and Streets Manual the local sponsor will select a consultant for engineering services. The local sponsor will then negotiate the scope, hours, and budget of the contract. The District Bureau of Local Roads and Streets may assist in this procedure.
- ✓ The local sponsor and consultant shall then execute a professional services agreement which contains the necessary state and federal certifications 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) or from the IDOT website. The executed agreement shall be submitted to the District Bureau of Local Roads and Streets for processing.
- ✓ The district will submit the fully executed 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 Bureau of Local Roads and Streets in the Central Office will approve engineering agreements and issue the notice to proceed. No engineering work may commence until notified by the Department.
- ✓ To obtain a list of the IDOT prequalified 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). Consulting engineers performing PE for local-sponsored

projects are not required to be prequalified with IDOT. Consulting firms performing CE are required to be IDOT prequalified in construction documentation.

- ✓ 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.

#### **Joint Funding Agreements:**

- ✓ All phases involving state or federal funding require a joint funding agreement. Project sponsors should work with their District Bureau of Local Roads and Streets to initiate a draft agreement.
- ✓ Draft agreement will be forwarded on to the Central Bureau of Local Roads and Streets for review and processing.
- ✓ The joint funding agreement form can be obtained through the District Local Roads and Streets Enhancement Coordinator (Appendix 2) or can be found on the IDOT website.
- ✓ Once the joint funding agreement has been executed, a contract obligation document (COD) will be established with the Illinois Comptroller's Office for all reimbursable activities (PE, CE, local-let construction, ROW, utility and rail agreements).

#### **Utility and Railroad Agreements:**

- ✓ When necessary the local sponsor will execute utility relocation agreements and railroad agreements as soon as possible to avoid delays in letting the project. This typically occurs during PE II. See Bureau of Local Roads and Streets Chapters 5-6 for information on railroad agreements and Chapter 5-7 for utility agreements.

#### **Funding Authorization**

Once the funding and engineering agreements are approved and executed, IDOT submits the project to FHWA for federal funding authorization (federal obligation). Engineering, right-of-way and construction projects will receive federal authorization only if the project is identified in the annual element of the state multi-year program and the annual program of the appropriate MPO TIP and environmental clearances have been obtained. 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. No State Reimbursements will be Allowed for Expenditures made prior to Award of the Appropriate Agreement.**

#### **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 the IDOT Land Acquisition Manual. If right-of-way or easements are necessary, project sponsors will be required to review and agree to the Standard Agreement Provisions Joint Improvement Projects On the State Highway System ([LA Form 4192](#)) or the Standard Agreement Provisions Joint Improvement Projects Off the State Highway System (Federal Aid Projects) ([LA Form 4193](#)). The local sponsor shall certify title for all property necessary for the project. For more information contact the District Land Acquisition Engineer through the District Local Roads and Streets Enhancement Coordinator (Appendix 2).

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

**Any Negotiations or Acquisitions Performed Prior to Authorization Will  
be Ineligible for Reimbursement.**

Typical implementation time required to appraise, negotiate and acquire right-of-way or easement will range from 18 to 24 months.

## Letting Process

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

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

### *State-let*

Most projects will be advertised in IDOT's Transportation Bulletin. These projects are let and awarded by the Department and become state contracts. The lettings are scheduled multiple times a year. 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. Local let projects are advertised in the Bureau of Local Roads and Streets Notice to Contractors Bulletin. The local sponsor makes contractor payments for locally awarded projects and then obtains reimbursement from IDOT for the federal and state (if applicable) shares. Information on the local letting procedures is contained in the Bureau of Local Roads and Streets Manual, Chapter 24. Local let agreements must use the GATA Uniform Intergovernmental Grant Agreement (UIGA) Form available through the District Local Roads and Streets. The UIGA form will include program specific terms and conditions for reporting and accounting based on the ICQ and programmatic risk assessment.

### **Examples of projects that may be approved for local lettings are:**

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

### **Construction Process**

A typical construction contract may require from six to twelve months to complete. The pre-construction meeting with the sponsor, contractor, Resident Engineer (RE), District Construction Engineer, District Materials Engineer, and District Local Roads and Street Engineer will be held after the construction contract has been awarded. There are different construction procedures for state-let and local-let construction contracts.

### *Local Sponsor 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 an employee to act as the local agency responsible in-charge, the person able to make decisions on behalf of the local agency. The local sponsor must also provide a Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision. The RE may be a qualified local agency employee (who may also be the responsible in-charge) or may be a consultant hired by the local agency to act in this capacity.
- ✓ 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 current Standard Specifications for Road and Bridge Construction and Supplemental Specifications and Recurring Special Provision 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 Department's Construction and Materials Management System (CMMS).

CMMS will be used to record contract administration activity and generate pay estimates for work completed.

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

- ✓ All contracts shall use inspected material only, and any unapproved material installed shall be removed at no expense to the contract.
- ✓ All contract and contract change orders must follow the construction manual procedures or a special IDOT agreed change order and conform to the Illinois Procurement Code (30 ILCS 500), the State Finance Act (30 ILCS 105/9.02) and the Criminal Code (720 ILCS 5/33E).

**Change Orders above the Authorized Resident Engineer and District Engineer Approval Limits Must have the Funding Approved by the Bureau of Construction and Bureau of Local Roads and Streets for State-Let Projects Before Proceeding with any Work.**

**Accumulated Change Order Totals Exceeding Contract Limits Shall have the Additional Funding Approved by the Bureau of Programming Before Proceeding with any Work.**

#### *Local Sponsor 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 and state (if applicable) share of the project.
- ✓ The local sponsor must provide an employee to act as the local agency responsible in-charge, the person able to make decisions on behalf of the local agency. The local sponsor must also provide a Resident Engineer (RE) approved by the Regional Engineer who is responsible for the project documentation, material inspection and direct construction supervision. The RE may be a qualified local agency employee (who may also be the responsible in-charge) or may be a consultant hired by the local agency to act in this capacity.
- ✓ 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 procedures outline in 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 and state (if applicable) 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.**

## 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 project sponsor pays the PE, land acquisition, utility relocation and local-let construction cost. After the sponsor has paid these costs, a request for reimbursement with backup documentation should be forwarded to the District Bureau of Local Roads and Streets for processing.
- ✓ Land acquisition, PE, CE, local-let construction, utility relocation, and railroad force account bills will be submitted and paid according to the Bureau of Local Roads and Streets' billing procedures. See Chapter 5-10 of the Bureau of Local Roads and Streets Manual for more information.
- ✓ All requests for reimbursement shall include backup documentation such as receipts, invoices, cancelled checks, etc.

- ✓ 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.

### **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.

## 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
CSFA	Catalog of State Financial Assistance
CYEFR	Consolidated Year End Financial Review
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
FFY	Federal Fiscal Year
FY	Fiscal Year (State)
GATA	Grant Accountability and Transparency Act
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
ILCS	Illinois Compiled Statutes
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MFT	Motor Fuel Tax
MPO	Metropolitan Planning Organization
MYP	Multi-Year Program
NOSA	Notice of State Award
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
STBG	Surface Transportation Block Grant
STIP	Statewide Transportation Improvement Program
SRTS	Safe Routes to School
TAP	Transportation Alternatives Program
TASA	Transportation Alternatives Set-Aside
TEA-21	Transportation Equity Act for the 21 <sup>st</sup> Century
TIP	Transportation Improvement Program
TMA	Transportation Management Area
TS&L	Type Size & Location
UYC	Urban Youth Corps



## Appendix 2 - Contacts

### IDOT DISTRICT ENHANCEMENT PROGRAM COORDINATORS

1	Chad Riddle (847) 705-4406
2	Tony Baratta (815) 284-5380
3	Steve Cherry (815) 434-8410
4	Tony Sassine (309) 671-3690
5	Brian Trygg (217) 466-7252
6	Brian Wright (217) 782-4690
7	Brett Walker (217) 342-8321
8	Rebecca Tharp (618) 346-3330
9	Doug Helfrich (618) 351-5260

## IDOT CENTRAL OFFICE PROGRAM COORDINATORS

<u>Project Category</u>	<u>Coordinator</u>	
ITEP Projects	Brian McCoy	(217) 782-5482
SRTS Projects		
Pedestrian/Bicycle Policy Engineer	Stephen Letsky	(217) 782-7651
Historic/ Cultural – Design & Environment	Brad Koldehoff	(217) 785-7833
Environmental – Design & Environment	Scott Stitt	(217) 785-4245
Scenic Byway	Todd Smith	(217) 785-8643

## IDOT CENTRAL OFFICE BUREAU CONTACTS

Illinois ITEP Coordinator  
 Bureau of Programming  
 Office of Planning and Programming  
 217-782-5482  
[DOT.ITEP@illinois.gov](mailto:DOT.ITEP@illinois.gov)

**Stephane B Seck-Birhame**  
 Local-Sponsored ITEP Projects  
 Bureau of Local Roads and Streets  
 Office of Highways Project Implementation  
[Bablible.Seck@Illinois.gov](mailto:Bablible.Seck@Illinois.gov)  
 217-782-3972

**Greg Lupton**  
 Federal Flexible Match  
 Bureau of Local Roads and Streets  
 Office of Highways Project Implementation  
 217-785-1670  
[Greg.Lupton@illinois.gov](mailto:Greg.Lupton@illinois.gov)

## 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	N/A
Illinois River Road National Scenic Byway	Debb Ladgenski, Board Chair North Central Illinois Council of Governments 613 West Marquette Street Ottawa, Illinois 61350 (815) 433-5830
Meeting of the Great Rivers Scenic Byway	Brett Stawar, Director Alton Region Convention and Visitor's Bureau 200 Piasa Street Alton, Illinois 62002 (618) 465-6676
Ohio River Scenic Byway	Rhonda Belford, Byway President Ohio River Scenic Byway PO Box 746 Rosiclaire, IL 62982 (618) 525-1855
Historic Route 66 National Scenic Byway	Casey Wichmann, Executive Director Route 66 Heritage Project 700 East Adams Street Springfield, Illinois 62701 (217) 525-9308

## STATE AGENCY CONTACTS

IDNR Office of Realty and Capitol Planning

Connie Waggoner, Director  
Transportation Enhancement  
Program Manager  
Illinois Department of Natural  
Resources  
1 Natural Resources Way  
Springfield, Illinois 62702-1271  
(217) 524-5461  
[connie.waggoner@illinois.gov](mailto:connie.waggoner@illinois.gov)

DCEO Illinois Office of Tourism

Jan Kemmerling  
Tourism Development Programs  
Section Manager  
500 East Monroe St.  
Springfield, IL 62701  
(217) 785-6351

Urban Youth Corps (CNCS – AmeriCorps  
Programs)

Scott McFarland  
Executive Director  
Serve Illinois  
Illinois Commission on National and  
Community Service  
422 S. Fifth Street  
Springfield, IL 62701  
(217) 685-5930

# IDOT District Offices

## ILLINOIS DEPARTMENT OF TRANSPORTATION REGION and DISTRICT BOUNDARIES

### Region 1



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

### Region 2



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

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

### Region 3



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

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

### Region 4



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

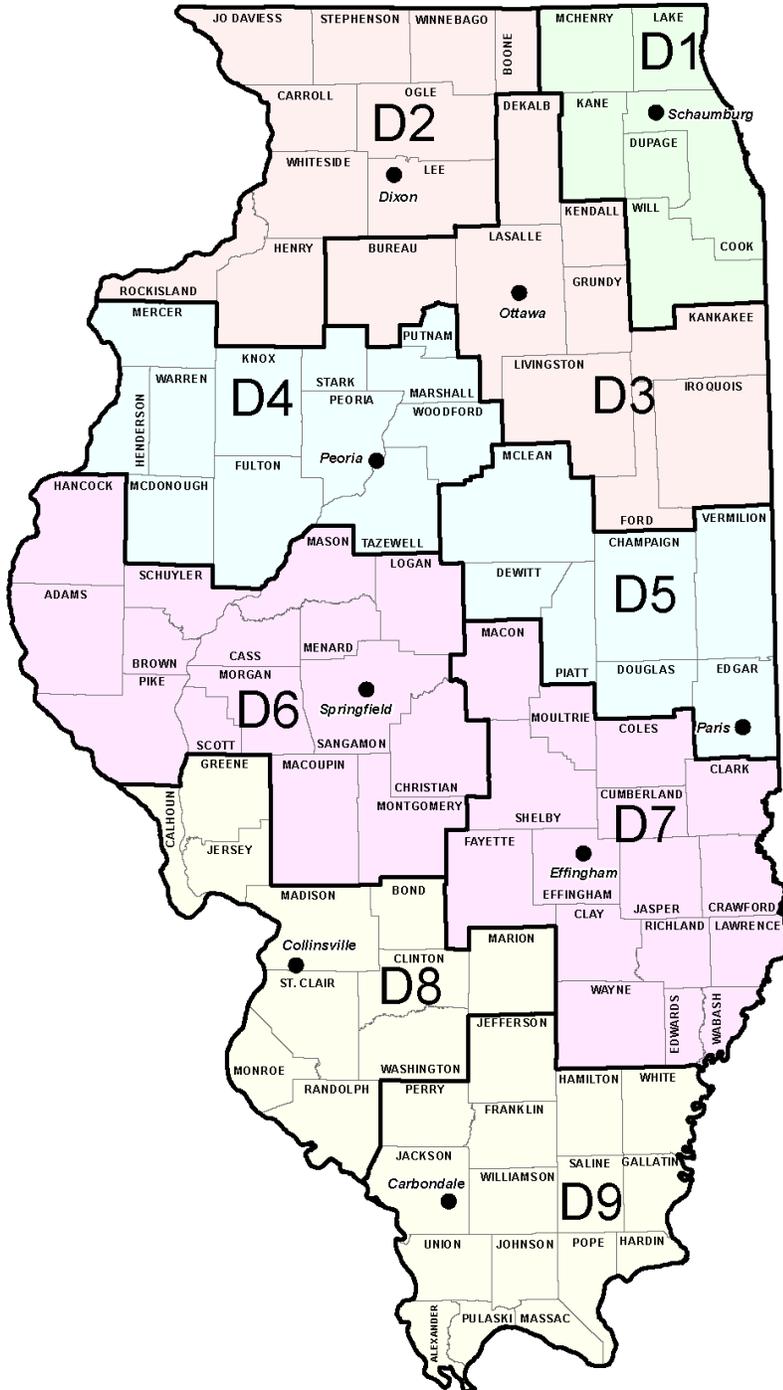
**DISTRICT 7**  
400 WEST WABASH  
EFFINGHAM, ILLINOIS 62401-2699  
PHONE: 217/342-3951

### Region 5



**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



## Illinois Metropolitan Planning Organizations

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

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

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

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

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

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

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

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

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**  
DeKalb County Highway Department  
1826 Barber Greene Road  
DeKalb, Illinois 60115  
(815) 756-9513

Northeastern Illinois Urbanized Area:  
(includes Cook, DuPage, Kane, Lake, McHenry  
and Will counties):  
**Chicago Metropolitan Agency for Planning**  
233 South Wacker Drive, Suite 800  
Chicago, Illinois 60606  
(312) 386-8600

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

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

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

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

# Appendix 3 - 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 21<sup>st</sup> 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:

Type of Donation/Credit	Source of Donation/Credit	
	<i>Private</i>	<i>Local Government</i>
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 timecards. 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](mailto:DOT.LocalPolicy@illinois.gov).

## LOCAL PUBLIC AGENCY FEDERAL FLEXIBLE MATCH (FFM)

	<i>Project Phase</i>	<i>Total</i>	<i>Federal Funds Used</i>	<i>% Federal Funds</i>	<i>Local Funds or Contribution</i>	<i>% Local</i>	<i>FFM Earned (80% of Local Contribution)</i>	<i>FFM Applied (additional to 80% fed)</i>
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. However, the FFM counts against the Federal Not-to-Exceed amount that was originally approved for the project. It is not an increase in federal funding.

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

Federal Flexible Match can be applied to construction or construction engineering.

## REQUEST AND INTENT LETTER

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

Date

Subject: Federal Flexible Match Request

\_\_\_\_\_ Local Agency requests that Section \_\_\_ - \_\_\_\_\_ - \_\_\_ - \_\_\_  
located \_\_\_\_\_ be considered as an eligible  
Federal Flexible Match Program project.

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

.

Sincerely,

\_\_\_\_\_, Local Agency Highway Official

# CERTIFICATION AND NOTIFICATION OF FLEXIBLE MATCH ELIGIBLE COST

\_\_\_\_\_, 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 4 - Sample Cost Estimates

**The following sample cost estimate is provided as a guideline to exhibit the type of details that should be reflected in your cost estimate.** Not all projects will require the same pay items, unit costs vary greatly depending on what part of the state you are in, and not all projects will have an exceptional amount of detail available to them, but every effort should be made to capture the type of project details displayed in this sample cost estimate. Estimates should be detailed enough to show improvement or material categories and cost estimates reported separately for each phase or construction location. At a minimum it should provide the following data fields: cost category, material description, unit, quantity, unit price, total cost. There should be separate columns for cost breakdown by funding source which includes Federal Share, Sponsor Share, Ineligible items, and % federal funds on eligible items (50% or 80%). Since it will be unknown how much, if any, state match will be provided for a project the full match amount should be shown in the sponsor share column. This will be adjusted once the state share, if applicable, is determined.

### **Please Note:**

- **Lump Sum estimates are not acceptable. Your project application will be marked as INELIGIBLE and will not be considered for funding.**
- **Ineligible items are the responsibility of the project sponsor but should be included in the estimate and denoted in a separate column.**
- **Contingencies are not an allowable line item and cannot be included as such.**
- **Include estimates for engineering, land acquisition costs, utility relocation costs, grant application fees, or any other miscellaneous costs that might be incurred during completion of this project.**
- **For multi-phase projects consider funding scenarios based on the urgency and scope of work for each phase. If the ITEP program is able not fund the full project, creating separate sub-estimates for each phase allows IDOT to provide enough funding to complete Level 1, Level 2 or any combination of items to make this a viable project.**

**Example Estimate:**

The following sample cost estimate is an excellent example since it provides quantities, unit costs and separate columns for Federal Share, Sponsor Share and Ineligible items. It also breaks the project out by specific types of improvements, and improvements at different locations. Please note that although most of the work included under the intersection improvement is roadway related work and not eligible for ITEP funding, it should be included as part of the overall project scope of work. The street lighting is co-located with an alternate transportation facility, so all elements are eligible for 50% federal match. If this project intends on constructing this project in construction phases, then each phase should have costs reported separately.

**NOTE: The following sample cost estimate is for illustrative purposes only and is not meant to imply eligibility or quality of the project. Unit costs are in no way meant to be reflective of today's current costs.**

Items	Unit	Quantity	Unit Price	Total Cost	Cost Breakdown by Funding Source				
					Federal Share	Sponsor Share (Local Match)	Ineligible Items	Total Cost	
<b>STREET LIGHTING AND TRAFFIC SIGNALS</b>									
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 Rd)	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	
<b>Subtotal:</b>				<b>\$461,000</b>	<b>\$175,000</b>	<b>\$175,000</b>	<b>\$111,000</b>	<b>\$461,000</b>	
<b>BRIDGE ENHANCEMENTS</b>									
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, architectural 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, architectural elements, accent lighting)	L SUM	1	\$100,000	\$100,000	\$80,000	\$20,000	\$0	\$100,000	
<b>Subtotal:</b>				<b>\$285,000</b>	<b>\$228,000</b>	<b>\$57,000</b>	<b>\$0</b>	<b>\$285,000</b>	
<b>LANDSCAPE AND SIGNAGE</b>									
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	
<b>Subtotal:</b>				<b>\$370,000</b>	<b>\$296,000</b>	<b>\$74,000</b>	<b>\$0</b>	<b>\$370,000</b>	
<b>HARD SURFACE IMPROVEMENTS</b>									
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	
<b>Subtotal:</b>				<b>\$360,630</b>	<b>\$286,504</b>	<b>\$74,126</b>	<b>\$0</b>	<b>\$360,630</b>	
<b>ROCKWELL STREET/ ROUTE 56/ PRAIRIE PATH INTERSECTION IMPROVEMENTS</b>									
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	\$0	\$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	
<b>Subtotal:</b>				<b>\$280,455</b>	<b>\$45,800</b>	<b>\$11,450</b>	<b>\$223,205</b>	<b>\$280,455</b>	
<b>Construction Total:</b>				<b>\$1,757,085</b>	<b>\$1,033,304</b>	<b>\$389,576</b>	<b>\$334,205</b>	<b>\$1,757,085</b>	
<b>PRELIMINARY ENGINEERING AND ACQUISITION</b>									
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	
<b>Project Total:</b>				<b>\$2,308,602</b>	<b>\$1,343,295</b>	<b>\$506,449</b>	<b>\$634,467</b>	<b>\$2,484,211</b>	

# Appendix 5 - Time Extension Guidance for Project Delays

April 2020

## Project Delay - Funds Lapsed (Sunset Clause Invoked):

Management of ITEP project timelines are taking a risk reduction approach to mitigate project delays. Sponsors seeking ITEP funds are aware of the requirement to begin construction within a maximum of 4 years, as outlined in the award announcement. Agencies should time their project applications when it is assured that a project will meet the sunset clause. If there are complications to meeting the sunset deadline then there will have to be justification provided to approve an accurate time extension. Many documents will need to be updated and the sponsor will have to agree to periodic reporting requirements. It is not the intent to grant an extension for a project and have the project incur further delays. If there are anticipated delays for a project then a scope reduction, partial drop, or full withdrawal of grant funds may be the best approach and should be considered.

### Options for the Local Sponsor to take:

1. If a time extension is required to continue to use funds for the project. The following are required submittals for the project to be eligible for an extension:
  - a. Communication: The project sponsor must demonstrate they have provided the IDOT District Local Roads Office with early notification of issues that may affect a project delay. Issues that may affect the project cost or scope have been reported. A project status update is submitted in a timely manner. The project sponsor must agree to submit a project status update no less than once each quarter for extensions greater than six months.
  - b. Justification: The local sponsor must provide justification in the request letter that details unanticipated external factors that influenced the project's ability to remain on the approved timeline. Factors that are no fault other than the LPA's, do not justify a reason to grant an extension.
  - c. Risk Reduction: Measures the local sponsor will take to mitigate risks that caused the delay. Measures are updated on the quarterly project status update. [Further reassurances may need to be presented. Local Funding for ROW/Construction or plan to further reduce the project to build with current funding. Railroad ICC involvement must show issues, efforts made towards moving towards an agreement, and timeline to secure railroad Right of Way within an approved timeline.]
  - d. Schedule: The local sponsor must submit a PRO 2270 Project Status Checklist which includes a project timeline and anticipated completion date of tasks that are required to mitigate delays to the project.
  - e. Costs: The local sponsor must provide an updated project cost if the project will be segregated into multiple construction phases or project costs have changed from the last approved amount. Updated projects costs must be displayed by phase of construction.
2. Local sponsor will segregate the project into multiple constructible phases.
  - a. Submit a formal letter supporting a phased construction plan.
  - b. Provide updated documents: Costs, Schedule, and steps to reduce risk of further project delays.
  - c. The local sponsor must justify that segmenting the project is financially and contractually feasible and programmatically allowed. Ensure that any scope changes do not change so much as to violate the merit-based selection. The project must continue to provide a safe and usable facility that meets the needs of the community. District coordination is required.
3. Local Sponsor will reduce the project scope with a partial drop to the project with the intent to reapply for future funds to build the dropped segment.

- a. The time between dropping the segment and reapplying would give the local the ability to lower project delay risk impacted by lengthy processes, complex requirements, and difficult agreement resolutions frequently occurring with environmental, railroad/ICC, and land acquisition coordination and approvals.
  - b. Submit a formal letter supporting the reduced scope and partial drop to the project. Specify the intent on reapplying for additional funds to complete the dropped segment.
  - c. The local sponsor must justify that segmenting the project is financially and contractually feasible and programmatically allowed. Ensure the scope reduction does not change the project so much as to violate the merit-based selection. The project must continue to provide a safe and usable facility that meets the needs of the community. District coordination is required.
4. Separate Project into multiple constructible phases:  
Projects are evaluated for separation into phases of construction as long as it is feasible, safe to do so, and it provides project management benefits. Project segments experiencing issues are segregated from the rest of the project to be evaluated further for constructability and handled with its own timeline and deadlines. The rest of the project can move forward with construction in a timely manner.

Benefits:

1. Provides a usable facility for the community in a timely manner
2. High risk segments with high levels of complexity are segregated from the rest of the project. High risk segments can be placed on a separate timeline and provide targeted options to address issues.
3. High Risk segments may be eligible for a time extension if all extension packet document submittals are complete.
4. Spends down committed funds and completes a usable facility.
5. Overall project delay risk is reduced.
6. Affords positive options to complete the project as conceived in the original plans.
7. High risk segments have improved chances of receiving a cost increase.
  - a. To be eligible for additional funds the local sponsor must demonstrate actions taken to reduce risk, get the project back on schedule, and provide a plan to eliminates further delays.
  - b. If the project receives a bid exceeding the funding available, the local may request additional funds to cover the difference.
  - c. Projects that are not on schedule or has experienced delays increases the programmatic risk. This reduces the chances for an approved project cost increase.
8. Segregates cost overruns and funding shortages which decreases the overall project risk of not receiving a time extension.
  - a. **Additional risk is applied to a project that has previously moved funds from Construction or Construction Engineering to an earlier project phase such as Phase Two Preliminary Engineering.**
  - b. When the project goes to letting and the bid amount exceeds the funding available, the local may request a cost increase.
  - c. The request will be evaluated against the risk that was taken in moving funds out of construction, any delays the project has experienced, overall performance of project administration, and future plan for addressing project risks.
  - d. Consideration for providing additional funds for projects are always based on funds available and projects will be evaluated on a case-by-case basis.