

STP Active Program Management Policies

Active Program Management (APM) provides a mechanism for ensuring timely obligations to protect the region's funding from lapse and rescission, and to provide flexibility for moving forward projects that are "ready" in favor of those that are "delayed". APM is achieved through strong project and program management with active monitoring of project implementation status from project selection through obligation of federal funds.

Program Development

Active Program Management begins with the development of a program of projects. By agreement between the Councils of Mayors and the City of Chicago, endorsed by the CMAP MPO Policy Committee and the Illinois Department of Transportation, there are two distinct Surface Transportation Block Grant funded programs (STP): the Shared Fund, programmed by the CMAP STP Project Selection Committee (STP PSC) and administered by CMAP staff, and the Local Program, which is made up of twelve individual programs that are developed, programmed, and administered by the councils of mayors (councils) and Chicago Department of Transportation (CDOT). To facilitate active program management, each program of projects should be made up of two distinct programs: an active five-year, fiscally constrained program, and a contingency program of projects that can move forward into the active program if additional funds become available. The steps for development of a sample program are included in Appendix A.

Calls for Projects

CMAP, the councils, and CDOT will solicit for project applications starting in January for the next five federal fiscal years (FFYs). Final applications will be due in March. From April through August, evaluations, development of recommended programs, appropriate committee reviews, and public comment will occur. A CMAP TIP Amendment(s) to incorporate the recommended program(s) will be prepared in the fall for CMAP Transportation Committee consideration¹. The Transportation Committee will be asked to recommend approval of the program(s) and the TIP amendment(s) to the MPO Policy Committee. Final approval of the program(s) will occur when the MPO Policy Committee takes action on the TIP Amendment(s) in October. The schedule is illustrated in Table 1.

¹ In accordance with conformity analysis requirements, proposed new projects and previously programmed projects with significant changes to scope and/or schedule that include not exempt work types cannot be included in the TIP until the next semi-annual conformity analysis. These projects will be identified and recommended for inclusion in the CMAP, council, or CDOT program, contingent upon the next conformity determination. Based on the semi-annual conformity amendment schedule, CMAP staff strongly encourages selecting bodies to prohibit the programming of new not exempt projects in the first year of any program.

Table 1: Proposed Call for Projects Schedule

	Shared Fund	Council Programs	CDOT Programs
Call for Projects Issued	January 2019	January 2020	n/a - internal
Project Applications Due	March 2019	March 2020	n/a - internal
Project evaluation and ranking	April – August 2019	April – August 2020	April – August 2020
Staff recommended active and contingency programs published for review	CMAP staff and the STP Project Selection Committee	Council staff and Council Committees	CDOT staff and internal CDOT committee(s)
Committee reviews			
Public Comment			
Committee approvals of final active program for inclusion in the CMAP TIP and final contingency program			
CMAP TIP Amendment (excluding contingency projects, and projects requiring conformity analysis) considered	September 2019 CMAP Transportation Committee	September 2020 CMAP Transportation Committee	September 2020 CMAP Transportation Committee
Final Approval of TIP Amendment	October 2019 MPO Policy Committee	October 2020 MPO Policy Committee	October 2020 MPO Policy Committee
<i>If needed:</i> Semi-annual conformity analysis release for public comment	January 2020 CMAP Transportation Committee	January 2021 CMAP Transportation Committee	January 2021 CMAP Transportation Committee
<i>If needed:</i> Approval of semi-annual conformity analysis	March 2020 MPO Policy Committee	March 2021 MPO Policy Committee	March 2021 MPO Policy Committee

Project evaluations shall be based on published ranking and programming methodologies. It is anticipated that a staff recommended active program of projects and contingency program will be announced at the conclusion of the evaluation period. Appropriate committee reviews and a public comment period of at least 30 days will follow, with final council, CDOT, and/or STP Project Selection Committee approval of recommended programs for inclusion in the CMAP TIP completing the review process.

While it is expected that the City of Chicago will not hold a traditional call for projects, a staff recommended active and contingency programs (defined below) shall be developed. These

programs will be subject to public comment and amended into the CMAP TIP on the same schedule as the council programs.

Calls for shared fund projects will be issued and administered by CMAP in odd-numbered years, beginning in 2019. Calls for local program projects will be issued and administered by the individual councils and CDOT in even-numbered years, beginning in 2020. It is anticipated that the initial calls for shared fund projects in 2019 and local program projects in 2020 will include scoring provisions for targeting programming of “in progress” projects in the first two to three federal fiscal years (FFYs) and new projects in the last two to three FFYs, and that subsequent calls for projects will be primarily focused on adding two new “out years” to the program. These provisions will be described in methodologies as “grandfathering” provisions.

Active Programs

The result of each Call for Projects will be the development of a fiscally constrained multi-year program of projects to be completed, in whole or in part, with STP funds. Active programs will be included in the region’s TIP and are therefore subject to fiscal constraint. The amount of funding programmed in each FFY should be based on each program’s projected available funding levels provided by CMAP. The first year of the active program will be considered the “current year” and will be subject to obligation deadlines described in the Program Management section of this document. The next four years will be considered the “out years”. Project phases programmed in out years are not subject to obligation deadlines and can be actively reprogrammed in other out years at any time, subject to each year of the multi-year program maintaining fiscal constraint at all times.

Since the active program contains projects selected through a performance-based ranking process, sponsors of project phases that are programmed in out years should reaffirm their commitment to the scheduled implementation in subsequent calls, but should not be required to re-apply, as described in the Program Management section of this document.

Contingency Programs

It is anticipated that during each call for projects there will be more applications than can be programmed within the years of the call cycle. Additionally, in order to facilitate the region's goal of obligating 100% of available funding each year, selecting bodies can effectively "over program" by developing a contingency program of projects during each call cycle. The contingency program should include, in rank order, the next highest ranked projects that were unable to be funded in the CFP due to fiscal constraint. Sponsors of contingency projects must be committed to keeping projects active and moving forward toward obligation of federal funding in the two years between calls for projects. If sponsors of potential contingency program projects are not committed to moving forward, for example because funding was requested in an out year, those projects should not be included in the contingency program. Projects requiring a conformity determination that are not already included in the current conformed TIP, may be included in contingency programs, but cannot be reprogrammed into the current year of the

active program after the TIP change submittal deadline for the spring semi-annual conformity analysis. These projects can be reprogrammed into an out year of the active program. Projects, or phases of projects, that did not apply for funding during a call for projects cannot be added to a contingency program until the next applicable call for projects.

Inclusion of a project in a contingency program is not a guarantee of future federal funding for any phase of a project. The contingency program will expire with each subsequent call for projects. Projects included in the contingency program from the prior CFP must reapply for funding consideration during the next call. If the first phase of a project in the contingency program is moved to the active program, there is no guarantee that the subsequent phases will be funded via the contingency program or future active programs. Each selecting body may determine if points will be awarded for phases completed or in-progress at the time of each CFP, but there shall be no “automatic” reprogramming from the contingency program to the active program.

Active projects that are reprogrammed in the contingency program, either voluntarily, or due to missing an obligation deadline, must also reapply for funding consideration during the next call. This reapplication will reset all deadlines associated with project phases and make phases eligible for obligation deadline extensions, as discussed in more detail in the Program Management section of this document. If unsuccessful with future applications for STP funding, the sponsor may complete the project using another fund source(s). If the project is not completed within the timeframe required by federal law, the sponsor will be required to pay back federal funds used for previous phases of the project.

Project Management

Transportation projects can take many years to implement. With an understanding of the federal process, strong advocacy, and good project management, projects can be more successful in moving from conception to implementation. The relationship and communication between the technical staff, the financial staff, and the elected officials that set priorities and make budget decisions must also be strong.

Training

Stakeholders throughout the region, including public and private sector implementers, have indicated that a thorough understanding of the project implementation process is critical for the successful completion of projects. An understanding of the process leads to realistic expectations and better overall scheduling and project planning. In partnership with FHWA, IDOT, and the Councils, CMAP will develop and provide project implementation training classes and materials for project sponsors and the consulting community and will encourage selecting bodies to require participation by funding applicants as a part of their project selection methodologies.

Designated Project Managers

Communication is critical at all levels of project implementation. Throughout project implementation there are a number of agencies and individuals involved in the process, including state and federal staff, CMAP programming staff, councils of mayors' staff and officials, consulting firms, sponsor staff, elected leaders, and the public. The staff of the various agencies will monitor project progress and finances. To facilitate comprehensive understanding and communication regarding projects, each sponsor shall designate the following from their staff upon inclusion in an active or contingency program:

1. A *Technical Project Manager* that will be responsible for overseeing the implementation of the project, managing any consultants involved in the project, ensuring that all federal, state, and local requirements are met and, in conjunction with the Financial Project Manager, ensuring that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.
2. A *Financial Project Manager* that will be responsible for ensuring that any required local matching funds are included in the sponsor agency budget in the appropriate fiscal year(s) in which federal obligation and/or project expenditures will occur, and, in conjunction with the Technical Project Manager, that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.

The Technical Project Manager and Financial Project Manager generally should not be the same person, unless the Technical Project Manager has a direct role in developing the sponsor's budget and/or securing local funding. For each project phase utilizing consulting services, a Consultant Project Manager must also be designated.

The project managers must be reported to the selecting body staff and should also be documented in the CMAP eTIP database. In the event of staff changes, a new designee(s) shall be assigned as soon as possible. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities, even if not required by the selecting body for their project(s).

Required project status updates described below may only be submitted by one of these managers, and all managers are jointly responsible for the content and timely submittal of updates. Correspondence from the selecting body and/or CMAP regarding project status, upcoming programming deadlines, or any other information regarding the programming status of projects will be sent to each of these managers. Correspondence from the selecting body and/or CMAP regarding the technical details of projects may be sent only to the Technical Project Manager and/or Consultant Project Manager, as appropriate.

Status Updates

Upon inclusion of any phase of a project within an active or contingency program, quarterly status updates detailing initial (time of application) estimated dates, current adjusted estimated

dates (based on progress made since the application was submitted), and actual accomplishment dates of all project milestones, regardless of the phase(s) programmed with STP funds, shall be submitted by one of the project's designated project managers through CMAP's eTIP website. These updates are required to be submitted in December, March, June, and September of every federal fiscal year. Updates submitted any day within the required month will be considered to have met the deadline. Updates submitted in any other month of the year will not be considered an official quarterly update.

Submittals shall be verified by the eTIP programmer assigned to the project sponsor (typically the council planning liaison or CDOT's Coordinating Planner, Capital Programming) in consultation with IDOT District 1 or District 3 Bureau of Local Roads and Streets (BLRS) staff. Status updates may be submitted more often than required, at the selecting body's and/or sponsor's discretion. Status updates must be submitted even if no progress has been made since the prior update. Failure to submit required status updates, as outlined in Table 2, may result in significant project delay or the loss of funding for current and subsequent phases of projects.

Table 2: Proposed consequences for not submitting required status updates

	If required quarterly updates are not submitted...
Projects with any phase programmed in the current FFY	The project phase, and all subsequent phases, will be moved from the active program to the contingency program. Funds programmed in the CMAP TIP for these phases will be moved to "MYB", and a formal TIP amendment ² will be required to reinstate these phases.
Projects with any phase(s) programmed in an out year (years 2 – 5)	The project phase, and all subsequent phases, will be removed from the active program. Out year projects removed will <i>not</i> be placed in the contingency program, and must re-apply for funding during the next CFP.
Contingency projects	The project phase, and all subsequent phases, will be removed from the contingency program, and must re-apply for funding during the next CFP.

Program Management

Obligation Deadlines

Any project phase(s) programmed in the current FFY on or after the first day (October 1) of that FFY is required to fully obligate³ the programmed federal funds prior to the end of that FFY

² TIP Amendments occur approximately every 6-8 weeks at meetings of the CMAP Transportation Committee. Meeting schedules and TIP change due dates are published on the CMAP web site.

³ For the purposes of meeting APM obligation deadlines, a project phase is considered to be "obligated" if federal funds have been authorized as "current" or "Advance Construction (AC)" in FHWA's FMIS database or the project phase has been included in an approved FTA grant. The entire phase must be obligated, up to the programmed amount or the final engineer's estimate, whichever is less, to be considered fully funded. "Staged" construction, or "combined" engineering phases are not considered fully obligated until all stages/phases under a single State Job or Federal Project Number are fully obligated.

(September 30). Table 3 describes the action(s) necessary to obligate each federally funded phase, and the milestone deadlines that should be met in order to meet the obligation requirement.

Table 3: Phase-specific obligation actions, milestones, and associated deadlines

Federally Funded Phase	Federal Obligation Action	Milestone(s)	Milestone Deadline
Phase 1 Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase 1 QBS* completed	1. Before submitting draft agreements
		2. Draft agreements submitted to IDOT district (3-6 month review)	2. June 30 (approx.)
Phase 2 Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase 2 QBS completed	1. Before submitting draft agreements (may be completed with Phase 1 QBS*; may begin before DA received)
		2. Phase 1 Design Approval (DA) received	2. Before submitting draft agreements
		3. Draft agreements submitted to IDOT district (3-6 month review)	3. June 30 (approx.)
Right-of-Way	Execution of Local Agency Agreement	1. Phase 1 Design Approval (DA) received	1. Before submitting documents and draft agreement
		2. Approved plats and legals, cost estimates, and documentation of use of approved firms	1. Before submitting draft agreement
		3. Draft agreements submitted to IDOT district (3-6 month review)	2. June 30 (approx.)
Construction (state let)	Execution of Local Agency Agreement (Approx. 6 weeks prior to letting)	1. Phase 2 pre-final plans submitted	1. Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early-June)
Construction (local let)	For construction phases that will be locally let, the sponsor must reasonably demonstrate that construction funds will be authorized within the federal fiscal year.		

*QBS: Qualifications Based Selection

If these milestones are not anticipated to be achieved, based on the March status update, the project sponsor may by a TBD date in April:

1. Request a six (6) month extension of the phase obligation deadline.
 - a. For Phase 1 Engineering, Phase 2 Engineering, and Right-of-Way, the extended deadline will be March 30 of the following calendar year.
 - b. For Construction/Construction Engineering, the extended deadline will be the federal authorization date for the April state letting in the following calendar year.

Programmed funds will be eligible to be carried over (subject to carryover limitations described later in this document) to the next FFY if the request is approved. Each project phase may only be granted one extension. If an extended project phase misses the extended obligation deadline, the phase, and all subsequent phases of the project, will immediately be moved to the contingency program, and the funds programmed in the current year will be removed from the selecting body's programming mark. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration. If the end of the six-month extension period has been reached, and the phase remains unobligated solely due to agreement review and the agreement was submitted to IDOT before August 1st of the prior year in a good faith attempt to ensure timely obligation of funds within the programmed FFY, an additional three-month extension will be automatically granted for that phase. The additional extension will be to June 30 for engineering and right-of-way phases, and to the federal authorization date for the August state letting for construction/construction engineering phases.

2. Request the current phase and all subsequent phases be immediately removed from the active program and placed in the contingency program. Programmed funds will not be automatically carried over, but will be available for immediate active reprogramming in the current FFY as described below. The obligation deadline for the phase will be removed, and the phase will remain eligible for a future extension request. If not moved back into the active program prior to the next call for projects, the sponsor must reapply for funding consideration.
3. Proceed at their own risk. If the programmed funds are not obligated as of September 30, the programmed phase and all subsequent phases will be removed from the active program, and will not be added to the contingency program. Programmed funds will not be carried over or available for reprogramming, and will be permanently removed from the selecting body's programming mark. The sponsor may reapply for funding during the next call for projects.

Requests for extensions will be reviewed by selecting body staff or the selecting body, in consultation with CMAP, IDOT, and/or FHWA staff as needed, and will be granted based only

on the ability of the sponsor to meet the extended obligation deadline. The reason for delay, whether within sponsor control or not, shall not be a factor in decisions to grant extensions. If an extension request is denied by staff, the sponsor may appeal to the selecting body, or may choose another option.

Following review of the March status updates, and any subsequent requests for extensions, sponsors of project phases included in the Contingency Program that have indicated potential for current year obligation of funds will be notified of the possible availability of funding and will be encouraged to take necessary actions to prepare for obligation of funds between June and October. Program changes to move project phases from the Contingency Program to the Active Program will occur no later than June 30. Formal TIP Amendments will be required to move contingency project phases into the current year of the TIP, the current CMAP TIP Amendment schedule should be considered when making re-programming decisions.

Requests after the April deadline may be considered at the discretion of the selecting body.

Active Reprogramming

It is the goal of the region to obligate 100% of the federal STP funding allotted to the region each year. Recognizing that implementation delays can and do occur, selecting bodies shall have the flexibility to actively reprogram funds. Active reprogramming can occur at any time, and requires that the selecting body publish an updated active program and updated contingency program prior to making TIP changes associated with the reprogramming. Unless specifically prohibited by policies of the selecting body, staff of the selecting body shall have the authority to publish program updates without selecting body action.

Within the current FFY, active reprogramming can be used for:

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

When considering active reprogramming, the fiscal constraint of the program must be maintained at all times. It may be necessary to move another project phase(s) out of the current FFY in order to accommodate ready to obligate phases. When an individual council, CDOT, or the Shared Fund has obligated 100% of the current year's programming mark, that body may request additional funding from the shared fund, as described in the Carryover Limitations and Redistribution of Unobligated Funding section of this document.

Within out years of the active program, reprogramming from one out year to another out year or making cost changes in out years shall be limited only by fiscal constraint in those years.

Selecting bodies have discretion in determining the relative priority of active reprogramming techniques. Any project phase(s) moved into the current FFY through active reprogramming is subject to the same obligation deadlines as all other current year phases.

Each call for projects is an additional opportunity to request reprogramming in a different FFY. Sponsors may request to have project phases reprogrammed in a different FFY, based on the implementation status of those projects, without the need to re-apply or be re-ranked as long as the sponsor reaffirms their commitment to completing the project according to the requested schedule.

In the event that a project included in the active program has not started phase 1 engineering (or equivalent) since the prior call for projects, whether that phase is to be federally or locally funded, that project must re-apply in the next call, except if:

1. The project is for pavement preservation techniques that were selected and programmed in out years to align with sponsor/subregional/regional pavement management system recommendations; or
2. STP-funded phase 1 engineering was programmed in an out year during a prior CFP.

Where required above, sponsors may reaffirm their commitment to completing a project(s) according to the requested schedule(s) by:

- Submitting a resolution specific to the project(s) and schedule(s);
- Submitting a resolution or appropriate record of elected body action within one year of the CFP adopting a Capital Improvements Program (CIP), or similar, containing the project(s); or
- Submitting a letter signed by the Village Manager/Administrator, Clerk, Mayor/President, or similar, that addresses the sponsor's commitment to the project(s) and schedule(s).

For sponsors with multiple projects being reaffirmed, a single resolution or letter may be submitted that addresses each project. Selecting bodies shall have discretion to require additional affirmations, such as sponsor commitment to fund cost increases.

Carryover Limitations and Redistribution of Unobligated Funding

Each selecting body is responsible for obligating 100% of the funding available to it each FFY. The amount of unobligated funding at the end of each FFY that can be carried over to the next year shall be limited to the selecting body's allotment (not including prior year carryover) for the year. Funds can only be carried over under the following circumstances:

1. The unobligated funds were programmed for a project(s) that was granted an extension.
2. The unobligated funds are the result of an "obligation remainder" that occurs when the actual federal obligation was less than the funding programmed for the project phase.

3. The unobligated funds were unprogrammed at the end of the FFY due to one of the following:
 - a. The cost of ready to obligate project(s) exceeds the unprogrammed balance available, no funds are available from the shared fund to fill the gap, and the selecting body has not accessed the shared fund in the current FFY; or
 - b. No projects are ready to obligate the available funds, but the selecting body can demonstrate a reasonable expectation for using the carried over funds in the following FFY.

The selecting body must “pay back” any shared funds used in the current FFY before carrying over any unprogrammed balance. Any unobligated funding resulting from other circumstances, or in excess of the maximum allowed, will be removed from the selecting body’s programming mark and redistributed to the shared fund, where it will be available to all selecting bodies as described below.

Funds carried over with an extended project will expire on the obligation deadline of the extension. All other funds carried over will expire on March 31 of the following calendar year. Expired carryover that remains unobligated will be removed from the selecting body’s balance on the expiration date and will be placed in the shared fund where it will be available to all selecting bodies as described below.

Accessing Unobligated Funds

Unobligated funds which are redistributed to the shared fund can be used for project cost increases or to advance ready to obligate local program and shared fund projects if all of the selecting body’s current year funds have been obligated, including any funds carried over from the previous FFY. Access to funds redistributed to the shared fund will be on a “first ready, first funded” basis. Requests can only be made when obligation of funds is imminent. CMAP staff will determine if funds are available and will approve requests upon verification of obligation readiness. In the event that there are more requests for funds than those available, priority shall be given as follows:

- Regional program projects shall be accommodated before local program projects
- Construction phases shall be accommodated before right-of-way, right-of-way before phase 2 engineering, and phase 2 engineering before phase 1 engineering
- Cost increases shall be accommodated before advancing active or contingency project phases
- Active out year phases shall be accommodated before contingency project phases
- Readiness for obligation will have more weight than the date of the request for funding

Shared funds may be requested for increases in STP-eligible costs at the time of obligation, based on the IDOT approved estimated cost at the time, or for cost increases after obligation due to higher than estimated bids, change orders, or engineering supplements. STP funds cannot be

requested for increased costs on project elements specifically funded with other sources (such as CMAQ, TAP, Economic Development, ICC, Invest in Cook, etc.). Cost increases from the shared fund are limited to the lesser of 20% of the programmed STP funds or the project's selecting body's maximum increase amount. For example, if the project was selected by a local council that limits individual projects to \$1.5 million in STP funds, the shared fund cannot be used to provide funds beyond that \$1.5 million limit. Shared funds may also be requested to advance ready to obligate phases from out years of any selecting body's active program or from any selecting body's contingency program.

If a project sponsor requests and receives shared funds, but is unable to obligate those funds by the end of the current FFY, future requests from that sponsor may be denied. Extended phases that missed the extended obligation deadline are never eligible to utilize shared funds.

Additional Provisions

Grant Accountability and Transparency Act (GATA)

All sponsor agencies applying for federal funding must have completed Illinois GATA pre-qualification and Fiscal and Administration Risk Assessment (ICQ) for the current year prior to submitting an application, and must maintain qualified status each subsequent year, until all phases of the selected project(s) are complete. Failure to maintain qualified status will result in all programmed funds being withdrawn from all phases of all projects programmed for the sponsor, whether programmed in the shared fund or local program.

All sponsor agencies with a project(s) included in a recommended program(s) must complete the GATA Programmatic Risk assessment by the first day (October 1) of the federal fiscal year in which the first federally funded phase is programmed and must agree to and comply with any special conditions that are imposed as a result of the assessment.

Qualifications Based Selection (QBS)

Local agencies utilizing federal funds for any engineering phase must use Qualifications Based Selection (QBS) procedures for hiring the consultant for each federally funded phase. The QBS process can begin prior to the start of the FFY in which the engineering phase is programmed in order to facilitate execution of local agency and engineering agreements as soon as possible after the start of the FFY.

Assistance for Disadvantaged Communities

As part of the agreement for locally programmed Surface Transportation Program (STP-L) funding approved in October 2017, the parties agreed that providing assistance to disadvantaged communities so that they may have more opportunities to access the federal funds was a desired outcome. While not the only barrier to reinvesting in local infrastructure, supplying the required match can be challenging and may discourage local officials in disadvantaged communities from seeking funding for needed projects.

Federal law allows states to accrue transportation development credits (TDCs), also known as “Toll Credits”, when capital investments are made on federally approved tolled facilities. The TDCs can be used in place of the 20 percent local/state match and a project can be funded at essentially 100 percent federal funds. The Illinois Tollway has historically generated a great deal of these credits, considerably more than are used in a given year, but the current Illinois Department of Transportation policy does not allow them to be used on local roads projects. CMAP is currently working with IDOT to revise state policies to allow some use of TDCs for local roads projects. By using TDCs, the northeastern Illinois region understands that the overall STP funds available for programming will be reduced, so the region must judiciously use them.

<Specific policies of the use of TDCs in the STP program will be presented, and included here, following CMAP and IDOT collaboration to revise state policies.>

Effective Date

The Shared Fund will be subject to the Program Development policies with the opening of the first call for projects in January 2019. Project Management, Program Management, and Other Provisions take effect with the start of the first FFY of the program on October 1, 2019. Similarly, Program Development policies for local programs take effect in January 2020, and the balance of policies take effect on October 1, 2020. Should any project currently being implemented as part of a local program be selected for funding from the shared fund in the first call, that project would become subject to APM policies on October 1, 2019. Likewise, projects grandfathered into local programs would become subject to APM policies on October 1, 2020.

Appendix A – Sample Program Development

Step 1: Projects are scored, and sorted by rank

SAMPLE Project Ranking

<u>Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>FFY</u>	<u>Total Cost</u>	<u>STP Request</u>	<u>Points</u>	<u>Rank</u>
Project 1	E1	Sponsor E	2019	\$285,000	Local	98	1
Project 1	E2	Sponsor E	2021	\$285,000	Local	98	1
Project 1	CON/CE	Sponsor E	2022	\$3,563,000	\$2,850,000	98	1
Project 2	E1	Sponsor G	2023	\$250,000	\$200,000	95	2
Project 2	E2	Sponsor G	2024	\$250,000	\$200,000	95	2
Project 2	CON/CE	Sponsor G	2025	\$2,500,000	\$2,000,000	95	2
Project 3	E1	Sponsor C	2018	\$400,000	Local	90	3
Project 3	E2	Sponsor C	2021	\$480,000	\$360,000	90	3
Project 3	ROW	Sponsor C	2019	\$2,000,000	Local	90	3
Project 3	CON/CE	Sponsor C	2021	\$4,800,000	\$3,600,000	90	3
Project 4	E1	Sponsor D	2017	\$118,546	\$94,837	88	4
Project 4	E2	Sponsor D	2019	\$115,000	Local	88	4
Project 4	CON/CE	Sponsor D	2021	\$1,536,800	\$1,150,000	88	4
Project 5	E1	Sponsor A	2019	\$580,000	Local	87	5
Project 5	E2	Sponsor A	2021	\$954,000	\$690,000	87	5
Project 5	ROW	Sponsor A	2022	\$324,000	\$250,000	87	5
Project 5	CON/CE	Sponsor A	2023	\$5,874,000	\$4,699,200	87	5
Project 6	E1	Sponsor A	2018	\$208,550	Local	85	6
Project 6	E2	Sponsor A	2020	\$210,000	Local	85	6
Project 6	CON/CE	Sponsor A	2021	\$2,625,000	\$2,100,000	85	6
Project 7	E1	Sponsor C	2020	\$200,000	Local	70	7
Project 7	E2	Sponsor C	2021	\$200,000	Local	70	7

Project 7	CON/CE	Sponsor C	2022	\$2,475,000	\$1,900,000	70	7
Project 8	E1	Sponsor B	2018	\$79,850	Local	65	8
Project 8	E2	Sponsor B	2019	\$80,000	Local	65	8
Project 8	CON/CE	Sponsor B	2021	\$1,347,800	\$700,000	65	8
Project 9	E1	Sponsor H	2020	\$180,000	Local	62	9
Project 9	E2	Sponsor H	2021	\$187,500	\$150,000	62	9
Project 9	ROW	Sponsor H	2022	\$1,000,000	\$800,000	62	9
Project 9	CON/CE	Sponsor H	2023	\$1,875,000	\$1,500,000	62	9
Project 10	E1	Sponsor K	2021	\$180,000	Local	61	10
Project 10	E2	Sponsor K	2022	\$180,000	Local	61	10
Project 10	CON/CE	Sponsor K	2023	\$2,250,000	\$1,800,000	61	10
Project 11	E1	Sponsor I	2023	\$625,000	\$500,000	60	11
Project 12	E1	Sponsor J	2019	\$400,000	Local	58	12
Project 12	E2	Sponsor J	2020	\$400,000	Local	58	12
Project 12	ROW	Sponsor J	2021	\$3,200,000	Local	58	12
Project 12	CON/CE	Sponsor J	2023	\$5,000,000	\$4,000,000	58	12
Project 13	E1	Sponsor B	2021	\$1,000,000	\$800,000	55	13
Project 14	E1	Sponsor C	2021	\$500,000	\$400,000	48	14
Project 14	E2	Sponsor C	2022	\$500,000	\$400,000	48	14
Project 14	CON/CE	Sponsor C	2023	\$5,000,000	\$4,000,000	48	14
Project 15	E1	Sponsor C	2024	\$800,000	\$640,000	47	15
Project 15	E2	Sponsor C	2025	\$800,000	\$640,000	47	15
Project 15	CON/CE	Sponsor C	2026	\$5,000,000	\$4,000,000	47	15
Project 16	E1	Sponsor J	2022	\$400,000	Local	45	16
Project 16	E2	Sponsor J	2023	\$400,000	Local	45	16
Project 16	ROW	Sponsor J	2023	\$3,200,000	Local	45	16
Project 16	CON/CE	Sponsor J	2024	\$5,000,000	\$4,000,000	45	16
Project 17	CON/CE	Sponsor K	2025	\$3,000,000	\$2,350,000	40	17

Step 2: Individual phases are grouped by requested FFY, and sorted by rank

SAMPLE Project Ranking (grouped by requested FFY)

Projects	Phase	Sponsor	FFY	Total Cost	STP Request	Cumulative	Rank
<u>FFY 2021</u>							
Project 3	E2	Sponsor C	2021	\$480,000	\$360,000	\$360,000	3
Project 4	CON/CE	Sponsor D	2021	\$1,536,800	\$1,150,000	\$1,510,000	4
Project 5	E2	Sponsor A	2021	\$954,000	\$690,000	\$2,200,000	5
Project 6	CON/CE	Sponsor A	2021	\$2,625,000	\$2,100,000	\$4,300,000	6
Project 8	CON/CE	Sponsor B	2021	\$1,347,800	\$700,000	\$5,000,000	8
Project 9	E2	Sponsor H	2021	\$187,500	\$150,000	\$5,150,000	9
Project 13	E1	Sponsor B	2021	\$1,000,000	\$800,000	\$5,950,000	13
Project 14	E1	Sponsor C	2021	\$500,000	\$400,000	\$6,350,000	14
<u>FFY 2022</u>							
Project 1	CON/CE	Sponsor E	2022	\$3,563,000	\$2,850,000	\$2,850,000	1
Project 3	CON/CE	Sponsor C	2022	\$4,800,000	\$2,000,000	\$4,850,000	3
Project 5	ROW	Sponsor A	2022	\$324,000	\$250,000	\$5,100,000	5
Project 7	CON/CE	Sponsor C	2022	\$2,475,000	\$1,900,000	\$7,000,000	7
Project 9	ROW	Sponsor H	2022	\$1,000,000	\$800,000	\$7,800,000	9
Project 14	E2	Sponsor C	2022	\$500,000	\$400,000	\$8,200,000	14
<u>FFY 2023</u>							
Project 2	E1	Sponsor G	2023	\$250,000	\$200,000	\$200,000	2
Project 5	CON/CE	Sponsor A	2023	\$5,874,000	\$4,699,200	\$4,899,200	5
Project 9	CON/CE	Sponsor H	2023	\$1,875,000	\$1,500,000	\$6,399,200	9
Project 10	CON/CE	Sponsor K	2023	\$2,250,000	\$1,800,000	\$8,199,200	10
Project 11	E1	Sponsor I	2023	\$625,000	\$500,000	\$8,699,200	11
Project 12	CON/CE	Sponsor J	2023	\$5,000,000	\$4,000,000	\$12,699,200	12
Project 14	CON/CE	Sponsor C	2023	\$5,000,000	\$4,000,000	\$16,699,200	14

FFY 2024							
Project 2	E2	Sponsor G	2024	\$250,000	\$200,000	\$200,000	2
Project 15	E1	Sponsor C	2024	\$800,000	\$640,000	\$840,000	15
Project 16	CON/CE	Sponsor J	2024	\$5,000,000	\$4,000,000	\$4,840,000	16
FFY 2025							
Project 2	CON/CE	Sponsor G	2025	\$2,500,000	\$2,000,000	\$2,000,000	2
Project 15	E2	Sponsor C	2025	\$800,000	\$640,000	\$2,640,000	15
Project 17	E2	Sponsor K	2025	\$3,000,000	\$2,350,000	\$4,990,000	17
Beyond Program Years							
Project 15	CON/CE	Sponsor C	2026	\$5,000,000	\$4,000,000	\$4,000,000	15

Step 3: Each FFY of the Active Program is filled in, up to the available funding mark, and remaining project phases are placed in a contingency program by rank.

SAMPLE
FFY 21-25 Surface Transportation Program (STP) Program
Active Program - October 2020

Federal Fiscal Year 21		FFY21 Estimated Mark		\$		5,000,000	
Oct 1, 2020 - Sept 30, 2021		FFY20 Carryover		+		\$	
		FFY21 Estimated Balance		\$		5,000,000	
FFY21 Projects	Phase	Sponsor	Tgt Let/Ob		Total Cost	Pgm STP	Notes
Project 3	E2	Sponsor C	6/1/2021	\$	480,000	\$ 360,000	Ob Deadline: 9/30/21
Project 4	CON/CE	Sponsor D	6/1/2021	\$	1,536,800	\$ 1,150,000	Ob Deadline: 9/30/21
Project 5	E2	Sponsor A	8/1/2021	\$	954,000	\$ 690,000	Ob Deadline: 9/30/21
Project 6	CON/CE	Sponsor A	3/1/2021	\$	2,625,000	\$ 2,100,000	Ob Deadline: 9/30/21
Project 8	CON/CE	Sponsor B	4/1/2021	\$	1,347,800	\$ 700,000	Ob Deadline: 9/30/21
Total FFY21 Program				\$	6,943,600	\$ 5,000,000	
FFY21 Unprogrammed Balance						\$ -	

Federal Fiscal Year 22	FFY22 Estimated Mark	\$	5,000,000
Oct 1, 2021 - Sept 30, 2022	FFY21 Carryover	+	\$ -
	FFY22 Estimated Balance	\$	5,000,000

<u>FFY22 Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>Tgt Let/Ob</u>		<u>Total Cost</u>		<u>Pgm STP</u>	<u>Notes</u>
Project 1	CON/CE	Sponsor E	1/1/2022	\$	3,563,000	\$	2,850,000	
Project 3	CON/CE	Sponsor C	6/1/2022	\$	4,800,000	\$	1,900,000	Req. \$2M - constrained
Project 5	ROW	Sponsor A	11/1/2021	\$	324,000	\$	250,000	
	Total FFY22 Program			\$	10,777,000	\$	5,000,000	
	FFY22 Unprogrammed Balance					\$	-	

Federal Fiscal Year 23	FFY23 Estimated Mark	\$	5,000,000
Oct 1, 2023 - Sept 30, 2023	FFY22 Carryover	+	\$ -
	FFY23 Estimated Balance	\$	5,000,000

<u>FFY23 Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>Tgt Let/Ob</u>		<u>Total Cost</u>		<u>Pgm STP</u>	<u>Notes</u>
Project 2	E1	Sponsor G	5/1/2023	\$	375,000	\$	300,000	
Project 5	CON/CE	Sponsor A	6/1/2023	\$	5,874,000	\$	4,699,200	
	Total FFY23 Program			\$	6,249,000	\$	4,999,200	
	FFY23 Unprogrammed Balance					\$	800	

Federal Fiscal Year 24		FFY24 Estimated Mark				\$	5,000,000	
Oct 1, 2023 - Sept 30, 2024		FFY23 Carryover			+	\$	800	
		FFY24 Estimated Balance				\$	5,000,800	
<u>FFY24 Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>Tgt Let/Ob</u>			<u>Total Cost</u>	<u>Pgm STP</u>	<u>Notes</u>
Project 2	E2	Sponsor G	5/1/2024	\$		250,000	\$ 200,000	
Project 15	E1	Sponsor C	1/1/2024	\$		800,000	\$ 640,000	
Project 16	CON/CE	Sponsor J	7/1/2024	\$		5,000,000	\$ 4,000,000	
Total FFY24 Program				\$		6,050,000	\$ 4,840,000	
FFY24 Unprogrammed Balance							\$ 160,800	
<hr/>								
Federal Fiscal Year 25		FFY25 Estimated Mark				\$	5,000,000	
Oct 1, 2024 - Sept 30, 2025		FFY24 Carryover			+	\$	160,800	
		FFY25 Estimated Balance				\$	5,160,800	
<u>FFY25 Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>Tgt Let/Ob</u>			<u>Total Cost</u>	<u>Pgm STP</u>	<u>Notes</u>
Project 2	CON/CE	Sponsor G	6/1/2025	\$		2,500,000	\$ 2,000,000	
Project 15	E2	Sponsor C	3/1/2025	\$		800,000	\$ 640,000	
Project 17	E2	Sponsor K	8/1/2025	\$		3,000,000	\$ 2,350,000	
Total FFY25 Program				\$		6,300,000	\$ 4,990,000	
FFY25 Unprogrammed Balance							\$ 170,800	

SAMPLE
FFY 21-25 Surface Transportation Program (STP) Program
Contingency Program - October 2020 - Expires 9/30/2022

<u>Contingency</u>							
<u>Projects</u>	<u>Phase</u>	<u>Sponsor</u>	<u>Tgt Let/Ob</u>		<u>Requested Total</u>	<u>Requested STP</u>	<u>Notes</u>
Project 7	CON/CE	Sponsor C	2022	\$	2,475,000	\$	1,900,000
Project 9	E2	Sponsor H	2021	\$	187,500	\$	150,000
Project 9	ROW	Sponsor H	2022	\$	1,000,000	\$	800,000
Project 9	CON/CE	Sponsor H	2023	\$	1,875,000	\$	1,500,000
Project 11	E1	Sponsor I	2023	\$	625,000	\$	500,000
Project 13	E1	Sponsor B	2021	\$	1,000,000	\$	800,000
Project 14	E1	Sponsor C	2021	\$	500,000	\$	400,000
Project 14	E2	Sponsor C	2022	\$	500,000	\$	400,000
Project 14	CON/CE	Sponsor C	2023	\$	5,000,000	\$	4,000,000
		FFY21 Potential Obligations		\$	1,687,500	\$	1,350,000
		FFY22 Potential Obligations		\$	3,975,000	\$	3,100,000
		Other Potential Obligations		\$	6,875,000	\$	5,500,000