



# **Surface Transportation Program**

**Policies and Procedures**

## **Project Proposals**

Any Member of the Southwest Conference of Mayors may propose a project to be funded through the STP program, provided:

- A. The project is on an STP eligible route, as determined by the Southwest Conference of Mayors, CMAP and IDOT.
- B. The project is an STP eligible project type as specified in MAP-21 and on the Southwest Conference of Mayors eligible project list.
- C. The project sponsor can fund the required local match.
- D. The project location is within the boundaries of the Southwest Conference of Mayors (the geographic area used to determine the STP funding allocated to the Southwest Conference of Mayors).

Any transit agency that wishes to propose a project must find two municipal co-sponsors.

## **Eligible Routes**

The routes eligible for STP funding should be those routes that promote regional and/or sub regional travel. STP routes must serve more than a local access function. In order to be eligible for STP funding, the route must be a federal-aid eligible facility, classified as a collector or higher, prior to the submittal of an application for funding.

The Southwest Conference of Mayors has a process for considering changes to roadway functional classification. This can be found in the Guidelines for Roadways Functional Classification Change handout.

## **Eligible Projects**

The improvement of federal-aid eligible routes requires adherence to federal and state standards and policies. For example, the simple resurfacing of a route is not possible unless the completed project meets federal/state standards. The list of STP eligible projects approved by the Southwest Conference of Mayors includes a number of project types that would improve air quality.

### **A. Eligible Highway Projects**

The following are general types of highway projects eligible for STP funding as part of the Highway Component:

- Rehabilitation, reconstruction and restoration
- Road widening/Add lanes
- Intersection improvements
- Traffic signal improvements (installation, modernization and modification)

### **B. Transportation Control Measures (TCMs) Projects**

The following are general types of TCM projects that are considered to be eligible for STP funding as part of the TCM Component:

- Transit improvements
- High-occupancy vehicle (HOV) programs
- Commuter parking
- Traffic flow improvements (including signal interconnects)
- Pedestrian/Bicycle facilities

The Southwest Conference of Mayors encourages projects that qualify as Transportation Control Measures (TCMs) to be submitted for funding consideration. TCMs are projects that encourage modes of transportation other than the single occupant vehicle or improve the efficiency of a roadway so that emission reductions are achieved.

### **Project Selection Process**

Project applications must be submitted to the Southwest Conference of Mayors' Planning Liaison by the specified dateline. The Conference staff will review each project proposal for completeness. All complete project applications will then be reviewed and ranked using the current ranking system by the Conference's Transportation Committee. Each project will receive a total point value, which will be used to prioritize projects.

The highest ranked projects will be placed on SCM's active program. The projects that do not achieve a high enough ranking will be placed on a contingency program. The number of projects that will be placed on the list will be constrained by the amount of STP funds projected to be available to the Southwest Conference of Mayors during each of the five federal fiscal years.

Once a project is on this list, it will be funded so long as:

- The five-year time period does not expire.
- The cost of the project does not increase by more than 20%.
- A quarterly status update is submitted to the Conference
- All requirements of the regional Active Program Management policies are met

### **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 SCM staff, in consultation with IDOT District 1 Bureau of Local Roads and Streets (BLRS) staff. Status updates may be submitted more often than required, at SCM's request 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 may result in significant project delay or the loss of funding for current and subsequent phases of projects.

### **STP Application Procedure**

Project applications will only be accepted during a call for projects, which will occur every two years. New projects cannot be added to the SCM program outside of the scheduled call for projects.

Application materials:

1. A signed letter from the municipality's Mayor addressed to the Chairman of the Transportation Committee, describing the project, committing to the match, a breakdown of the funding and what fiscal year each phase will be completed.
2. Project Map and description

Once all application materials are received, staff will score and rank the applications and develop a five-year active program of projects and a contingency program for consideration by the transportation committee, who will make a recommendation to the full membership.

All projects applications should be submitted at least two weeks prior to the call for projects deadline.

Project applications should be submitted to Program Coordinator, [transportation@swmayors.com](mailto:transportation@swmayors.com).

### **Funding**

The match ratio for a STP funded project is 80% federal funds and 20% local funds. Any projects approved before the year 2014 are under the funding ratio of 70% federal and 30% local. The maximum amount of federal funding for any single phase of a project is \$1,500,000. Any federal amount exceeding \$1,500,000 is the responsibility of the local municipality. Projects exceeding this amount will be considered depending on the project. This aligns with our policy of being flexible in order to encourage larger projects to apply for funding.

- Phase I Engineering (Preliminary Engineering)
- Phase II Engineering (Design Engineering)
- Phase III Engineering (Construction Engineering)

**Right-of-way** (ROW) acquisition costs **are not** eligible.

Right-of-way acquisition will be a 100% local responsibility and must be accomplished in accordance with federal land acquisition requirements.

Project(s) that have not initiated Phase I Engineering with IDOT since the call for projects in which they were initially programmed by the Conference must reapply for funding in the next call for projects unless Phase 1 engineering was specifically programmed in a later year.

Project(s) that have received IDOT Design Approval and have not been scheduled for an IDOT bid letting within three (3) years of said approval will need to re-apply for federal funds.

If there are any changes to a project programmed in the Southwest Conference's approved STP program, the Conference must be notified in writing and the Conference's Members must approve these changes. Program changes will then be submitted to CMAP for request changes be made to the TIP.

### **Non-Participatory STP Costs**

Non-participating costs are those which are paid 100% by a municipality or other agency and are not included in the STP (federal) portion of a project's cost. There are two reasons why an item may be considered non-participating: 1) the item is not eligible for STP funding (*required*), or 2) the item has been identified for full funding by the sponsor or other agency (*optional*), such as an item with low traffic benefits. The purpose of the *optional* non-participating costs typically is to increase a project's score in the project evaluation and project selection process. Note that along with the cost of a non-participating item, any benefits derived from that item will be removed from the project evaluation and project selection process.

### **Policy on Funding Cost Increases**

Cost increase in guaranteed projects pose difficulties for maintaining a fiscally constrained STP program. Project sponsors must inform Conference staff of any changes in project cost, as soon as the information becomes available. In addition, project sponsors must inform Conference staff of any cost increase beyond 20% of the original cost and submit a letter from the mayor requesting the increase. The additional funding request will be brought to the Transportation Committee for consideration and recommend approval from the full board.

### **Project Selection**

The Southwest Conference of Mayors will approve a list of projects, based on project ratings, STP funding marks and other factors they may wish to consider. Conference staff will provide CMAP and IDOT with the necessary information for inclusion of the approved projects in the Transportation Improvement Program (TIP).

A meeting with the project sponsor, Conference staff, IDOT and any other affected agencies will be held to identify and discuss critical or unusual problems.

The following criteria shall be considered by the Conference's Transportation Committee in formulating their recommendations for Surface Transportation Program projects:

1. Project Readiness
2. Multiple Jurisdiction Participation
3. Traffic Volumes (ADT)
4. Safety (Crashes)
5. Pavement Condition Rating
6. Small Community Bonus

7. Planning Factors:
  - a. Freight Movement
  - b. Green Infrastructure
  - c. Complete Streets
  - d. Inclusive Growth

### Proposed Scoring Breakdown for SCM Local STP Methodology

<b>Project Evaluation</b>		
<b>Category</b>	<b>Max Points</b>	<b>Possible Scoring</b>
Project Readiness	20	20, 15, 10, 5
Multiple Jurisdiction Participation	20	20, 15, 10, 5, 0
Traffic Volumes (ADT)	15	See Formula
Safety (Crashes)	10	10, 7, 5, 3, 0, 4
Pavement Condition Rating	10	10, 7, 3, 0, 4
Planning Factor: Freight Movement	10	10, 8, 5, 3, 1, 0
Planning Factor: Green Infrastructure	5	5, 2, 0
Planning Factor: Complete Streets	5	5, 0
Planning Factor: Inclusive Growth	5	5, 0
<b>Total</b>	<b>100</b>	

#### Project Readiness

- Phase II Engineering Complete (Pre-Final Plans submitted to IDOT) - 20 points
- Phase II Engineering Contract Executed – 15 points
- Phase I Engineering Report Completed – 10 points
- Phase I Engineering Report (PDR) Draft submitted to IDOT – 5 points

#### Multiple Jurisdiction Participation

- Financial Participation or Letter of Support  
(Jurisdiction includes IDOT, Cook DOT, Transit, Forest Preserve Districts, Townships)

5 points per participant. Up to 4 participants

Traffic Volumes (ADT)

ADT over 10,000 15 points ADT less than 10,000-point value determined by following calculation:  $(ADT \times 15)/10,000$

Safety (Crashes) using most recent three-year accident history

125% above IDOT average (8.275) - 15 points

IDOT average rate of 6.62 or greater - 12 points 75% of

three-year average rate (4.965) - 9 points 50% of three-

year average rate (3.31) - 6 points Below 50% of three-

year average rate - 0 points New alignment – 3 points

Pavement Condition Rating (using CMAP data collected for local programs)

Poor - 10 points

Fair - 7 points

Good - 3 points

Excellent - 0 point

New Alignment – 4 points

Planning Factor: Freight Movement

Percent Heavy Duty Vehicles

10%+ 10 points

8-10% 8 points

6-8% 5 points

4-6% 3 points

2-4% 1 point

0-2% 0 points

Planning Factor: Green Infrastructure

One green infrastructure element - 2 points

Two green infrastructure elements - 5 points

Planning Factor: Complete Streets

Adopted Complete Streets Ordinance – 5 points

Planning Factor: Inclusive Growth

Promote Inclusive Growth in project plans – 5 points

Proposed Scoring Breakdown for SCM Local STP Methodology  
- Pavement Rehabilitation

Pavement Rehabilitation		
Category	Max Points	Possible Scoring
Financial Commitment	20	20, 15, 10, 5, 1
Pavement Condition	30	20, 30, 10, 0
Traffic Volumes (ADT)	25	See Formula
Planning Factor: Freight Movement	10	10, 8, 5, 3, 1, 0
Planning Factor: Green Infrastructure	5	5, 2, 0
Planning Factor: Complete Streets	5	5, 0
Planning Factor: Inclusive Growth	5	5, 0
<b>Total</b>	<b>100</b>	

The intended purpose of a pavement rehabilitation program is to maintain or restore the surface characteristics of a pavement and to extend service life of the pavement assets being managed. The Pavement Rehabilitation category addresses the repair and resurfacing of existing roadways and is intended to provide interim improvement until reconstruction improvements are required. The Southwest Conference of Mayors has determined the following types of Pavement Rehabilitation Projects are eligible for STP funding through SCM:

- Local Agency Functional Overlay (LAFO)
- Local Agency Structural Overlay (LASO)
- Resurfacing

As the pavement management systems are used to determine the right treatment at the right time, rather than simply a “worst first” approach to project selection, SCM will evaluate each Pavement Rehabilitation project using the categories below. The selection criteria are designed to use federally approved performance measures to selection projects to improve the regions overall pavement condition. Each category will be assigned a weighted value. Pavement Rehabilitation projects are to receive up to 20% of the SCM’s STP funding on annual basis.



#### Financial Commitment

Projects can receive points based on their demonstrated leveraging of other funding sources. Points are awarded as follows to projects based on the amount of funding requested from the STP fund as a percent of the federally eligible share of the total project cost:

- Less than 20% - 20 points
- 20-40% - 15 points
- 40-60% - 10 points
- 60-80% - 5 points
- 80-100% - 1 point

#### Pavement Condition

- Poor - 20 points
- Fair – 30 points
- Good – 10 points
- Excellent – 0 points

#### Traffic Volumes (ADT)

ADT over 10,000 25 points  
ADT less than 10,000-point value determined by following calculation:  
 $(ADT \times 25) / 10,000$

#### Planning Factor: Green Infrastructure

- One green infrastructure element – 2 points
- Two green infrastructure elements – 5 points

#### Planning Factor: Freight Movement

##### Percent Heavy Duty Vehicles

- 10%+ 5 points
- 8-10% 4 points
- 6-8% 3 points
- 4-6% 2 points
- 2-4% 1 point
- 0-2% 0 points

#### Planning Factor: Complete Streets

- Adopted Complete Streets Ordinance - 5 points

#### Planning Factor: Inclusive Growth

- Promote Inclusive Growth in project plans – 5 points

## Incorporating Active Program Management in SCM's Local Methodology

- Training will be encouraged for all applicants to attend
- Status updates will be required quarterly for all active projects
- A letter from a Mayor will be required to show commitment for completing the project with federal funds.
- All must reapply after 3 years of no project movement
- Additional funding requests and change of scope of work go to Transportation Committee and then to full council for approval.
  - Staff can approve moving target letting dates
- Approval Process for ongoing active reprogramming
  - Schedule:
    - Current year can be approval from conference staff
    - Out year goes to Transportation Committee then full council
  - Scope:
    - Significant enough to influence rank or a minor change will be brought to Transportation Committee then full council
  - Cost:
    - Any reason for cost increase will be brought to Transportation Committee then full council
- SCM will take into consideration to use STP-L to other projects such as lighting, utility relocation and complete streets. The sponsor would have to be the municipality and scored by the funded scope.
- New project requests will not be allowed between calls
- SCM will utilize flexibility that the contingency program allows. If funding is not available for the current year of funds requested, that project is put on the contingency list.
- Contingency list will be scored and updated so if needed we can move ready projects into current program

## Overview of The STP Project Implementation Process

Once the Conference and CMAP have programmed a project, work can begin on engineering the improvement. To utilize STP funds, project design and construction must be in accordance with IDOT and Federal Highway Administration (FHWA) standards and criteria.

Public informational meetings and formal public hearings should be utilized throughout the course of the project to facilitate community understanding of the project, as well as comply with State and Federal rules and regulations, where applicable. For projects requiring land acquisition a formal public hearing process is required.

STP project implementation is a very involved and complicated process consisting of the following key steps:

1. Project Application and Prioritization
2. Municipality conducts Qualifications Based Selection (QBS) – Consultant Selection
3. Early Coordination Meetings

4. Environmental and Design Studies/Project Development Report
5. Illinois Project Review System (A-95)
6. IDOT/FHWA Review and Approval of Project Report
7. Public Hearing Requirements
8. Design Approval/Joint Agreement
9. Land Acquisition
10. Plans, Specifications and Estimates (P, S, & E)
11. Approval/Final Contract Plans
12. Final Processing for Letting/Award of Contracts

A brief description of each step is summarized below. This summary does not and should not substitute for a complete review if the *Federal-Aid Procedures Manual for Local Highway Improvements* published by the Illinois Department of Transportation, as well as on-going liaison with IDOT-Local Roads Staff.

### **Project Application and Prioritization**

Project applications must be submitted as directed by the Conference to be considered for STP funding. The application process requires that project sponsors contact IDOT-Local Roads Staff to review the project application, especially with regard to preliminary cost estimates, design and warrants for soil and/or pavement tests.

### **Consultant Selection**

STP projects submitted through the Southwest Conference are bound by the IDOT requirements for consultant selection. IDOT staff can provide valuable insight and guidance in this process; their procedures are designed to make consultant selection as smooth and timely as possible. A publicly employed resident engineer is required to be “in responsible charge” of construction for federally funded projects.

Please reference Chapter 5 *Agreements* in the Bureau of Local Roads and Streets Manual for information on the Qualifications Based Selection for Engineering and Professional Developments.

Because the STP process is so specialized and time consuming, it is highly recommended that municipalities consider hiring a consultant, particularly one knowledgeable of the federal process and IDOT requirements. This outside expertise may result in a timelier completion of a STP project and minimize delay.

### **Early Coordination Meetings**

The initial IDOT review of a sponsor’s project in the application process is one example of early coordination. Coordination can be achieved through informal meetings and correspondence with the appropriate agencies and is designed to pinpoint potential problems early on, before they lead to delay at a more critical step in the process. These meetings address such issues as IDOT and FHWA design expectations, potential environmental impacts, related social or economic impacts, etc. Further coordination should occur before engineering consultant selection so that Requests for Proposals can include the proper specifications for scope of study and consultant qualifications.

A formal meeting between the project sponsor, IDOT-District One Local Roads staff and Conference staff should proceed the start of preliminary engineering for all STP projects.

## Highlights of STP Design/Improvement Standards

All STP projects must be designed according to state/federal standards as contained in documents such as the *Federal-Aid Procedures for Local Highway Improvements* and the IDOT Design Manual. Sponsors submitting STP project applications should review and familiarize themselves with the design standards contained in these documents before determining preliminary project design or cost estimates. Submittal of projects not designed according to these standards may result in unanticipated cost increases, delay in project implementation and even removal from the STP program. To prevent such circumstances from arising, early coordination with IDOT is essential.

Following is a list of IDOT/FHWA design standards and requirements that are commonly overlooked in the development of project design:

- A 30-foot minimum (face-to-face of curb) cross-section for two-lane urban collector streets.
- Storm sewers designed for a 10-year storm; where storm sewer outlets are restricted design frequency less than 10 years may be approved.
- Storm sewers must be an integral part of the highway improvement and should be documented as such. STP funding can be utilized only for storm sewer and other drainage work that is within the road right-of-way.
- Storm sewers must be built entirely within the limits of the project, except in the case of outfalls.
- Angle parking will generally not be approved unless an auxiliary lane is provided to prevent conflict between parking maneuvers and through traffic.
- IDOT and the Federal Highway Administration will look beyond the immediate scope or limits of the project in order to incorporate solutions to other safety or operational problems currently experienced. This should be anticipated in the design of the project.
- Project design should be based on a twenty-year design traffic projection.
- Twelve-foot lane widths are generally required for widening of urban streets. Where right-of-way is restricted, lane widths of a minimum of 10 feet will be considered on resurfacing projects.
- High accident locations must be identified and improved on all projects. Wet weather accident analysis is also required.
- Pavement overlays should be based on the structural adequacy of existing pavement.
- Early coordination with utility companies is essential.
- Pavement markings, signing, striping and traffic control on resurfacing, reconstruction, widening and other projects must conform to the Illinois Manual on Uniform Traffic Control Devices.
- Road cross-sections must be continuous for STP projects.
- Railroad-highway grade crossings must be included (if not improved) in the project scope of work.