NORTH SHORE COUNCIL OF MAYORS SURFACE TRANSPORTATION PROGRAM (STP) GUIDEBOOK

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I. Introduction

A. Overview

Federal surface transportation funding operates under multiyear authorizations. The current federal authorization is the Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users (SAFETEA-LU). SAFETEA-LU provides federal funding, guidelines and requirements for federally funded transportation projects.

Under SAFETEA-LU, the Surface Transportation Program (STP) provides funding to the state departments of transportation. In Illinois a portion of this funding is designated by the Illinois Department of Transportation (IDOT) for the Council of Mayors system. Northeastern Illinois is comprised of eleven regional Councils of Mayors and the City of Chicago. Each local council oversees the planning and programming of these STP funds within their own region.

The primary responsibility of the North Shore Council of Mayors is to program federal Surface Transportation Program (STP) funds. The STP provides flexible funding states and localities can use for projects on any federally eligible roadways, bridge projects on any public road, transit capital projects, or intracity and intercity bus terminals and facilities. A portion of STP funding is designated for the Chicago metropolitan region. Once STP funding reaches the region, it is split between the suburban Council of Mayors system and the City of Chicago. The North Shore Council of Mayors is one of eleven suburban subregional councils in the Chicago metropolitan region that receives STP funding. There are six councils in suburban Cook County, and there is one council for each of the five collar counties. Each council is responsible for programming an annual allocation of STP funds. The suburban allocations are based on population within a council area. At the beginning of each federal fiscal year (FFY), the Chicago Metropolitan Agency for Planning (CMAP) Council of Mayors Executive Committee approves the STP funding allocations. Local municipalities in the North Shore Council apply for these funds. The North Shore Council is comprised of Evanston, Glencoe, Glenview, Golf, Kenilworth, Lincolnwood, Morton Grove, Northbrook, Northfield, Skokie, Wilmette and Winnetka.

Each Council has developed a set of project selection guidelines. These guidelines set the parameters by which the Councils program STP funds to locally submitted projects. The *Go To 2040* regional plan helped guide the development of this document. *Go To 2040* states, "To improve the efficiency and effectiveness of our transportation system, the first requirement is to spend existing resources more wisely. Investment decisions should be based on performance-driven criteria, rather than arbitrary formulas. The region should prioritize efforts to modernize our significant existing assets we have, rather than continuing to expand the system. Investments of all types should take a multimodal approach, with consideration for transit users, bicyclists, and pedestrians." These broad principles guide the project prioritization for the North Shore Council as outlined in subsequent sections.

The North Shore Council funds phase II engineering, phase III engineering and construction of highway, transit, bicycle and other transportation projects. The Council requires a thirty percent local match for all phases receiving federal funds. The North Shore Council of Mayors will pay the remaining 70 percent match through Surface Transportation Program (STP) funds. Phase I engineering and right-of-way acquisition

are the responsibility of the project sponsor.

Project applications are reviewed by the North Shore Council of Mayors Technical Committee. The Technical Committee recommends projects to the North Shore Council of Mayors. The Council issues a call for projects when funding is available within the five-year program. This allows the Technical Committee to compare all project applications when making programming decisions. Project selection is guided by the quantitative and qualitative analysis contained in Section II.

The Council's Technical Committee will seek out projects that qualify as Transportation Control Measures (TCMs). TCMs are projects that encourage modes of transportation other than the single occupant vehicle. Example of such projects include, but are not limited to, bicycle facilities, commuter rail stations and commuter parking lots.

B. Key Terms

1. Planning Liaison

The Planning Liaison coordinates the Surface Transportation Program for the North Shore Council of Mayors. The Liaison also represents the Council to county, state, regional and federal transportation agencies.

2. North Shore Council of Mayors

A cooperative body of municipalities comprised to plan and program the Surface Transportation Program for the North Shore region. The North Shore Council of Mayors membership includes the mayor or president from each municipality in the North Shore Council.

3. North Shore Council of Mayors Technical Committee

The committee contains municipal engineers (or other staff) that review and recommend projects for STP funds. Membership on the Technical Committee is made up of one engineer from each municipality.

II. Project Application and Selection Process

A. Project Submittal Process

1. Call for Projects

When STP funds are available within the five-year program, the North Shore Council of Mayors will issue a call for projects. The Planning Liaison may accept applications outside of a call for projects; however, the Technical Committee will only consider programming new projects after a call for projects. Project applicants should be given adequate notice of call for projects. In addition, project applicants should have no less than sixty days between the call for projects and the application deadline.

2. Project Scoping

Project applicants wishing to apply for STP funds must first contact the Planning Liaison and the Bureau of Local Roads at the Illinois Department of Transportation (IDOT) to discuss the scope of the project. Project applicants should get initial concurrence from IDOT regarding the project's scope, federal and state requirements and schedule. Project scoping prior to submittal of an application is extremely important. Requirements associated with the use of federal funds and the IDOT review process can delay and add costs to projects. Poorly scoped projects can face significant delays and considerable cost increases.

3. Project Application

Following project scoping, project applicants will complete the project application form provided to them by the Planning Liaison and located at the back of this packet.

4. Project Review

The Planning Liaison, with the assistance of the Technical Committee, shall review each project application in accordance with the project prioritization system outlined in Section III. The Planning Liaison will assign a "benefit number" which shall be used to compare project applications.

Once each project has been assigned a benefit number, the project applications will be placed on the agenda of a Technical Committee meeting. Prior to the project selection meeting of the Technical Committee, the Planning Liaison shall distribute copies of the project applications to all committee members. At the meeting, the project applicants should be prepared to give a brief presentation and answer questions concerning the project. The Technical Committee will review project applications, project rankings and available funding in making programming recommendations. The Technical Committee will recommend projects within the five year program and may choose to recommend projects for inclusion on a multiyear B list.

5. Project Selection

The North Shore Council of Mayors will consider the Technical Committee's programming recommendation at its next regular scheduled meeting. Following the North Shore Council's approval, the Planning Liaison will submit the required documentation to the Chicago Metropolitan Agency for Planning (CMAP) so that the project may be considered for addition to the region's Transportation Improvement Program (TIP).

6. Project Kick-Off

Following inclusion in the TIP, the project sponsor and Planning Liaison will schedule a kick-off meeting with IDOT's Bureau of Local Roads. Similar to the project scoping, this meeting will confirm the project scope, engineering requirements and schedule. Although Phase I Engineering is not an eligible for STP funding, the project sponsor must hold a kick-off meeting at the beginning of Phase I Engineering to ensure that all federal and state requirements will be met.

The municipality must work closely with IDOT's Bureau of Local Roads. Any work that proceeds without the consent of IDOT may be ineligible to receive STP funding.

B. Outside Agency Applications

Outside agencies, such as Cook County, townships and transit agencies have access to STP funds for capital costs of projects by obtaining the co-sponsorship of the project from at least one North Shore Council of Mayors member. This municipality would then present the project to the North Shore Council of Mayors Technical Committee for consideration for STP funding. Any applications from outside agencies must be for STP eligible projects.

III. Project Prioritization

A. Overview

The following project selection categories shall be considered by the Technical Committee in formulating their recommendations for STP projects.

Project Selection Category	Weight	
Regional Transportation Significance	20%	
Safety	20%	
Pavement Condition	20%	
Congestion Mitigation	15%	
Complete Streets/Multimodal	15%	
Project Readiness	5%	
Local Need	5%	

The Planning Liaison will score each project on a 100 point scale. Point totals in the Congestion Mitigation and Complete Streets/Multimodal categories will be multiplied by a weighting factor.

B. Regional Transportation Significance (20% of project total)

The Regional Transportation Significance category aims to prioritize projects on roadways that are most significant to the region's transportation network. For an intersection improvement project, the higher roadway classification will be used for scoring.

Roadway Classification	Points (10 point maximum)
Other Principal Arterial	10
Minor Arterial	5
Collector	0
Number of Contributing Sponsors	Points (10 point maximum)
3 or more sponsors	10
2 or more sponsors	5
1 sponsor	0

Please note: Project sponsors must provide a written explanation if a project will result in a jurisdictional transfer.

C. Safety (20% of project total)

The Safety category aims to prioritize projects were major safety concerns exist and can be addressed by appropriate engineering solutions. For vehicular crashes, the project sponsor is asked to provide the average number of crashes over the last three years. CMAP data will be used for pedestrian and bicycle crashes. The project must address the accident situation and be reasonably expected to lower the accident rate to qualify for safety points. Consequently, a project sponsor must submit information on project components that will address safety issues.

Vehicular Crashes	Points (5 point maximum)
Top 25% of all applications	5
Top 50% of all applications	3
Bottom 50% of all applications	0
Pedestrian Crashes	Points (5 point maximum)
Top 25% of all applications	5
Top 50% of all applications	3
Bottom 50% of all applications	0
Bicycle Crashes	Points (5 point maximum)
Top 25% of all applications	5
Top 50% of all applications	3
Bottom 50% of all applications	0
Crash Severity ¹	Points (5 point maximum)
Type K and/or A crashes	5
No Type K and/or A crashes	0
No Type Ranayor A crashes	U

D. Pavement Condition (20% of project total)

The Pavement Condition category aims to prioritize projects most in need of rehabilitation and repair. A subgroup of the Technical Committee will review pavement conditions for all project applications and rank on scale of 1 to 10 as follows.

Condition Rating	Points (20 point maximum)
1 (extremely poor)	20
2 to 3 (poor)	10
4 to 6 (fair)	5
7 to 10 (good)	0

E. Congestion Mitigation (15% of project total)

The Congestion Mitigation category aims to prioritize projects on roadways with severe congestion that threatens the transportation utility of a roadway or intersection. The project must address the level of service to qualify for congestion mitigation points. The project sponsor is asked to provide supporting documentation of the level of service improvement.

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 $^{^{1}}$ Type "K" crashes include a fatality and Type "A" crashes include an incapacitating injury.

Level of Service (Existing) F F	Points (15 point maximum) 15 10
A-D	0
Level of Service Improvement 3 levels	Points (15 point maximum) 15
3 levels 2 levels	
3 levels	15

F. Complete Streets/Multimodal (15% of project total)

The Complete Streets/Multimodal category aims to prioritize projects that account for all users of the transportation network. The Chicago Metropolitan Agency for Planning will conduct a proximity analysis for bicycle and pedestrian network improvements. The Planning Liaison will determine scoring based on the proximity analyses and application information.

Transit* Transit Improvement Transit Access Improvement No Transit Improvements	Points (10 point maximum) 5 5 0
Pedestrian Pedestrian Network Improvement Pedestrian Improvement No Pedestrian Improvements	Points (10 point maximum) Up to 10 5 0
Bicycle Bicycle Network Improvement Bicycle Improvement No Bicycle Improvements	Points (10 point maximum) Up to 10 5 0
Planning Project appears in local, subregional or regional plan Project not in any adopted plans	Points (5 point maximum) 5

^{*}A project with transit components can receive points for an improvement (bus pullout, transit shelter, transit signal priority, etc.) and for an access improvement (sidewalk to transit stop or station, bicycle access, etc.).

G. Project Readiness (5% of project total)

The Project Readiness category aims to prioritize those projects that are closer to construction. Given the complexities that go along with federal funding, project readiness is important for spending STP funds within a reasonable timeframe.

IDOT approved Phase I ReportPhase I underway through IDOTProject has not started Phase I0

H. Local Need (5% of project total)

The Local Need category aims to prioritize projects in communities that have not had the assistance of STP funding for their transportation system.

Years Since Last STP Project Points (5 point maximum)

Over 10 Years 5

I. Qualitative Factors

Project sponsors will be asked to provide a narrative regarding the air quality benefits of a project and its innovative components. The Technical Committee will consider these factors when making programming decisions. Additionally, the Technical Committee may consider other qualitative factors when making programming decisions.

IV. Programming Guidelines

A. Eligible Routes

All projects must be on STP eligible routes (federal-aid eligible). Routes must have a functional classification as a "collector" or higher. STP eligible routes serve a regional purpose and must serve more than a local land access function. Project applicants can review current roadway classifications at the following websites:

IDOT Township Maps - http://www.dot.il.gov/maps/fiveyear/fiveyrmaps.html

CMAP interactive map - http://data.cmap.illinois.gov/roadways/

The STP provides flexible funding. Under federal provisions, bridge projects on any public road are eligible for STP funding. In addition, carpool, pedestrian, bicycle and safety projects may be implemented with STP funding on roads of any functional classification.

B. Eligible Projects

The following is a partial list of projects eligible for STP funding. Should a project applicant be unsure of a project's eligibility, contact the Planning Liaison.

- Construction, reconstruction, restoration and rehabilitation of roads and bridges
- Highway and transit safety improvements
- Traffic signalization projects
- Intersection improvements
- Park & ride facilities
- Bicycle and pedestrian facilities
- Wetland mitigation, wetland banking, landscaping and mitigation of water quality impacts if undertaken with an approved STP project

SAFETEA-LU encourages funding for projects classified as Transportation Control Measures. These projects are:

- Programs for improved public transit (capital costs only)
- Restriction or construction of certain roads or lanes for use by high occupancy vehicles (HOV lanes)
- Employer-based transportation management plans, including incentives
- Trip reduction ordinances
- Traffic flow improvement programs that achieve emission reductions
- Fringe and transportation corridor parking facilities serving high occupancy vehicle programs or transit service
- Programs to limit or restrict vehicle use in downtown areas or other areas of emission concentration
- Programs for secure bicycle storage facilities and other facilities including bicycle lanes, for the protection and convenience of bicyclists, in both private and public areas
- Programs for provision of all forms of high occupancy vehicles

- Programs to limit portions of road surfaces or certain sections of the metropolitan area to the use of non-motorized vehicles or pedestrian use, both as to time and place
- Programs to control extended idling of vehicles
- Employer-sponsored programs to benefit flexible work schedules
- Programs and ordinances which, as part of the transportation planning and development efforts of a locality:
 - o Facilitate non-automobile travel
 - o Encourage the provision and utilization of mass transit, or
 - o Generally reduce the need for single-occupant vehicle travel
 - These include programs and ordinances applicable to new shopping centers, special events and other centers of vehicle activity
- Programs for new construction and major reconstruction of paths, tracks or areas solely for use by pedestrians or other non-motorized means of transportation when economically feasible and in the public interest.

C. Project Requirements

Before submitting an STP application, project applicants must complete the following:

- Contact the Planning Liaison and the Illinois Department of Transportation to discuss the project's scope, timetable and estimated costs (see Section II.A.2)
- Confirm that the project is on a STP eligible route (see Section III.A)
- Confirm that the project work type is STP eligible (see Section III.B)
- Confirm that the project sponsor can fund the required local match (see Section V.B)

D. Regional Projects

The Technical Committee shall accept proposals for regional projects and may develop its own project proposals. Proposals for regional projects must go through project scoping and have the support of the relevant jurisdictions before the Technical Committee will consider programming funds to regional projects.

E. Resurfacing and Local Agency Pavement Preservation (LAPP) Projects

Over the five-year program, the North Shore Council of Mayors will fund a minimum of five resurfacing or LAPP projects; however, resurfacing and LAPP projects cannot exceed twenty percent of the STP funding in the five-year program.

F. Project Implementation

Once a project is programmed for construction in a fiscal year, the project may only be moved back two fiscal years. If a further delay is sought, the municipality must make their case to the Technical Committee, who then has the option of granting the programming change, or dropping the project from the program.

V. Funding Parameters and Policies

A. Eligible Phases

The North Shore Council of Mayors dedicates STP funding for Phase II Engineering and Construction (including Construction Engineering). Phase I Engineering and any Right-of-Way acquisition are the responsibility of the project sponsor.

B. Local Match Requirements

The North Shore Council of Mayors allocates STP funding to projects based on a 70/30 federal/local match ratio. Project sponsors may use federal (STP) funds for up to 70 percent of the eligible expenses. Project sponsors are responsible for the remaining 30 percent and any non-participating expenses.

C. Funding Limit

The North Shore Council of Mayors limits the funding a single project can receive to 150 percent of the Council's annual STP allocation.

D. Cost Increase Policies

All cost increases will be funded at a 70/30 match ratio unless otherwise specified. Project sponsors seeking cost increases will be required to submit a written request to the Planning Liaison. The written request must outline the updated project costs, explain the cause for the cost increase and state that the project sponsor agrees to pay the 30 percent local match.

1. Cost Increase Requests Less Than 20 Percent

A project cost increase will be automatically funded up to and including 20 percent of the programmed amount. Approvals will be subject to review and consideration by the Planning Liaison based on the following criteria:

- a. Funding availability In the event that funding is not available during that particular fiscal year, the Planning Liaison may recommend deferring another project to a later fiscal year. This will be subject to North Shore Council approval via the Technical Committee.
- b. Funding limit If a project has reached the individual project funding limit (see Section IV.C), the Planning Liaison will reject the cost increase request. The Planning Liaison may approve a partial cost increase up to the funding limit.

2. Cost Increase Requests Exceeding 20 Percent

Project cost increases that exceed 20 percent of the programmed amount within a particular fiscal year will be subject to approval by the North Shore Council of Mayors via the Technical Committee. Approval will be contingent upon the following:

- a. Programming constraints and funding availability within that fiscal year.
- b. Special circumstances that resulted in an increase in project costs such as additional improvements that are being required by federal, state and/or county transportation agencies not considered in during the project scoping process.
- c. Project sponsor has not petitioned the Council for cost increases for the same project during that particular fiscal year.²

3. Limit on Cost Increases

The Technical Committee shall limit large cost increase requests as outlined below:

- a. If the programmed STP funding for a project phase is less than 25 percent of the Council's annual STP allocation, then the Council will not consider cost increases in excess of 100 percent of programmed STP funding for the project phase.
- b. If the programmed STP funding for a project phase is between 25 and 50 percent of the Council's annual STP allocation, then the Council will not consider cost increases in excess of 75 percent of the programmed STP funding for the project phase.
- c. If the programmed STP funding for a project phase is more than 50 percent of the Council's annual STP allocation, then the Council will not consider cost increases in excess of 50 percent of the programmed STP funding in the project phase.

Percent of Annual Allocation	Maximum Cost Increase Request
< 25 percent	100 percent
Between 25 and 50 percent	75 percent
> 50 percent	50 percent

If the cost increase request exceeds the limits outlined above, the project sponsor may chose to remove the project from the program and have it reconsidered during the next programming cycle.

Proper project scoping (see Section II.A.2) is important in developing project application cost estimates in order to avoid large cost increases.

² In the event that a project sponsor receives approval from the Council for a cost increase that exceeds 20 percent of the programmed amount, then any cost increases that arise thereafter for the same project during that fiscal year will be the responsibility of the local agency.

4. Cost Increase Requests with a Negative Balance

If the Council has a negative program balance and the cost increase request will require an advance funding request, then the Council via the Technical Committee must approve the cost increase request, regardless of the size of the request.

5. Cost Increase Requests Between Regular Technical Committee Meetings

All cost increase requests submitted between regular quarterly meetings of the Technical Committee shall be added to the agenda of the next quarterly meeting, unless a project's letting or local agency agreement is contingent on approval of the cost increase request before the next quarterly meeting. In such cases, the Technical Committee can vote via fax/email, with a simple majority of the twelve members constituting the requisite votes for passage. A fax/email vote shall not be used if the cost increase request is:

- d. Over 35 percent of the currently programmed project cost estimate, or
- e. Over 25 percent of the North Shore Council's annual STP allotment for the federal fiscal year.

If either of these two conditions is met, then the project shall require a special meeting of the Technical Committee to act on the request.

6. Inflationary Cost Increases

The Planning Liaison will adjust project costs for all programmed and MYB list projects annually by 3 percent to account for inflation. These changes will be subject to Council approval via the Technical Committee.

VI. Council Prerogative

The North Shore Council of Mayors has the authority to grant special exceptions to any of the above guidelines if in its opinion the circumstances so dictate.

LIST OF NORTH SHORE COUNCIL OF MAYORS MUNICIPALITIES

The North Shore Council of Mayors is comprised of the following municipalities.

Evanston
Glencoe
Glenview
Golf
Kenilworth
Lincolnwood
Morton Grove
Northbrook
Northfield
Skokie
Wilmette
Winnetka