



State of Illinois  
Illinois Department of Transportation

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Illinois Department of Transportation

# Metropolitan Planning Organization Cooperative Operations Manual

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Illinois Department  
of Transportation

# **METROPOLITAN PLANNING ORGANIZATION COOPERATIVE OPERATIONS MANUAL**

Prepared and Published by

Bureau of Planning  
Office of Planning & Programming  
Illinois Department of Transportation

Springfield, Illinois

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## DOCUMENT CONTROL AND REVISION HISTORY

The Illinois Department of Transportation Metropolitan Planning Organization Cooperative Operations Manual is owned by the Office of Planning and Programming, Bureau of Planning. The manual is reviewed for adequacy and updated by the Bureau of Planning as needed.

### Distribution

Portable Document Format (PDF) has been selected as the primary distribution format of this manual. The official version is available on the Policy Center site on InsideIDOT.

This manual is no longer distributed in hard copy. Individuals who choose to print a copy of the manual are responsible for ensuring use of the most current version.

### Revision History

<u>Revision Date</u>	<u>Description</u>	<u>Approval</u>
07/14/17	Updated cover and added a separate Title Page. Added a Document Control and Revision History Section. Update map in Appendix A)	Holly Ostdick
02/03/20	Added Section E. Performance Management to Chapter II. Updated Chapter IV, Section B, Subsection 1. Revising the duration of the IGA/3-C Planning Agreement from 12 months to 18 months. Added performance management language to Chapter VIII, Section A. and Chapter IX, Section C. Updated Appendix A., Section A. contact information and Section E. Map. Added NHFP to Appendix E. matrix.	Holly Bieneman
2021-2022	Added Chapter II, Section D, Item 4 IDOT Internal Audit. Updated Chapter II, Section E Performance Management to include PTASP, Added Chapter III, Section G Performance Management. Added Chapter V, Section D BOBS 2832 Reporting Requirements. Added performance management language to Chapter VIII, Section A. and Chapter IX, Section C. Updated Appendix A., Section A & C contact information and Section E. Map. Added NHFP to Appendix E. matrix. Updated terminology and hyperlinks throughout document.	

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## CHAPTER I – THE PURPOSE OF THIS MANUAL

The title of this document is drawn from the fact that transportation planning is a cooperative process, involving the interaction between willing partners: local officials working through their Metropolitan Planning Organizations (MPOs)<sup>1</sup> and other relevant, interested parties at the regional level, and the state’s transportation agency. By working together, state and local interests are best able to foster the involvement of all relevant stakeholders through proactive public engagement activities – whether they are held individually or in partnership – to develop an integrated multimodal transportation system that meets local needs as well as those of the state at-large.

That is, of course, the meaning of cooperation; that all parties work together to ensure a mutual benefit. One of those benefits is to meet the requirements of federal law, which calls for states and local partners to engage in a transportation planning process that is *Continuing, Comprehensive, and Cooperative*; what is often called 3C planning. Working together in an effective partnership allows this to happen.

This is not always a simple or easy task. State transportation agencies must not only operate under various federal and state laws, but under certain rules and regulations that MPOs must also follow. This must be done in a system in which MPO staff and leadership are partners with Illinois Department of Transportation (IDOT) staff and leadership. This means that cooperation requires direct, open, and honest collaboration between the two parties as they seek ways to advance the goals of both.

This document also serves as a reference for MPOs and IDOT, providing basic information regarding agreed upon processes and procedures through which the two parties will conduct the 3C planning process. That being the case, this Cooperative Operations Manual is intended to meet three purposes:

- To provide MPOs with information needed to operate efficiently and effectively within the Federal and State of Illinois’ transportation planning process;
- To advise and clarify the individual roles and responsibilities of IDOT and MPOs in that process; and
- To establish processes and procedures through which MPOs and IDOT will exchange information and interact in order to achieve a 3C transportation planning process within the State.

To achieve these purposes, this manual is divided into three sections. Chapter II addresses the role and responsibility of IDOT in the transportation planning process, Chapter III discusses the role and responsibilities of MPOs, and Chapters IV-XI address specific procedural aspects of this relationship.

Minor updates (contacts, legal, etc.) to this document will be made by IDOT staff as needed. An updated version will then be made available on the [IDOT website](#) and MPOs will be notified. The latest revision date will be indicated in the footer of the document. If major revisions are needed, all stakeholders will be invited to contribute to revising the manual.

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<sup>1</sup> “A Metropolitan Planning Organization (MPO) is the policy board of an organization created and designated to carry out the metropolitan transportation planning process. MPOs are required to represent localities in all urbanized areas (UZAs) with populations over 50,000, as determined by the U.S. Census. MPOs are designated by agreement between the governor and local governments that together represent at least 75 percent of the affected population (including the largest incorporated city, based on population) or in accordance with procedures established by applicable state or local law.”

Source: <https://www.transit.dot.gov/regulations-and-guidance/transportation-planning/metropolitan-planning-organization-mpo>



## CHAPTER II – THE ROLE AND RESPONSIBILITIES OF THE ILLINOIS DEPARTMENT OF TRANSPORTATION

IDOT's role in transportation planning is to ensure a 3C planning process is carried out at the statewide and metropolitan level that is consistent with all state and federal laws. This requires maintaining a collaborative process between and among IDOT, MPOs, and public transit operators. To carry out its role, IDOT has several important responsibilities.

### A. PLANNING PROCESS SYSTEM MANAGEMENT

As the administrator of Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) planning funds, IDOT is responsible for working collaboratively with MPOs to establish an effective and efficient multimodal transportation system within the State. As part of this responsibility, IDOT is required by [23 Code of Federal Regulations \(CFR\) § 450.314](#) to enter into a cooperative agreement with each MPO that clearly identifies the responsibilities of each for carrying out the metropolitan planning process and accomplishing the transportation planning requirements of state and federal law. IDOT will also incorporate each MPO's Transportation Improvement Program (TIP) into its Statewide Transportation Improvement Program (STIP) by reference. To assist in meeting its responsibilities, IDOT is represented on the Technical and Policy Committees of each MPO. IDOT encourages MPO's to not combine or schedule immediate back-to-back meetings of the Technical and Policy Committees. It also recommends MPO local member governments/agencies not appoint the same representative to serve and vote on both committees.

### B. PROVISION OF ALLOCATED PLANNING FUNDS

IDOT is responsible for the allocation of planning funds to all MPOs based upon the FHWA approved [distribution formula](#). This allocation is made to MPOs pursuant to federal law and in a timely way. As sub-recipients of planning funds, MPOs are required to carry out all provisions of federal law. IDOT's responsibilities include the review and approval of MPO Unified Planning Work Programs (UPWP). This review and final Uniform Grant Agreements (UGAs) to provide funding to an MPO shall be completed by the beginning of the state or MPO fiscal year. Most MPOs in Illinois run on the State Fiscal Year (SFY) which begins July 1<sup>st</sup> of each year.

### C. MONITORING

In accordance with federal law, IDOT is responsible for monitoring activities performed by MPOs to ensure work is being managed and performed satisfactorily and time schedules are met. As part of this responsibility, IDOT must ensure that funds are expended for eligible costs and activities in accordance with [23 CFR § 420.113](#), [2 CFR Chapter 1](#), and [2 CFR 200](#) (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Final Rule).

### D. COORDINATION AND COOPERATION

To foster coordination and cooperation with all MPOs, IDOT supports the following:

#### 1. MPO Council

IDOT shall work with an organization (hereinafter, "MPO Council") representing MPO interests. The MPO Council may be organized by IDOT or established by MPOs themselves, with the form and format of the MPO Council at the discretion of MPOs.

The MPO Council should meet no less than quarterly to address issues that come before it and to cooperatively determine optimal solutions for transportation planning issues.

MPO Council meetings should promote the 3C planning process through comprehensive discussions and interactions to achieve these goals. However, the existence of a MPO Council does not preclude IDOT's responsibilities to achieve a 3C planning process by working in partnership with MPOs. IDOT responsibilities include fully interacting with MPOs as policy and procedural changes are contemplated by the State, taking MPO needs and input into consideration and vice versa.

## **2. Metropolitan Planning Managers**

The primary way IDOT will directly and effectively communicate and collaborate with MPOs is through its [Metropolitan Planning Managers](#) (Metro Managers). Metro Managers are a key element of the cooperative relationship between IDOT and an MPO as they are most often interacting with an MPO and its staff. Several administrative duties performed by Metro Managers are indicated in the sections below, but among their most important responsibilities are to give each MPO timely and accurate answers to their inquiries and assist the MPO in solving problems.

Another important responsibility of Metro Managers is to provide timely information to each MPO. This means IDOT will quickly and accurately inform MPOs of any IDOT activities, actions, programs, or projects that may be relevant. It also requires IDOT to be a willing supplier of data and other information to MPOs, and that all data collected and maintained by IDOT will be shared to each MPO in a timely manner and in useful formats, such as by the boundaries of their [Metropolitan Planning Area \(MPA\)](#), when appropriate.

Although the Metro Manager should be each MPO's primary contact for questions regarding policies and procedures at the department, it does not mean the MPO should have contact only with the Metro Manager. It would be counterproductive to stop the valuable communication that takes place between IDOT District and MPO staff as well as other entities within IDOT. Metro Managers are there to help in any way they can, including, but not limited to, meeting notifications, general announcements from FHWA or FTA, updates on funding, etc. The best communication between IDOT and MPOs happens when a strong relationship with a Metro Manager has been cultivated.

## **3. Statewide Planning**

Statewide Planning facilitates numerous efforts at the Department that can affect MPOs. Given this, it is important that MPO input and work plans are considered while developing Statewide Planning programs. Coordination of planning activities throughout the state, whether by a MPO or State, will result in economies of scale and decrease duplication of efforts. To assist in improving coordination, any Statewide planning efforts occurring within an MPO's boundaries should be included in that MPO's UPWP.

Federal planning funds are occasionally available to MPOs as additional resources to conduct planning above the federal metropolitan transportation planning program funds. State planning funds (non-federal) are also occasionally available, depending on state legislative action, and can be used to match federal metropolitan planning funds. To obtain additional federal statewide planning funds

or state planning funds, a request should be made to the appropriate Metro Manager, including a summary of what they will be used for.

#### 4. IDOT Internal Audit

The Bureau of Planning has and will continue to address any findings from internal audits. Planning staff has implemented a new internal MPO Meetings and Contacts tracking sheet, which is on the IDOT SharePoint site. Metropolitan Planning Managers must use this sheet to document MPO meetings attended, topics discussed, and communication with MPO staff on issues pertinent to the MPO and IDOT.

The SharePoint site will also be utilized to store documentation of MPO monitoring activities, including agendas and minutes from MPO meetings attended by planning staff. This provides supporting documentation of MPO on-site visits and communication in addition to the tracking sheet.

IDOT Planning staff will utilize the SharePoint site to file final MPO documents and performance reports.

## E. PERFORMANCE MANAGEMENT

Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) and the subsequent Fixing America's Surface Transportation (FAST) Act requires incorporation of performance-based planning and programming to be used in the development of Metropolitan Transportation Plans (MTP) and Transportation Improvement Programs (TIP). [23 CFR § 450.206\(c\)](#) describes the state's responsibilities for the establishment of performance goals, measures, and targets, in coordination with MPOs, and the use of a performance-based approach to transportation decision-making to support national goals.

[23 CFR § 450.314\(h\)](#) provides that MPO(s), State(s), and the providers of public transportation shall jointly agree upon and develop specific written provisions for cooperatively developing and sharing information related to transportation performance data, the selection of performance targets, the reporting of performance targets, the reporting of performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO ([23 CFR § 450.306\(d\)](#)), and the collection of data for the State asset management plan for the National Highway System (NHS).

The State of Illinois Department of Transportation has executed agreements with MPOs and transit providers identifying how the target setting process is coordinated between parties and the obligations of parties for all performance measures.

The State of Illinois Department of Transportation has set targets for each performance measure. IDOT and MPOs will collaborate for the purposes of drafting statewide performance targets. For highway-based performance measures (PM1, PM2, PM3), MPOs will have 180 days from the date the state has issued its statewide performance targets to either formally adopt the state's targets or establish their own. Targets relating to public transit must be set in coordination with public transit agencies operating within each MPA. Official action must be taken by the MPO Policy Committee unless the Policy Committee has delegated authority to a lesser committee.

It is the responsibility of IDOT to report targets within a portal as well as ensuring the STIP and Statewide Long Range Transportation Plan indicate how identified policies and projects will move (or not) toward accomplishing these targets.

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It is the responsibility of MPOs to ensure their TIP and Metropolitan Transportation Plan indicate how identified policies and projects will move (or not) toward accomplishing their targets.

Statewide targets for Transit Asset Management and Public Transit Safety (PTASP) are reported by IDOT or transit providers in the National Transit Database (NTD). IDOT reports Safety targets in the Highway Safety Improvement Program (HSIP) Annual Report. Final statewide targets for Pavement and Bridge asset management and System Performance will be reported every two years in the State Performance Report, which is developed through a portal from FHWA.

## Performance Management Summary

<u>Rule</u>	<u>Measures Needs targets for:</u>
Transit Asset Management (TAM)	<ol style="list-style-type: none"> <li>1. Equipment - State of Good Repair</li> <li>2. Facilities – State of Good Repair</li> <li>3. Infrastructure – State of Good Repair</li> <li>4. Rolling Stock – State of Good repair</li> </ol>
Public Transit Safety Agency Plan (PTASP)	<ol style="list-style-type: none"> <li>1. Fatalities – total # of reportable fatalities and rate per total vehicle revenue miles by mode</li> <li>2. Injuries – total # of reportable injuries and rate per total vehicle revenue miles by mode</li> <li>3. Safety Events – total number of reportable events and rate per total vehicle revenue miles by mode</li> <li>4. System Reliability – mean distance between major mechanical failures by mode</li> </ol>
Safety (PM1)	<ol style="list-style-type: none"> <li>5. # of fatalities</li> <li>6. # of Non-Motorized Fatalities and Non-Motorized Serious Injuries</li> <li>7. # of Serious Injuries</li> <li>8. Rate of Fatalities per 100 M VMT</li> <li>9. Rate of Serious Injuries per 100 M VMT</li> </ol>
Pavement and Bridges (PM2)	<ol style="list-style-type: none"> <li>1. % of Interstate Pavement in Good condition</li> <li>2. % of Interstate Pavements in Poor condition</li> <li>3. % of non-Interstate NHS pavements in Good condition</li> <li>4. % of non-interstate NHS pavements in Poor condition</li> <li>5. % of NHS bridges classified as in Good condition</li> <li>6. % of NHS bridge classified as in Poor condition</li> </ol>
System Performance (PM3)	<ol style="list-style-type: none"> <li>1. % of person-miles traveled on the Interstate that are reliable</li> <li>2. % of person-miles traveled on the non-Interstate NHS that are reliable</li> <li>3. Truck Travel Time Reliability Index</li> <li>4. Annual Hours of Peak Hour Excessive Delay per Capita</li> <li>5. Percent of Non-Single Occupancy Vehicle (SOV) Travel</li> <li>6. Total Emission Reductions</li> </ol>
Final Planning Rule	Agreement with MPOs and transit agencies on how to share data and coordinate target setting.

## CHAPTER III – THE ROLE AND RESPONSIBILITIES OF ILLINOIS METROPOLITAN PLANNING ORGANIZATIONS

MPOs are an essential component of the transportation planning process and are intended to assist the state in the development and operation of an effective and efficient 3C planning process. The roles and responsibilities of MPOs are outlined by [23 United States Code \(USC\) § 134](#), [49 USC § 5303](#) and [23 CFR 450 Subpart C](#), MPOs must meet the following general requirements:

- MPOs must develop, in cooperation with the State, public transit operators, and local government agencies, an annual UPWP, a current year of the four-year Metropolitan TIP, and a Metropolitan Transportation Plan (MTP) every four or five years, depending on air quality attainment status. All interested parties shall be provided with a reasonable opportunity to participate in the development of these plans. The basis of these plans will be performance-driven, outcome-based approaches for the planning of the metropolitan areas of the state.
- MPOs are to prepare plans and TIPs within metropolitan areas that will provide for the development and integrated management and operation of all transportation systems and facilities. Functioning as a multimodal transportation system for the [Metropolitan Planning Area \(MPA\)](#), facilities will also be an integral part of a multimodal transportation system for the State and the United States. All modes of transportation must be considered by MPOs as they work through the continuous, cooperative, and comprehensive 3C planning process.

In addition to the general requirements, 23 CFR [420](#), [450](#), and [470](#) provide additional regulations for metropolitan and statewide planning activities and products. FHWA has provided a [matrix](#) as a reference.

### A. UNIFIED PLANNING WORK PROGRAM

The Unified Planning Work Program (UPWP) discusses planning priorities of the MPO and describes all metropolitan transportation planning programs and project activities for a one-year time period, including major work elements. The annual UPWP normally follows the State Fiscal Year July 1- June 30, but not in all instances. The UPWP provides descriptions of objectives, methodology, products, and agency responsibilities for each specific project. The UPWP also contains a detailed financial breakdown of all federal and state transportation planning funds provided to the MPO by IDOT. (See [Chapter VII](#))

### B. METROPOLITAN TRANSPORTATION PLAN

Each MPO prepares and maintains a Metropolitan Transportation Plan (MTP), previously known as a Long-Range Transportation Plan (LRTP), addressing, at minimum, a twenty-year planning horizon. The plan includes strategies and actions that will lead to the development, management, and operation of integrated multimodal transportation systems and facilities. Per federal law ([23 USC § 134](#) and [49 USC § 5303](#)), the transportation plan shall be updated every four years in nonattainment and maintenance areas and every five years in attainment areas. More frequent updates may occur at the discretion of the MPO. (See [Chapter VIII](#)). Metropolitan Transportation Plans prepared, updated, or amended after May 27, 2018 must include MPO adopted performance targets for safety (PM 1), Pavement and Bridge Asset management (PM 2), System Performance (PM 3), Transit Asset Management (TAM), and Public Transit Safety (PTASP). It must also identify how the MTP or LRTP will be moving towards achieving those targets.

## C. TRANSPORTATION IMPROVEMENT PROGRAM

The Transportation Improvement Program (TIP) is, at a minimum, a four-year approved list of federally funded and regionally significant transportation improvements consistent with the MTP. The TIP is designed to document the implementation of individual projects that achieve area goals. The TIP must address MPO performance targets and demonstrate how projects included in the TIP will move towards achieving those targets. The TIP must be fiscally constrained and include a financial plan that demonstrates how the TIP can be implemented using reasonably expected public and private revenue. The TIP may include illustrative projects that could occur if additional revenues were available. The financial plan should be developed by MPO staff in cooperation with the State, transit operators, and local government agencies. Federal requirements state the TIP shall be updated a minimum of once every four years and must contain all transportation projects that receive federal funds and those that are regionally significant, regardless of fund source. (See [Chapter IX](#))

## D. PUBLIC PARTICIPATION PLAN

Per federal law ([23 USC § 134](#) and [49 USC § 5303](#)), MPOs must develop, in consultation with interested parties, and use a documented Public Participation Plan (PPP). The PPP is an integral part of the transportation process which helps ensure that decisions are made in consideration of and to benefit public needs and preferences. The plan must, at a minimum, describe explicit procedures, strategies, and desired outcomes for providing the following stakeholders with adequate notice and reasonable opportunities to be involved in the metropolitan transportation planning process:

- Citizens,
- Affected public agencies,
- Representatives of public transportation employees,
- Freight shippers,
- Providers of freight transportation services,
- Private providers of transportation,
- Representatives of users of public transportation,
- Representative of users of pedestrian walkways and bicycle transportation facilities,
- Representatives of people with disabilities,
- Tourism interests, and
- Other interested parties.

(See [Chapter X](#))

## E. NON-ATTAINMENT AREAS AND CONFORMITY

Illinois has two non-attainment areas, constituting various counties in proximity of both Chicago and St. Louis. The Chicago area is in non-attainment for 8-Hr Ozone (2015) and the St. Louis area for Sulfur Dioxide (2010) and 8-Hr Ozone (2015), meaning they do not meet the National Ambient Air Quality Standards (NAAQS) for those criteria pollutants. Transportation officials in each non-attainment area must play a vital role in complying with the Clean Air Act (CAA). These areas are designated by the United States Environmental Protection Agency (US EPA) and are identified using a variety of data, including, but not

limited to, air quality monitor data, standard emissions data, urbanization patterns, and meteorology. These data sources are reviewed by the Illinois Environmental Protection Agency (IEPA), which then makes a recommendation for nonattainment area boundaries to US EPA.

Because the Chicago and St. Louis areas are in non-attainment, they must complete a conformity analysis, resulting in a conformity determination, and facilitate an interagency consultation process per [40 CFR 93 Subpart A](#). Completing a conformity analysis and determination of conformity includes evaluating the impact of proposed transportation activities and projects included in the region's MTP and TIP on the area's air quality. The consultation process is defined in [40 CFR § 93.105](#) and further defined in [Illinois' State Implementation Plan](#). Per the Code of Federal Regulations, consultation is bringing the MPO, State, local air quality planning agencies, and federal agencies that participate in the conformity analysis and determination process, as well as TIP and MTP development, together to discuss and agree upon methods to conduct the conformity analysis and determination.

Nonattainment areas do not necessarily match MPO boundaries. Therefore, nonattainment areas may also be shared with adjacent MPOs or include areas outside the MPA. The MPO's responsibility for completing a conformity analysis and determination depends on the situation. For the most up-to-date information on nonattainment areas in Illinois please visit the [USEPA Green Book website](#).

## **F. OTHER REQUIRED DOCUMENTS**

### **1. Human Service Transportation Plan**

Federal law requires that projects funded under the Enhanced Mobility of Seniors and Individuals with Disabilities Program (Section 5310) and the Formula Grants for Rural Areas (Section 5311) be derived from a locally developed, coordinated public transit Human Service Transportation Plan (HSTP, [49 USC § 5310](#)). This plan must be established through a process that engages various members of the public, as well as representatives of public, private, and non-profit transportation and human services providers. This plan should identify the transportation needs of individuals with disabilities, older adults, and people with low incomes, and provide strategies for meeting their needs. A plan must be created in each HSTP Region and MPA within the State. In MPAs, these plans are typically developed and periodically updated by the MPO, but can also be led by the public transportation provider. Plan requirements are detailed in [FTA Circular 9070.1G](#).

### **2. Congestion Management Process for Transportation Management Areas**

The Congestion Management Process (CMP) is a federal requirement ([23 CFR § 450.320](#)) for all MPOs designated as a Transportation Management Area (TMA), or MPOs over 200,000 in population, and shall address congestion management through coordinated and cooperatively developed and implemented area-wide travel demand reduction and operational management strategies. The CMP serves as a systematic process that provides for the safe and effective integrated management and operation of the multimodal transportation system. The CMP should result in multimodal system performance measures and strategies that can be reflected in the MTP/LRTP and the TIP. All members of the MPO can participate as the MPO staff develops the CMP. Data sharing is strongly encouraged by all parties so information can be used, regardless of jurisdiction, to make informed congestion-related policy and project-programming decisions at the MPO level.

### 3. Regional Intelligent Transportation Systems (ITS) Architecture

Intelligent Transportation Systems (ITS) is defined as electronics, communications, or information processing used singly, or in combination, to improve the efficiency or safety of a surface transportation system in [23 CFR 940](#). Per the same federal regulation, MPOs over 200,000 (TMAs) were required to have a Regional ITS Architecture in place that meets local needs. Per [23 CFR 940](#), all ITS projects implemented with federal funds must be consistent with the local regional ITS architecture – which is developed by the MPO. See [Appendix G](#) for the minimum requirements of what an ITS architecture should include.

### 4. Title VI Document

Title VI of the Civil Rights Act of 1964 provides that "no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance" ([42 USC § 2000d](#)). Pursuant to [49 CFR § 21.7](#), every application for federal financial assistance or continuing federal financial assistance must provide a [statement of assurance](#) and give reasonable guarantee that the program is (or, in the case of a new program, will be) conducted in compliance with all requirements imposed by or pursuant to [49 CFR 21](#) (Nondiscrimination in Federally Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964). MPOs must formulate a Title VI Document that is developed through the MPO's committee structure. The document must include information on how Title VI and environmental justice considerations are reflected in the MPO's activities, including the UPWP, TIP, MTP, publications, communications, and public involvement efforts. Requirements are further described in [FTA Circular 4702.1B](#), which establishes a framework for efforts to ensure compliance with Title VI.

### 5. Annual Listing of Obligated Projects

Per [23 CFR § 450.334](#), all MPOs, on an annual basis no later than 90 calendar days following the end of the Fiscal Year of their TIP, shall cooperatively develop a listing of all projects for which any Federal Aid Highway ([23 USC](#)) or Federal Public Transportation ([49 USC Chapter 53](#)) funds were obligated in the preceding Fiscal Year of their TIP.

The listing shall be prepared in accordance with [23 CFR § 450.314\(a\)](#) and shall include all federally funded projects authorized in the preceding program year, and shall at a minimum include the TIP information under [23 CFR § 450.326\(g\)\(1\) & \(4\)](#) and identify, for each project, the amount of federal funds requested in the TIP, the federal funding that was obligated during the preceding year, and the federal funding remaining and available for subsequent years.

This product is developed by the MPO and the listing shall be published or otherwise made available in accordance with the MPO's public participation criteria for the TIP.

### 6. Self-Certifications, Federal Certifications, and Planning Reviews

[23 CFR § 450.336](#) provides that, concurrent with the submittal of the proposed TIP to FHWA and FTA as part of the STIP approval, every MPO and the State shall certify at least every four years that the metropolitan planning process is being carried out in accordance with all applicable federal requirements, which are described in [Appendix C](#). In TMAs, FHWA and FTA shall jointly review and evaluate the transportation planning process no less than once every four years. The joint certification shall include opportunities for public involvement within the MPA under review. For MPOs



less than 200,000, FHWA completes planning reviews every four years, which includes a less rigorous version of the TMA's certification review.

## 7. Americans with Disabilities (ADA) Act Transition Plans and Self Evaluations

ADA Transition plans are required by federal regulations [28 CFR § 35.150](#) for MPOs with 50 or more employees. If the MPO owns their building, structural changes to achieve program accessibility are necessary as outlined in the ADA Transition Plan. Both full-time and part-time employees count toward the 50-employee level.

MPOs should ensure that any program they operate are ADA accessible, as well as be aware if their member agencies have a transition plan.

Self-evaluations are required for all government entities receiving federal financial assistance covered by the ADA per Section 504 of the Rehabilitation Act ([29 USC § 794](#)). That includes MPOs and their member agencies.

## G. PERFORMANCE MANAGEMENT

Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) and the subsequent Fixing America's Surface Transportation (FAST) Act requires incorporation of performance-based planning and programming to be used in the development of Metropolitan Transportation Plans (MTP) and Transportation Improvement Programs (TIP). [23 CFR § 450.206\(c\)](#) describes the state's responsibilities for the establishment of performance goals, measures, and targets, in coordination with MPOs, and the use of a performance-based approach to transportation decision-making to support national goals.

[23 CFR § 450.306\(d\)](#) states each MPO shall establish performance targets to support national goals and track progress towards the attainment of critical outcomes. Each MPO shall coordinate with the relevant State to ensure consistency, to the maximum extent practicable, and establish performance targets, or accept the state's targets, not later than 180 days after the State ([23 CFR 490](#)) or provider of public transportation establishes its performance targets. The selection of performance targets that address performance measures described in [49 USC § 5326\(c\)](#) ([49 CFR 625](#)) and [49 USC § 5329\(d\)](#) ([49 CFR 673](#)) shall be coordinated, to the maximum extent practicable, with public transportation providers to ensure consistency with performance targets that public transportation providers establish under the same rulemaking. Additionally, each MPO shall integrate the goals, objectives, performance measures, and targets from other performance-based plans and programs into the metropolitan transportation planning process.

Statewide targets for Transit Asset Management (TAM) and Transit Safety (PTASP) are reported by IDOT or transit providers in the National Transit Database (NTD). IDOT reports Safety targets in the Highway Safety Improvement Program (HSIP) Annual Report. Final statewide targets for Pavement and Bridge asset management and System Performance will be reported every two years in the State Performance Report, which is developed through a portal from FHWA. (The Performance Management Summary table in the previous chapter lists each performance measure target to be reported by performance rule.)

It is the responsibility of MPOs to ensure their TIP and Metropolitan Transportation Plan indicate how the identified policies and projects will move (or not) toward accomplishing their targets.

## CHAPTER IV – FUNDING

### A. GRANT ACCOUNTABILITY AND TRANSPARENCY ACT (GATA)

GATA requires the State of Illinois to issue grant funds in a consistent method, regardless of agency, to increase transparency and accountability.

GATA involves creating a consistent notice of funding opportunity, evaluating submittals, notifying awardees that they were selected, and administration of the grant through standard templates. Every agency receiving state or pass-through federal funds from the State of Illinois must register on the GATA portal, complete a series of pre-qualifications, including risk assessment, indirect costs negotiation, application, accept a notice of state award, and complete a budget template before entering into a uniform agreement with the Department.

### B. METROPOLITAN PLANNING FUNDS

Metropolitan Planning (PL) funds are provided to MPOs under the authority of: [23 USC § 104\(d\)](#), [49 USC § 5305\(g\)](#), [49 CFR § 1.85\(a\)](#), and [49 CFR § 1.91\(a\)](#). Procedures for matching and programming are provided under: [2 CFR 200](#) and [30 ILCS 708](#). PL funds are allocated to MPOs by [formula](#), based on population, that is developed by IDOT and approved by FHWA and FTA. PL funds are sourced through federal construction program allocations. The statewide amount of metropolitan planning funds is based on the State's base apportionment and the State's apportionment for the National Highway Freight Program. FHWA apportionments for states can be found on FHWA's [website](#). The Federal transit planning funds can be found on FTA's [website](#). Federal PL funds must be matched with state and/or local funds at an 80-20 match rate, at minimum.

#### 1. Timing

Upon authorization of federal funding, IDOT will distribute PL funding marks to the 16 Illinois MPOs for the upcoming State Fiscal Year (SFY). The state fiscal year runs from July 1 through June 30. Current SFY funds are established by the previous Federal Fiscal year (FFY). This process will typically occur in February but is subject to change based upon when the federal government approves its budget. A distribution chart will be sent to each MPO from their respective Metro Manager.

IDOT will enter into 18-month agreements to access PL funds. These agreements must be in place by the beginning of the SFY (July 1). The initial budget will be based on a 12-month expenditure. If an expenditure is not completed within 12 months, an additional six months will be available for the MPOs to expend any remaining funds. All activities supported by carry-over funds must be identified in the subsequent fiscal year's MPO UPWP. However, any funds not expended within the 18-month timeframe of the agreement will be surrendered.

#### 2. General Eligibility for Use/Costs

Each agreement IDOT enters in begins with the submission of an MPO's approved UPWP, which includes a budget and scope of work being submitted to the appropriate Metro Manager. Metro Managers will work with each MPO during the development of the UPWP to ensure the scope of work included in the document and any indicated use of PL funds is an eligible activity. General guidelines of eligibility are indicated in [Appendix D](#).

Generally, activities related to the core functions of the metropolitan planning process (including the TIP, MTP/LRTP, UPWP, and other transportation related

activities) are eligible. Also generally eligible are planning and finance studies of future transportation projects. Studies, training, research, and materials related to safety, design, and engineering standards for highway and intermodal transportation are also eligible.

Because of the wide spectrum of eligible uses, it is necessary that a determination be made if a proposed activity (e.g., collection of travel data, citizen participation, development of plans and programs, etc.) is necessary to carry out the metropolitan planning process mandated by [23 USC § 134](#). MPOs, IDOT and federal partners must cooperate in determining eligibility of costs.

It is possible that something may be eligible for partial costs. For example, a transit-oriented development plan that incorporates zoning updates would be eligible for partial use of metropolitan planning funds. Anything that is questionable can be sent to IDOT for review and concurrence by the appropriate Metro Manager.

### **3. Procurement**

MPOs must use their own documented procurement policy which reflects applicable state and local laws and regulations. It is acceptable for an MPO to default to State procurement requirements with proper documentation of the decision. All MPO procurement policies must conform to applicable federal law and standards identified in [2 CFR § 200.318](#) (General Procurement) through [2 CFR § 200.326](#) (Contract Provisions).

### **4. Indirect Costs**

Indirect costs are an eligible expense for metropolitan planning funds. However, the rate in which indirect costs are charged must be approved by either a federal or state agency. A federal agency is the appropriate agency to review and approve an indirect cost allocation plan if the grantee receives any funding directly from a federal agency. If a grantee receives direct funding from multiple federal agencies, the federal agency granting the most funding to the grantee is the federal agency that approves indirect cost rates.

If the grantee does not receive federal funds directly from a federal agency, the State of Illinois will negotiate an indirect cost rate. This is done through the online GATA portal. In either instance of a federally approved rate or a negotiated rate with the State of Illinois, the information must be entered into the GATA portal.

Other indirect cost rate options within the GATA portal include not charging Indirect costs or using the de minimis rate of 10%.

### **5. Unspent Funds**

Per [23 CFR § 420.109\(e\)](#), if any unspent metropolitan planning funds become available either through under-obligation or lapsed 18-month MPO agreements, the Department will work with MPO Executive Directors on a plan to spend the funds.

## **C. STATE PLANNING AND RESEARCH FUNDS**

State Planning and Research funds (SPR) are federal funds used to establish a 3C framework for making transportation investment decisions and to carry out transportation research activities throughout the state. The state will distribute these funds through a competitive call for projects. Eligible applicants, including MPO's, must be registered through the GATA portal or complete the grantee registration process to be awarded SPR

discretionary funding. All proposed projects submitted for funding consideration will be prioritized by criteria indicated in the Notice of Funding Opportunity. A general list of eligible projects is provided in [Appendix D](#)

## **D. SURFACE TRANSPORTATION BLOCK GRANT FUNDS (STBG)**

The State receives an annual allocation of federal STBG funds. Per the Fixing America Surface Transportation (FAST) Act ([23 USC § 133\(d\)](#)), these funds are to be distributed with 50 percent going to the State and 50 percent going to the local jurisdictions for programming, increasing throughout the life of the bill to 55 percent local and 45 percent state. However, in the early 1990's, the State of Illinois, the Illinois Association of County Engineers, the Illinois Municipal League (IML), and the MPOs of Illinois agreed to use a [different formula for distribution](#). This formula provides funding to local agencies for programming in an amount equal to 18.92 percent of the combined dollar amount for all the core federal programs (STBG, HSIP, NHPP, TAP, NHFP) for Illinois. This formula guarantees that no matter the federal funding splits of STBG, state and local jurisdictions will receive a consistent share of funding. Since SAFETEA-LU (records available), the 18.92% agreement has exceeded the required distribution in authorization acts.

IDOT sets aside 15 percent of the 18.92 percent of core program funding for the local bridge program, STP-Bridge. The remaining amount is split between urban (STU) and rural (STR) areas; 77.54 percent goes to urban areas with populations over 50,000 and 22.46 percent goes to rural areas. The Chicago Metropolitan Agency for Planning (CMAP) receives 82.37 percent of the urban portion and 10.80 percent of the rural portion. Remaining urban area funds are distributed to other urban areas in Illinois based on the most recent census population data.

Remaining rural area funds are distributed to counties in IDOT Districts 2 through 9 via a designated funding formula. This funding formula equally divides ten percent of the funds for distribution to each county; the remaining 90 percent is distributed based on three equal factors: 1) non-urban area, 2) non-urban population, and 3) non-urban mileage (total all systems). Notification of the federal funding distribution to local agencies and MPOs is done through an IDOT Bureau of Local Roads and Streets circular letter. This letter is distributed through an email subscription service. The circular letter is generally distributed in December, with federal funding allotment for the following fiscal year starting in July. Generally, District staff notifies MPOs of their upcoming Urban Surface Transportation program (STU) allocations. A flow chart is available in [Appendix F](#).

STBG funds must follow a GATA compliant process.

## **E. CONGESTION MITIGATION AND AIR QUALITY (CMAQ) IMPROVEMENT PROGRAM FUNDS**

The State of Illinois receives an allocation of federal CMAQ funds. Under the Intermodal Surface Transportation Efficiency Act (ISTEA), Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21), and the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), funding apportionments for each state were calculated based on a formula using weighted populations in ozone and PM<sub>2.5</sub> nonattainment and maintenance areas. Under MAP-21 and the FAST Act, the federal funds are allocated using the proportions from the final year of SAFETEA-LU.

In Illinois, CMAQ funds are distributed between nonattainment areas in the state based on the same formula used in ISTEA, TEA-21, and SAFETEA-LU. Currently, the only two MPOs with ozone and PM<sub>2.5</sub> nonattainment areas in Illinois are CMAP and the East-West Gateway Council of Governments (EWGCOG). CMAP receives approximately 95.21

percent of the annual apportionment and EWGCOG receives approximately 4.79 percent. As of MAP-21 in FFY 2013, 25% of the funds must be obligated on projects that improve PM<sub>2.5</sub>.

CMAQ funds must follow a GATA compliant process.

## **F. TRANSPORTATION ALTERNATIVES PROGRAM**

The State of Illinois receives an annual allocation of federal Transportation Alternative Program (TAP) funds. Fifty percent of TAP funds are eligible for use anywhere in the State and programmed by IDOT through the competitive processes of its Illinois Transportation Enhancement Program (ITEP) and Safe Routes to School (SRTS) programs. The remaining fifty percent is for use in urban areas in the state (greater than 50,000 population). TMA MPOs receive TAP funds from this 50% based on their urbanized area population and program funding through a competitive process in their MPA. IDOT programs the remainder of the 50% of TAP funds to be used in urban areas (that portion not going to TMAs) in the same competitive process as used for the 50% of TAP funds for use anywhere in the state (ITEP and SRTS programs). These are competitive programs with projects selected statewide based on selection criteria established by IDOT. IDOT may, at its discretion, assign MPOs to program some or the entire 50 percent State share of TAP funds. TMA MPOs are required to report approved project and budget information to IDOT Metro Managers and ITEP Coordinator. This information should be provided no later than one month following project selection.

TAP funds must follow a GATA compliant process.

IDOT encourages local policy committees to consider prioritizing the funding of shovel-ready projects over those also requesting funds for preliminary engineering. The selection of a project already through preliminary engineering can better estimate project details and associated costs, ultimately reducing the potential for project delays.

## **G. STATE PLANNING FUNDS**

Since 2011, State Planning Funds have been allocated by an appropriation out of the Road Fund. There is no law or statute in place which requires distribution. However, IDOT currently allows these funds to be requested as federal match or for other eligible transportation planning projects upon request and approval.

There are three ways for MPOs or local units of government to use state planning funds:

1. As the required 20 percent match for federal PL and FTA pass-through funds.
2. As a separate agreement to fund other IDOT approved transportation planning project(s).
3. As the 20 percent match to an approved federal SPR funded project.

State planning funds are not a guaranteed source of funds. Each request will be reviewed and approval will be based upon the fiscal situation and the discretion of IDOT at the time of request. Current IDOT practice is to use this, at minimum, to match each MPO's apportioned federal planning funds.

## **H. LOCAL PROGRAM MATRIX**

The state provides revenue sharing through their motor fuel tax. For information on state-only revenue sharing as well as federal transportation programs, please view the Local Programming Matrix ([Appendix E](#)).

## CHAPTER V – EXPENDITURE REIMBURSEMENT PROCESS

### A. RESPONSIBILITIES

#### *MPO Staff*

- Prepares and submits invoices to the IDOT Operations Manager ([DOT.OPP.Finance@illinois.gov](mailto:DOT.OPP.Finance@illinois.gov)) and Metro Manager. All invoices prepared and submitted should have appropriate supporting documentation.

#### *IDOT Metro Manager:*

- Reviews invoice and expense reports for all FHWA planning, FTA planning, State Planning Funds, and SPR funds, if applicable.
- Ensures that work is being accomplished and billings are consistent with work described in the UPWP.

#### *IDOT Air Quality Manager:*

- Reviews and approves the invoices and expense reports for CMAQ projects.

#### *IDOT Operations Manager:*

- Reviews, approves, and processes invoices to be paid within 15 days of receipt of an invoice by IDOT.

### B. SCHEDULING AND TIME CONSTRAINTS

Invoices can be submitted monthly or quarterly but minimum frequency requirements listed in each Uniform Grant Agreement (UGA) shall be followed. Federal law ([23 USC § 104\(d\)\(2\)\(B\)](#)) requires states to reimburse an MPO for eligible planning activities within 15 days. IDOT may withhold payment until a complete and accurate invoice is received.

IDOT will enter into 18-month agreements to access PL funds. These agreements must be in place by the beginning of the SFY (July 1). The initial budget will be based on a 12-month expenditure. If expenditures are not completed within 12 months, an additional six months will be available for the MPOs to expend any remaining funds. All activities supported by remaining funds must be identified in the subsequent fiscal year's MPO UPWP and must be used on planning activities identified in the previous fiscal years UPWP. Any funds not expended within the 18-month timeframe of the agreement will be surrendered.

### C. PROCEDURE FOR MPO INVOICES

#### 1. MPO Submits an Invoice for Allowable Expenditures

- i. The MPO must submit invoices for allowable expenditures to the IDOT Planning Finance Office at <mailto:DOT.OPP.Finance@illinois.gov> to receive reimbursement.
- ii. Final invoices must be submitted no later than six weeks after the end of the given grant agreement.
- iii. The invoice must include:
  - a. Indication of total amount of federal and matching funds expended.
  - b. Cover Letter to the C-13:
    1. States the Obligation Number, contract name, source of funds being requested (typically metropolitan planning (both

FHWA and FTA federal funds), but can be SPR, state funds, and CMAQ).

- c. Requests for reimbursement must be on the Form C-13.
- d. Timesheets
  - 1. MPO Staff and which projects were worked on
  - 2. If a MPO has over 25 staff, a summary report may be submitted but detailed information should be available upon request.
- e. Back up documentation, which may include payroll and expenditure receipts, must be submitted with each invoice.
- f. Certification by the MPO finance officer of accurate expenses.
- g. Expenditure and Progress Report:
  - 1. Percentage of work complete and amount requested per line item for invoice period.
  - 2. Identification of expenditures by work task.
  - 3. Progress reports are required via [23 CFR § 420.117](#). State and federal regulations require:
    - I. Quarterly reports shall be submitted to the Operations Manager 30 days after end of the reporting period.
    - II. Final reports shall be submitted to the Operations Manager 90 days after the end of the reporting period.
- h. At the end of the SFY, a Year-End Report should include a summary of work completed and list all deliverables completed.

## **2. Metro Manager Review and Approval**

- i. Upon submittal of an invoice, the Metro Manager reviews and checks:
  - a. Mathematical accuracy.
  - b. That requested reimbursement is consistent with items included in the approved UPWP.
  - c. That total amount invoiced is proportional to total amount budgeted.
  - d. Expenditure for each line item is less than or equal to the budgeted amount.
  - e. Completion of the work being invoiced.
- ii. Failure to provide a complete invoice may delay or prevent reimbursement. If there are problems with an invoice, the Metro Manager will contact the MPO to resolve the issue so payment can be made, assuming it is appropriate. This may include submission of a new or corrected invoice by the MPO.
- iii. The Metro Manager will review and approve or reject the invoice within seven days of the MPOs submittal. If rejected, the invoice is not sent to the Comptroller until it is revised and approved by the Metro Manager.

### 3. Operations Manager Approval

- i. Once approved, the Operations Manager submits invoices to the Bureau of Business Services, Accounting Unit, which documents the transaction and forwards it to the Comptroller.

### 4. Send Payment

- i. Once approved, the Comptroller forwards payment either via Electronic Fund Transfer (EFT) or by mailing a check to the MPO's Local Public Agency (LPA).
- ii. If approved by the Metro Manager, payment is made within 15 days of receiving a complete invoice.

### 5. Close Out Contract

- i. Once the Comptroller pays the final invoice, the agreement is closed out in the FHWA's Fiscal Management Information System (FMIS).

### 6. Ineligible costs

If it is identified that ineligible costs were reimbursed after payment to a MPO, a Memorandum of Understanding (MOU) will be written and executed for recoupment of the funds. Ineligible costs would include, but not be limited to, things such as construction engineering, purchasing transportation vehicles, and costs incurred before an agreement with IDOT is executed.

## D. PROCEDURE FOR PERIODIC FINANCIAL AND PERFORMANCE REPORTING (BOB'S FORM 2832)

### Grantee

- Prepares and submits quarterly/monthly reporting via Email to Finance ([DOT.OPP.Finance@illinois.gov](mailto:DOT.OPP.Finance@illinois.gov)) with a copy to the IDOT Project Manager.
- Submits a Periodic Reporting Form 2832 at the frequency stated in the Grantee's agreement. Generally, an initial reporting is required at the agreement's execution and then periodically per the terms stated in the agreement. Reporting frequency is typically monthly or quarterly and is determined by the Grantee's risk assessment.
- If required to report quarterly, the first report should cover the first three months after the award begins and should be submitted within 30 days of the first quarter's end. If the Grantee is required to report monthly, the first report should cover the first month after the award begins and should be submitted within 30 days of the first month's end.
- The Periodic Report must be consistent with invoicing and deliverables completed for the period of the Periodic Report.
- Both parts of the BOBS Form 2832, the Periodic Performance Report (PPR) and the Periodic Financial Report (PFR) must be completed, signed, dated, and submitted even if no work was performed, or expenses incurred, during the reporting period.



## **Metro Manager**

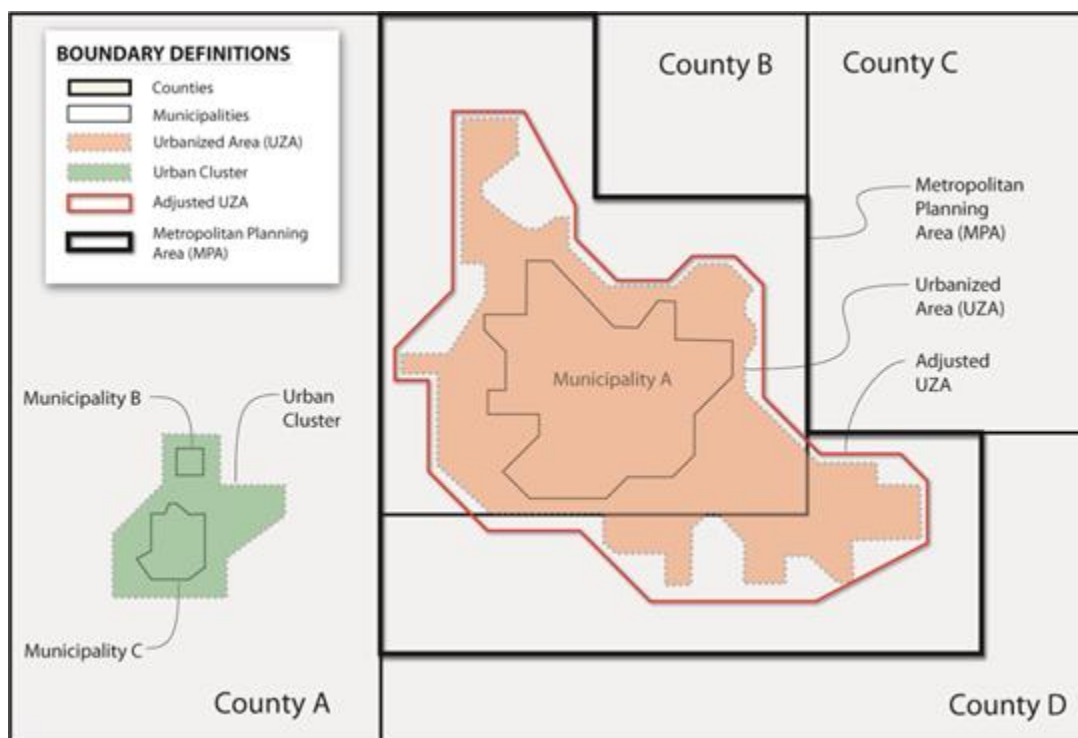
- Upon receipt of the Periodic Report, the Project Manager reviews and checks:
  - Mathematical accuracy.
  - That Periodic Report is consistent with previous reporting and invoicing for the period of the Periodic Report, and consistent with the line items within the Uniform Grant Agreement (UGA) and Uniform Budget Template (UBT).
  - That total amounts are proportional to total amounts spent to date and budgeted.
  - Expenditure for each line item is less than or equal to the budgeted amount.
  - Work/Deliverables are consistent with funding expended to date and the work/deliverables being reported are complete.
- Failure to provide a completed Periodic Report may delay or prevent reimbursement. If there are discrepancies with the Periodic Report, the Metro Manager will contact the Grantee to resolve the issue. This may include submission of a new or corrected Periodic Report by the Grantee.
- The Metro Manager will review and approve (or reject) the Periodic Report in a timely manner, this should occur within ten business days of the Grantee's submittal.

## CHAPTER VI – URBANIZED AND PLANNING AREA BOUNDARIES

After each decennial census, the United States Census Bureau publishes a revised list of Urbanized Areas (UZA – contiguous areas with over 50,000 in population) in the Federal Register along with its method for developing the UZAs. Once the UZAs are announced, their boundaries are used to develop MPAs and adjusted UZAs.

### A. METROPOLITAN PLANNING AREA

The MPA boundary may need to be updated based on the Census Bureau's announcement of the UZA. The MPA is the adjusted UZA (see below) plus any other contiguous area anticipated to be urbanized in the next twenty years. The MPA is the boundary under the planning jurisdiction of the MPO. The boundary is to be developed in partnership with local jurisdictions, local stakeholders, the state, and the MPO policy board. The MPA must be approved by the Illinois Governor.



Source: [http://www.fhwa.dot.gov/planning/census\\_issues/urbanized\\_areas\\_and\\_mpo\\_tma/faq/page01.cfm](http://www.fhwa.dot.gov/planning/census_issues/urbanized_areas_and_mpo_tma/faq/page01.cfm)

In some instances, an urban cluster outside the adjusted UZA may be partially included in the MPA and in these cases it is acceptable for an MPA to divide an urban cluster. Many MPAs also extend across state boundaries or have shared boundaries with other MPAs. When this is the case, an agreement as to which MPO has jurisdiction is required.

### B. ADJUSTED URBANIZED AREA

After the Census Bureau announces the UZAs, transportation officials may incorporate additional adjacent territory for planning purposes. This is termed “smoothing” of the census-defined UZA and results in an adjusted UZA. IDOT Central Office and District staff work with local jurisdictions, including the MPO, to develop the adjusted UZA. Adjusted UZAs must be approved by the MPO before being submitted to IDOT and FHWA for approval.

## ***Functional Class***

IDOT reviews the functional classification of roadways throughout each UZA every five years to account for changes in the roadways' function over time due to new development, changes in land use, and/or other factors.

Changes to the functional class of roadways may be requested at any time by whatever entity has jurisdiction over the roadway. If a request for a change is within an MPA boundary, the request must be coordinated with the MPO or their designee. Once concurrence is received, the request is sent to IDOT for consideration, then on to the FHWA Illinois Division for approval. The same approval process is followed when IDOT reviews the functional classification of the system every five years.

## CHAPTER VII - UNIFIED PLANNING WORK PROGRAM

All MPOs are required to produce a Unified Planning Work Program (UPWP) annually ([23 CFR § 450.308](#)). The UPWP is a work plan of transportation planning activities that are to be conducted by the MPO and its implementers in the upcoming fiscal year. The UPWP must also contain a detailed budget of all state and federal transportation planning funds provided to the MPO. UPWPs are generally adopted for the state fiscal year beginning July 1 and are valid until June 30 of the following year. UPWPs must be approved by each MPO, IDOT, and if a TMA, FHWA, each year. Adoption and completion of a funding agreement between IDOT and each MPO must be completed by July 1 of each year.

The UPWP combines planning activities, regardless of fund source, into a centralized document. The following is a guide to the joint UPWP process.

### A. GROUNDWORK

#### 1. Identifying Funding Sources

Funding for planning activities at the MPO level comes from the following areas:

- i. Metropolitan Planning Funds (PL)
  - This includes FHWA funds and FTA funds.
- ii. IDOT – Statewide Planning Funds (SPF)
- iii. Local Agency Contributions

#### 2. Local Agency Outreach

The annual development of the UPWP is a lengthy process and requires a significant amount of outreach to MPO members. While MPO staff is responsible for drafting the document, local agencies, including counties, municipalities, and public transportation providers, can propose planning studies and activities for federal funding and inclusion in the UPWP. It is recommended that MPOs begin outreach discussions in the winter and spring.

### B. DEVELOPING THE PROGRAM

#### 1. Budget for Federal Planning Marks

To develop a UPWP prior to July 1 each year, each MPO must know the amount of Federal funds (FHWA PL and FTA 5303) they have available for the next SFY to carry out planning activities. Federal funds (PL and 5303) are generally referred to as the “marks” for the MPOs. It is IDOT’s desire to provide final and complete marks to MPOs based on final FHWA and FTA figures so that MPO UPWPs are accurate. While FHWA generally releases their PL figures in early October, the release of FTA figures can be inconsistent. IDOT has committed to estimating FTA 5303 funds available prior to full apportionment to facilitate MPO’s development of a UPWP prior to July 1. To minimize the need for amendments or administrative modifications to the UPWP, funds should not be broken up between FHWA and FTA funds.

#### 2. Drafting the Program

Drafting the UPWP should include input from MPO Policy Committee members. It is recommended the Metro Manager be consulted throughout all stages of the drafting process.

### **3. Preliminary Review**

The first draft UPWP provided to an IDOT Metro Manager is for preliminary review. The Metro Manager will review the draft UPWP for inconsistencies and ensure the UPWP budget and scope of work are appropriate and in accordance with federal planning guidance and requirements. IDOT will then return the draft to the MPO for final revisions as necessary.

### **4. Final Review**

Once modifications due to input from members and regulatory changes have been made to the UPWP draft, the document can proceed through the approval process. While each MPO may have a different process to review and receive comments on the document (a subcommittee, a working group, etc.); the final required step in this process is approval by the MPO Policy Committee. IDOT requires all planning funds received from IDOT, both federal and state, to be listed in the UPWP and approved by the MPO Policy Committee. Once the MPO Policy Committee has approved it, the document is officially submitted to IDOT via the designated Metro Manager. After receiving a UPWP from a TMA, IDOT submits the document to USDOT for approval.

## **C. AMENDMENTS AND MODIFICATIONS**

UPWPs and budget agreements can be revised for specific situations throughout the grant term. In general, any potential revision should first be discussed with a Metro Manager, which will assist in determining the correct revision type. General revisions to existing UPWP work elements will require action from the MPO's Policy Committee. The following scenarios describe the general procedures for most active program revisions.

### **1. Moving funds within a single GATA Category**

The appropriate redistribution of line-item funds within the same GATA category can be accomplished through a simple email notification to the appropriate Metro Manager for approval if the line-item movement of funds is less than 10% of the total federal apportionment.

### **2. Moving funds between GATA Categories**

The appropriate redistribution of funds between multiple GATA categories necessitates the submission of an amended Universal Budget Template (UBT) to the appropriate Metro Manager for approval if the movement of funds is less than 10% of the total federal apportionment.

### **3. Large budget changes and Work Element Modifications**

If any single or the sum of previous redistributions of funds exceeding at least 10% of the total federal apportionment or the addition, deletion, or major modification of UPWP work elements will require the grantee to submit and amended UBT and UPWP to the appropriate Metro Manager for approval. This process will require an amendment be made to the executed IGA.

## CHAPTER VIII – METROPOLITAN TRANSPORTATION PLAN

### A. CONTENTS AND GENERAL REQUIREMENTS

A Metropolitan Transportation Plan (MTP), previously known as a Long Range Transportation Plan (LRTP), is a federally required planning document that serves as the guiding force for a region's transportation planning decisions. This document signifies the unified vision for the development of each metropolitan area's transportation system and should serve as the basis for local investment decision-making. Documented goals and strategies should reflect thorough analyses, including developing a preferred scenario, travel demand modeling, population forecasting, and many other planning efforts to anticipate demographic, population, mode, and many more changes within the horizon year of the MTP.

[23 CFR § 450.306\(d\)](#) states the metropolitan planning process shall provide for the establishment and use of a performance-based approach to transportation decision-making to support national transportation goals. As a significant contributor to that performance-based approach, the MTP shall include a description of the measures and targets used in assessing the performance of the transportation system.

IDOT encourages MPOs to consider the MTP as a document that describes how planning decisions are made at the regional level. General federal requirements are as follows, and can be found at [23 CFR § 450.324](#):

1. Several planning factors must be considered throughout the metropolitan transportation planning process and should serve as a potential basis for developing plan goals, objectives, and performance measures. These planning factors should be used to guide the discussion in formulating the MTP goals, not merely translated into the goals of the MTP.
  - i. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
  - ii. Increase the safety of the transportation system for motorized and non-motorized users;
  - iii. Increase the security of the transportation system for motorized and non-motorized users;
  - iv. Increase accessibility and mobility of people and freight;
  - v. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
  - vi. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
  - vii. Promote efficient system management and operation;
  - viii. Emphasize the preservation of the existing transportation system;
  - ix. Improve resiliency and reliability of the transportation system and reduce or mitigate stormwater impacts of surface transportation; and
  - x. Enhance travel and tourism.

## 2. Consultation with various interested parties

As detailed below, various elements of the MTP must be coordinated with appropriate agencies as specified in [23 USC § 134](#) and [49 USC § 5303](#), and other interested parties must be provided with a reasonable opportunity to comment on the transportation plan. MPOs shall, to the maximum extent possible, hold meetings at convenient and accessible locations and times, employ visualization techniques to describe plans, and make public information available in electronically accessible format and means. Some agencies that might be consulted for participation in the MTP process are listed below:

- i. Federal, State, tribal, wildlife, land management, and regulatory agencies for potential environmental mitigation activities;
  - ii. Transit operators and the state for estimates of funds that will be available to support plan implementation;
  - iii. State and local agencies responsible for “land use management, natural resources, environmental protection, conservation, and historic preservation”, as appropriate;
  - iv. Air quality agencies in metropolitan areas that are designated as nonattainment for specific air pollutants; and
  - v. All other interested parties including “citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, and persons with disabilities, and other interested parties with a reasonable opportunity to comment” on the plan.
3. Performance Management The MTP shall include a description of the performance measures and performance targets used in assessing the performance of the transportation system in accordance with [23 CFR 450.306\(d\)](#) and how the strategies and projects included in the plan will move the region towards achieving those targets.
4. Identification and assessment of human and natural environments, including, but not limited to, community assessment, cultural resources, historic resources, farmlands, wetlands and /or ecosystem and wildlife habitat as appropriate.
5. Discussion of environmental mitigation activities and potential areas in which to carry out these activities.
6. Analysis of equity and environmental justice
- i. Title VI of the 1964 Civil Rights Act [42 USC § 2000d](#) prohibits recipients of federal financial assistance from taking actions that discriminate on the basis of race, sex, color, national origin, or religion. Title VI bars intentional discrimination as well as disparate impact discrimination (i.e., a neutral policy or practice that has a disparate impact on protected groups).
  - ii. [Executive Order 12898](#), Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, further amplifies Title VI by providing that “each Federal agency shall make achieving environmental justice a part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority

populations and low-income populations”. These requirements apply not only during project development, but also to the processes and products of statewide and metropolitan transportation planning, such as the development of transportation plans.

These requirements are in regard to the general content of the plan. Other regulations and requirements exist and will be discussed in following sections.

## **B. FISCAL CONSTRAINT AND FINANCIAL PLANNING**

MTPs must include a financial plan identifying program revenues reasonably expected to be available for specific projects and initiatives (expenditures) included in the plan. Both revenues and expenditures should be in Year of Expenditure dollars.

The MTP must be fiscally constrained, meaning the cost of implementing the proposed transportation improvements, operations, and facility maintenance included in the plan must not exceed the level of reasonably expected revenue.

It is important to note that if funding shortfalls do occur, MPOs may not be required to alter their funding forecasts to meet the financial demands of fiscally constrained planned projects or revise the fiscally constrained planned project(s). Federal regulation requires financial plans be based on future reasonably expected funding for transportation uses. Revenue projections should be based on data reflecting the existing and historical situation. However, the MTP can identify and suggest additional funding strategies that may not exist yet but might be available in the future. Since it is typical for proposed MTP projects to exceed the amount of funding reasonably expected to be available, those projects may be identified for illustrative purposes as priority projects that would be implemented in the metropolitan area if additional revenues were identified.

## **C. HORIZON OR LIFE SPAN OF THE PLAN**

Federal regulation [23 CFR § 450.324](#) requires “the metropolitan transportation planning process shall include the development of a transportation plan addressing no less than a 20-year planning horizon.”

## **D. DEVELOPMENT PROCESS**

Development of the LRTP will differ between MPOs. MPOs should cultivate their own development process, ensuring the requirements listed in this section are met and the planning process is cooperative, continuous, and comprehensive. IDOT, and specifically the Metro Manager, will participate in plan development, as well as work with MPOs in determining these processes if needed.

## **E. UPDATE REQUIREMENTS**

Updating a MTP (every 4 years in an air quality nonattainment area and every 5 years in an attainment area) is an important part of the metropolitan planning process and is required per [23 CFR § 450.324\(c\)](#). The purpose of updating the MTP is to ensure the document is valid and consistent with current and forecasted transportation and land use conditions, ensure the financial plan is still fiscally constrained, and to reflect changes in performance measures.

MPO committees should routinely reflect on the goals and objectives stated in the MTP. Committees should reaffirm existing goals and objectives or revise them as the regional situation and priorities require. These goals and objectives should guide all other transportation planning processes - ensuring they are correct and relevant is vitally important to the planning process. Updates require public involvement and MPO Policy Committee approval.



## **F. APPROVAL**

MPOs alone approve MTPs, which reflects the importance of developing regionally agreed upon goals, metrics, and strategies. However, while U.S. DOT and IDOT do not approve MTPs, planning funds and project development approvals may be at risk if MTP requirements are not satisfied. Typically, U.S. DOT would use the certification review or STIP approval process to formally act against MTP deficiencies. Currently, if an MTP is not approved by the MPO update deadline, the TIP is frozen until the MTP is approved.

## CHAPTER IX – TRANSPORTATION IMPROVEMENT PROGRAM

Under [23 CFR § 450.326](#), MPOs are required to develop a Transportation Improvement Program (TIP) that includes all surface transportation projects proposed for Federal funding under [23 USC](#) and [49 USC Chapter 53](#). The TIP is based on the existing area-wide transportation plans and programs of implementing agencies and is prepared by MPO staff under the direction of the MPO's committees. The purpose of the TIP is to document projects that will use Federal funding available for the life of the TIP (minimum four-year period).

Projects seeking federal authorization to use funding from any FHWA or FTA program are required to be in the TIP. Projects that are regionally significant in scope, regardless of fund source, are also required to be included. For projects to be included in the TIP, they must first be itemized in the MTP or consistent with the goals of the MTP.

### A. RELATIONSHIP OF THE METROPOLITAN TRANSPORTATION IMPROVEMENT PROGRAM TO THE STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM

IDOT develops or updates their Statewide Transportation Improvement Program (STIP) triennially, which includes all federal funded projects proposed in Illinois over a four-year period. Any change to STIP projects located in a MPA must first be reflected in the MPO TIP. MPO TIPs are incorporated into the STIP by reference.

### B. FISCAL CONSTRAINT

The TIP must be fiscally constrained, meaning all funding estimates are based on anticipated state, federal, and local budgets. TIPs are fiscally constrained to assure project costs do not exceed reasonably available estimated revenues. Additionally, all projects should be shown in year of expenditure dollars. This means increases in cost due to inflation over time should be considered in TIP projects and documented in TIP narratives.

### C. PERFORMANCE MANAGEMENT

TIPs shall include, to the maximum extent practicable, a description of the anticipated effect of the TIP toward achieving the performance targets identified in the metropolitan transportation plan, linking priorities to those performance targets.

### D. UPDATE REQUIREMENTS

In Illinois, MPO TIPs are generally updated annually to reflect project scope changes and adjustments in project cost. They may also be modified or amended to reflect changes in project scope, funding, or to add or delete projects. MPOs are required to provide opportunities for public comment and review during TIP update development and subsequent TIP amendment processes.

### E. PROCESS FOR TIP CHANGES

Two types of changes can be made to the TIP: administrative modifications and amendments. Each MPO may develop their own specific set of policies and procedures that clearly define what constitutes an administrative modification or an amendment. A general description of both TIP changes follows:

#### 1. Administrative Modification

An administrative modification is a minor revision that does not require public input, demonstration of fiscal constraint, or a formal approval by the MPO's committees. These modifications are revisions to the TIP that include minor changes to project

phase costs, funding sources, scope, and the movement of an included project among fiscal years of the TIP.

## **2. Amendment**

An amendment refers to any major revision to a project in the TIP, including the addition or deletion of a federally funded or regionally significant project or a major change in project cost, design concept, or scope. Major revisions must maintain a year-to-year fiscal constraint for the first four years of the TIP. The amended project must also be included in the conformity determination if it affects capacity on the transportation system in nonattainment and maintenance areas. It also must be consistent with the MPO's approved MTP. Amendments require application of public participation procedures and MPO Policy Committee approval unless otherwise delegated by the MPO Policy Committee.

## **F. ADVANCE CONSTRUCTION**

Advance Construction (AC) is a technique that allows the state to initiate a project using non-federal funds while preserving eligibility to convert to federal-aid funds in the future. After an AC project is federally authorized, the State may convert the project to regular federal-aid funding at any time before project close-out, provided federal funds are available for the project at the time of the conversion.

To notify MPOs of a project being authorized to use AC, the State sends an e-mail to the MPO requesting the TIP be updated to reflect AC status. Once the MPO has completed the update to the TIP through an administrative modification, they notify IDOT through the confirmation link provided in the initial request e-mail. The AC designation needs to remain in the project listing until they are converted to using federal funds. The same e-mail notification and confirmation process is used when AC status is removed from a project.

## CHAPTER X – PUBLIC PARTICIPATION PLAN

Per [23 CFR § 450.316](#), MPOs must develop a Public Participation Plan (PPP) to document and guide public participation in major transportation planning products. Public participation should be inclusive, informative, proactive, early and continuing, and open and collaborative.

The following list includes federal requirements for the PPP. These requirements specifically deal with public participation as it relates to a MPO's PPP and the methods public feedback is gathered:

- A. Require a minimum public comment period of 45 days before the MPO's PPP is initially adopted or when amended.
- B. Provide timely notice and reasonable access to information about transportation issues and processes to citizens, affected public agencies, representatives of transportation agency employees, private providers of transportation, other interested parties, and segments of the community affected by transportation plans, programs, and projects (including but not limited to central city and other local jurisdiction concerns). Provide adequate public notice of public participation activities and time for public review and comment at key decision points including, but not limited to, a reasonable opportunity to comment on the proposed MTP and the TIP.
- C. Employ visualization techniques to describe MTPs and TIPs;
- D. Make technical information and meeting notices available in electronically accessible formats and means;
- E. Hold any public meetings at convenient and accessible locations and times;
- F. Demonstrate explicit consideration and response to public input received during the development of the MTP and TIP.
- G. Seek out and consider the needs of those traditionally underserved by existing transportation systems.
- H. When significant written and oral comments are received on the draft MTP or TIP (including the financial plan) as a result of the public involvement process or the interagency consultation process required under the US EPA's conformity regulations, a summary, analysis, and report on the disposition of comments shall be made part of the final plan and TIP.
- I. If the final MTP or TIP differs significantly from the one which was made available for public comment and raises new material issues which interested parties could not reasonably have foreseen from the public involvement efforts, an additional opportunity for public comment on the revised plan or TIP shall be provided.
- J. Public participation processes shall be periodically reviewed by the MPO in terms of their effectiveness in ensuring that the process provides full and open access to all.
- K. These procedures will be reviewed by the FHWA and the FTA during certification reviews for TMAs, and as otherwise necessary for all MPOs, to ensure that full and open access is provided to MPO decision-making processes.
- L. Metropolitan public involvement processes shall be coordinated with statewide and local public involvement processes wherever possible to enhance public consideration of the issues, plans, and programs and reduce redundancies and costs.

## **CHAPTER XI – TRANSIT**

Public transit providers in Illinois rely on local, state, and federal funds for capital and operating expenses. IDOT's role in Illinois' transit system includes the oversight of state and federal funding for transit projects across the state.

Transit capital funding allows agencies to improve safety and repair, rehabilitate, and modernize aging assets and support system growth. The program needs are based on information provided by transit agency assessments per federal and state rules. IDOT's Office of Intermodal Project Implementation (IPI), in conjunction with the Governor's office, reviews proposed capital projects submitted by transit operators in all of Illinois. As funds become available from a state capital program or the Downstate Transportation Improvement Fund (DTIF), IDOT manages an application process by which transit grantees may apply for capital funding for different kinds of projects. Priority is given to projects that can address state of good repair needs immediately. All Downstate projects must be identified in the Downstate Capital Needs Assessment, required for the provision of public transportation, and identified in the appropriate TIP or STIP document.

IPI oversees the development of regional Human Services Transportation Plans (HSTP). Downstate is divided into nine regions with each region having a HSTP Regional Coordinator who writes the plan, oversees the Regional Transportation Committees, and reviews project applications. Each MPA is expected to have a plan, developed by the MPO or transit provider, and a group that discusses needs and approves projects. This is often the MPO Technical Committee but could also be a separate subcommittee.

## APPENDIX A: STATE AND FEDERAL CONTACTS

### A. IDOT METROPOLITAN PLANNING MANAGERS

Holly Bieneman, Director, Office of Planning and Programming  
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2300 South Dirksen Parkway, Room 311  
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Michael Vanderhoof, Bureau Chief of Planning  
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MPOs: All

Vacant, Metropolitan Planning Section Chief  
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TBD  
TBD  
MPOs: All

Tom Kelso, Senior Metropolitan Planning Manager  
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MPOs: Chicago

Tom Caldwell, Metropolitan Planning Manager  
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[Thomas.Caldwell@illinois.gov](mailto:Thomas.Caldwell@illinois.gov)  
MPOs: Cape Girardeau, Carbondale, Danville, Saint Louis

Doug Delille, Metropolitan Planning Manager  
IDOT District 2  
819 Depot Avenue  
Dixon, Illinois 61021  
815-284-5445  
[Douglas.Delille@Illinois.gov](mailto:Douglas.Delille@Illinois.gov)  
MPOs: Beloit, Chicago, DeKalb, Dubuque, Quad Cities

Brandon Geber, Metropolitan Planning Manager  
IDOT Office of Planning & Programming  
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217-557-4154  
[Brandon.Geber@illinois.gov](mailto:Brandon.Geber@illinois.gov)  
MPOs: Kankakee, Peoria, Rockford, Springfield

Bob Innis, Metropolitan Planning Manager  
IDOT Office of Planning & Programming  
2300 South Dirksen Parkway, Room 311  
Springfield, Illinois 62764  
Robert.Innis@illinois.gov  
217-782-2247  
MPOs: Bloomington/Normal, Champaign/Urbana, Decatur

## **B. IDOT DISTRICTS**

The individuals working with MPOs vary at each District office. Typical contacts include Local Roads Engineer and Programming Development Engineer.

IDOT District 1  
201 West Center Court  
Schaumburg, Illinois 60196-1096  
Phone: 847/705-4000

IDOT District 2  
819 Depot Avenue  
Dixon, Illinois 61021-3546  
Phone: 815/284-2271

IDOT District 3  
700 East Norris Drive  
Ottawa, Illinois 61350-1628  
Phone: 815/434-6131

IDOT District 4  
401 Main Street  
Peoria, Illinois 61602-1111  
Phone: 309/671-3333

IDOT District 5  
13473 Illinois Hwy. 133  
P. O. Box 610  
Paris, Illinois 61944-0610  
Phone: 217/465-4181

IDOT District 6  
126 East Ash Street  
Springfield, Illinois 62704-4792  
Phone: 217/782-7301

IDOT District 7  
400 West Wabash  
Effingham, Illinois 62401-2699  
Phone: 217/342-3951

IDOT District 8  
1102 Eastport Plaza Drive  
Collinsville, Illinois 62234-6198  
Phone: 618/346-3100

IDOT District 9  
State Transportation Building  
P. O. Box 100  
Carbondale, Illinois 62903-0100  
Phone: 618/549-2171



### **C. FHWA ILLINOIS DIVISION CONTACT INFORMATION**

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200 West Adams St., Suite 330  
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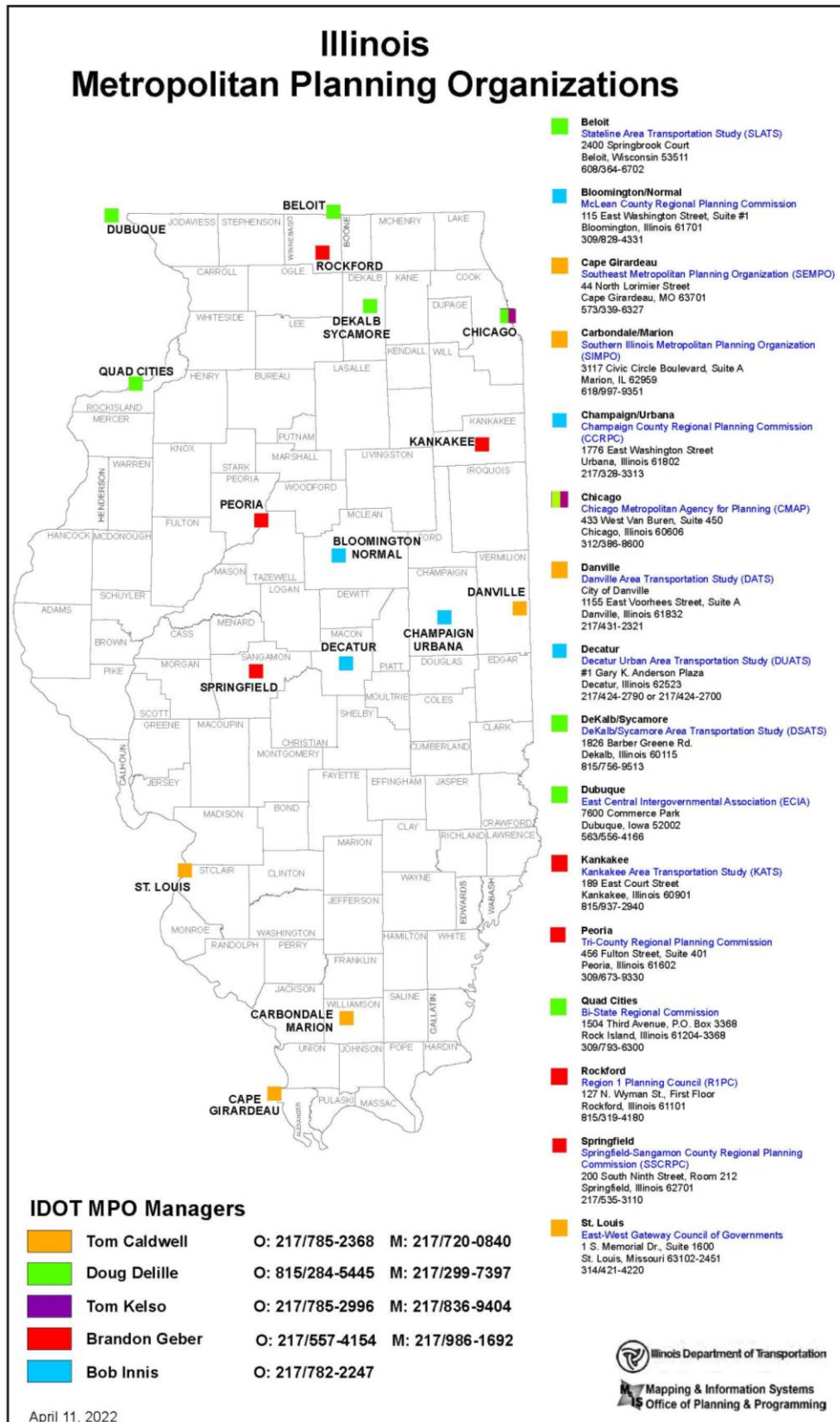
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[betsy.tracy@dot.gov](mailto:betsy.tracy@dot.gov)  
MPOs: Cape Girardeau, Carbondale, Champaign, Danville, Dubuque, Peoria, Quad  
Cities & Saint Louis

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MPO's covered: Bloomington, Decatur & Springfield

### **D. FTA REGION 5 CONTACT INFORMATION**

Tony Greep, Community Planner  
FTA Region 5  
200 West Adams Street, Suite 320  
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[anthony.greep@dot.gov](mailto:anthony.greep@dot.gov)  
Area: Statewide

## E. MPO METRO MANAGER MAP



## APPENDIX B: METROPOLITAN PLANNING ORGANIZATIONS

### ***Bi-State Regional Commission***

Denise Bulat, Director  
Gena McCullough, Staff  
1504 Third Avenue  
Rock Island, IL 61204  
(309) 793-6300  
[www.bistateonline.org](http://www.bistateonline.org)

### ***Champaign-Urbana Urbanized Area Transportation Study***

Dalitso Sulamoyo, Chief Executive Officer (CEO)  
Rita Morocoima-Black, Staff  
1776 E. Washington Street  
Urbana, IL 61802  
(217) 328-3313  
[www.ccrpc.org/programs/transportation/](http://www.ccrpc.org/programs/transportation/)

### ***Chicago Metropolitan Agency for Planning***

Erin Aleman, Executive Director  
433 W Van Buren Street, Suite 450  
Chicago, IL 60607  
(312) 454-0400  
[www.cmap.illinois.gov](http://www.cmap.illinois.gov)

### ***Danville Area Transportation Study***

Sam Cole, Director  
17 W. Main Street  
Danville, IL 61832  
(217) 431-2873  
[www.dats-il.com](http://www.dats-il.com)

### ***Decatur Urbanized Area Transportation Study***

Joselyn Stewart, Director  
#1 Gary K. Anderson Plaza  
Decatur, IL 62523  
(217) 424-2790  
<https://www.decaturlil.gov/departments/development-services/decatourbanized-area-transportation-study-duats/>

### ***DeKalb-Sycamore Area Transportation Study***

Nathan Schwartz, Director  
Vacant, Staff  
1826 Barber Greene Rd.  
DeKalb, IL 60115  
(815) 756-9513  
[www.dsats.org](http://www.dsats.org)

***Dubuque Metropolitan Area Transportation Study***

Kelley Hutton-Deutmeyer, Director  
Chandra Ravada, Staff  
Sarah Berning, Staff  
7600 Commerce Park  
Dubuque, IA 52002  
(563) 556-4166  
[www.eciatrans.org](http://www.eciatrans.org)

***East-West Gateway Council of Governments***

Jim Wild, Executive Director  
One S. Memorial Dr.  
St. Louis, MO 63102  
(314) 421-4220  
[www.ewgateway.org](http://www.ewgateway.org)

***Kankakee Area Transportation Study***

Delbert Skimerhorn, Executive Director  
Ben Wilson, Staff  
Geoff Olson, Staff  
189 E. Court Street  
Kankakee, IL 60901  
(815) 937-2940  
[www.kats-mpo.org](http://www.kats-mpo.org)

***McLean County Regional Planning Commission***

Raymond Lai, Director  
Jennifer Sicks, Staff  
115 E. Washington St., Suite M103  
Bloomington, IL 61701  
(309) 828-4331  
[www.mcplan.org](http://www.mcplan.org)

***Tri-County Regional Planning Commission***

Eric Miller, Acting Executive Director  
Ray Lees, Staff  
456 Fulton Street, Suite 401  
Peoria, IL 61602  
(309) 673-9330  
[www.tricountyrpc.org](http://www.tricountyrpc.org)

***Region 1 Planning Council***

Michael Dunn, Executive Director  
Sydney Turner, Staff  
127 N. Wyman St. First Floor  
Rockford, IL 61101  
(815) 319-4180  
[www.r1planning.org](http://www.r1planning.org)

**Springfield-Sangamon County Regional Planning Commission**

Molly Berns, Executive Director

Shannon Karrick, Staff

200 S. 9th St., Room 212

Springfield, IL 62701

Phone: (217) 535-3110

Fax: (217) 535-3111

[www.co.sangamon.il.us/departments/m-r/regional-planning-commission/program-areas/transportation-planning](http://www.co.sangamon.il.us/departments/m-r/regional-planning-commission/program-areas/transportation-planning)

**Stateline Area Transportation Study**

T.J. Nee, MPO Director

2400 Springbrook Ct

Beloit, WI 53511

Phone: (608) 364-6702

Fax: (608) 364-2879

<https://www.beloitwi.gov/index.asp?SEC=%7B697B3ACC-C70D-4018-8B16-5BF023A44E98%7D>

**Southeast Metropolitan Planning Organization**

Alex McElroy, Executive Director

44 N Lorimier Street

Cape Girardeau, MO 63701

(573) 339-6734

[www.southeastmpo.org](http://www.southeastmpo.org)

**Southern Illinois Metropolitan Planning Organization**

Cary Minnis, Executive Director

Michael Ziarnek, Director of Transportation Planning

3117 Civic Circle Boulevard, Suite A

Marion, IL 62959

(618) 997-9351

[www.greateregypt.org/SIMPO/](http://www.greateregypt.org/SIMPO/)

## APPENDIX C: MPO SELF-CERTIFICATION REQUIREMENTS

Typically, MPO TIPs contain a one-page document with the list of requirements shown below that is signed by the MPO and IDOT. While having this self-certification included in the TIP meets the letter of the law, in most cases, MPO members and staff may need a reminder of what is behind these requirements. As such, FHWA provides the following information to better explain each requirement. This document can easily be used by MPO staff and members to make themselves aware of what the requirements are and as a self-assessment tool in determining if they are carrying out the transportation planning process in accordance with these requirements prior to signing the self-certification document.

[23 CFR § 450.336](#) states the following:

- (a) *For all MPAs, concurrent with the submittal of the entire proposed TIP to the FHWA and the FTA as part of the STIP approval, the State and the MPO shall certify at least every four years that the metropolitan transportation planning process is being carried out in accordance with all applicable requirements including:*
- (1) *23 USC 134, 49 USC 5303, and this subpart;*
  - (2) *In nonattainment and maintenance areas, sections 174 and 176 (c) and (d) of the CAA, as amended (42 USC 7504, 7506 (c) and (d)) and 40 CFR part 93;*
  - (3) *Title VI of the Civil Rights Act of 1964, as amended (42 USC 2000d-1) and 49 CFR part 21;*
  - (4) *49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;*
  - (5) *Section 1101(b) of the FAST Act (Pub. L. 114-357) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;*
  - (6) *23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;*
  - (7) *The provisions of the ADA of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38;*
  - (8) *The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;*
  - (9) *Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and*
  - (10) *Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.*

## APPENDIX D: ELIGIBLE COSTS FOR METROPOLITAN PLANNING FUNDS

PL funds are available for MPOs to carry out the metropolitan transportation planning process required by [23 USC § 134](#), including development of metropolitan area transportation plans and transportation improvement programs. Eligible activities include conducting inventories of existing routes to determine their physical condition and capacity, determining the types and volumes of vehicles using these routes, predicting the level and location of future population, employment, and economic growth, and using such information to determine current and future transportation needs.

In addition, general eligibility activities under the SPR program can also be used for PL funds:

1. Engineering and economic surveys and investigations.
2. The planning of future highway programs and local public transportation systems and the planning of the financing of such programs and systems, including metropolitan and statewide planning under sections 134 and 135 [of 23 U.S.C.].
3. Development and implementation of management systems under sections 119, 148, 149, and 167 [of 23 U.S.C.].
4. Studies of the economy, safety, and convenience of surface transportation systems and the desirable regulation and equitable taxation of such systems.
5. Research, development, and technology transfer activities necessary in connection with the planning, design, construction, management, and maintenance of highway, public transportation, and intermodal transportation systems.
6. Study, research, and training on the engineering standards and construction materials for transportation systems described in paragraph (5), including the evaluation and accreditation of inspection and testing and the regulation and taxation of their use.
7. The conduct of activities relating to the planning of real-time monitoring elements.

Source: <http://www.fhwa.dot.gov/federalaid/projects.cfm>

## APPENDIX E: LOCAL PROGRAMMING MATRIX

<u>Program</u>	<u>General Description</u>	<u>Match Ratio</u>	<u>Eligible Items</u>	<u>Distribution Method</u>
<b>FEDERAL \$</b>				
STR	Surface Transportation Rural funds reserved for rural projects on any Federal-aid highway, including NHS, and bridge or safety projects on any public road.	80/20	ROW, PE, CE, Construction	Formula / D1 Agreement
STU	Surface Transportation Urban funds reserved for urban area projects on any Federal-aid highway, including NHS; bridge or safety projects on any public road, transit capital projects and bus terminals and facilities.	Up to 80% federal; varies by MPO/ Council	ROW, PE, CE, Construction	Formula/MPO Selection
HBP	Highway Bridge Program provides funds to replace or rehabilitate deficient highway bridges, perform systematic preventive maintenance and seismic retrofit.	80/20	ROW, PE, CE, Construction	Formula
HBP Soft Match	Highway Bridge Soft Match Program used to earn credits for non-federal dollars used to repair or replace HBP eligible structures.	up to 100% of match	Construction only to earn	Selection
Major Bridge	State designated HBP funds to replace bridges of significant cost (\$1 million or more for local bridges).	80/20	CE, Construction	Selection
HSIP	Highway Safety Improvement Program provides funding for safety improvement projects that will achieve a significant reduction in traffic fatalities and serious injuries on all public roads.	90/10	ROW, PE, CE, Construction	Selection
HRRRP	High Risk Rural Roads Program provides funds for construction and operational improvements on rural major or minor collectors and rural local roads with fatal and incapacitating injury crash rates above the state average.	90/10	ROW, PE, CE, Construction	Selection
SRTS	Safe Routes to School Program funds projects to enable and encourage children to walk and bicycle to school, improve safety and reduce traffic and air pollution in the vicinity of schools.	100	ROW, PE, CE, Construction, evaluation, encouragement, and enforcement activities	Selection



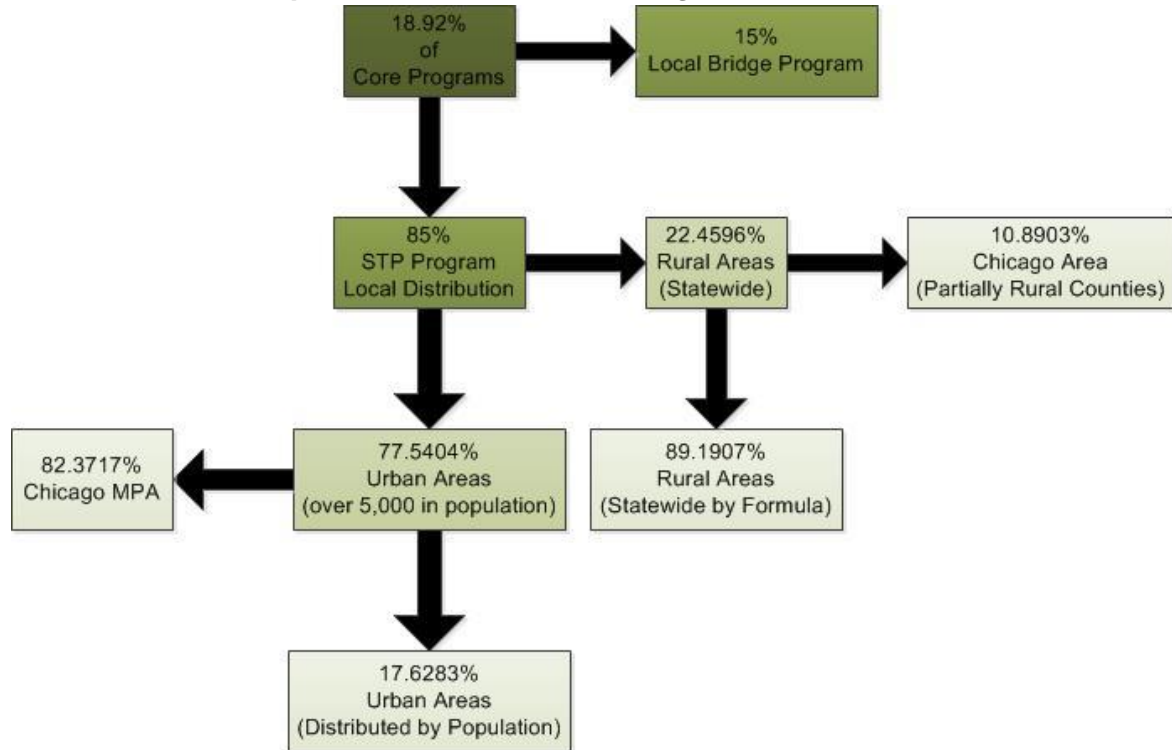
<u>Program</u>	<u>General Description</u>	<u>Match Ratio</u>	<u>Eligible Items</u>	<u>Distribution Method</u>
<b>FEDERAL \$</b>				
Enhancements	Transportation related enhancements designed to strengthen the cultural, aesthetic, and environmental aspects of the intermodal transportation system.	80/20	ROW, PE, CE, Construction	Selection
CMAQ	Congestion Mitigation and Air Quality funds projects and programs in air quality nonattainment areas for ozone, carbon monoxide and small particulate matter to reduce transportation related emissions.	80/20	ROW, PE, CE, Construction	Formula/MPO Selection
Innovative Bridge	Funds projects which demonstrate the application of innovative material technology in the repair, rehabilitation, replacement or new construction of bridges and other highway structures.	80/20	Innovative material and associated construction and engineering	Selection
Rail-Highway Safety	Provides funding for safety improvements at rail / highway crossings.	100	PE, CE, Construction	Selection
Historic Covered Bridge	Funds projects for the restoration and preservation of historic covered bridges	80/20	CE, Construction	Selection
Scenic Byways	Roads that are outstanding examples of scenic, historic, recreational, cultural, archeological and/or natural qualities make communities along the designated route eligible for federal scenic byways funding.	80/20	ROW, PE, CE, Construction	Selection
HPP	High Priority Projects provides designated funding for specific projects (commonly referred to as demonstration projects) identified by Congress.	80/20	Based on earmark language	Selection
TI	Transportation Improvements provides designated funding for specific projects identified in SAFETEA-LU.	varies from 80-100%	Based on earmark language	Selection
TCSP	Transportation, Community and System Preservation provides grants and research to investigate and address the relationship between transportation and community preservation and to identify private sector based initiatives.	varies from 80-100%	Based on earmark language	Selection

<u>Program</u>	<u>General Description</u>	<u>Match Ratio</u>	<u>Eligible Items</u>	<u>Distribution Method</u>
<b>FEDERAL \$</b>				
NCPD	National Corridor Planning and Development provides funds to states and MPO's for coordinated planning, design and construction of corridors of national significance or international trade.	80/20	Based on earmark language	Selection
Section 115, 117, 330, 112	Provides designated funding for specific projects identified by Congress.	varies up to 100%	Based on earmark language	Selection
Federal Lands	Provides funding for coordinated program of public roads and transit facilities serving Federal and Indian lands, including parks and forests.	100	ROW, PE, CE, Construction	Selection
Ferry Boat	Funds the construction of ferry boats and ferry terminal facilities.	80/20	No limit	Selection
Competitive Freight Program	National Highway Freight Program provides funding for projects to improve the mobility, safety, and efficiency of freight and grow the economy throughout Illinois	80/20 (possible 90/10 on Interstate system)	Based on earmark language	Selection
<b>STATE \$</b>				
MFT	Motor Fuel Tax provides funds for the purpose of improving, maintaining, repairing, and constructing highways.	up to 100	ROW, PE, CE, Construction	Formula
TBP	Township Bridge Program provides funds for the use of road districts for the construction of bridges 20 feet or more in length.	80/20	ROW, PE, CE, Construction	Formula
TBP Lapse Pool	Township Bridge Program unexpended funds from original county allotments used to construct bridges with cost exceeding road districts 4-year allotment limit.	80/20	ROW, PE, CE, Construction	Selection
EDP	Economic Development Program aids in improving highway access to new or expanding industrial distribution or tourism developments.	100% state route 50% local route	PE, CE, Construction	Selection

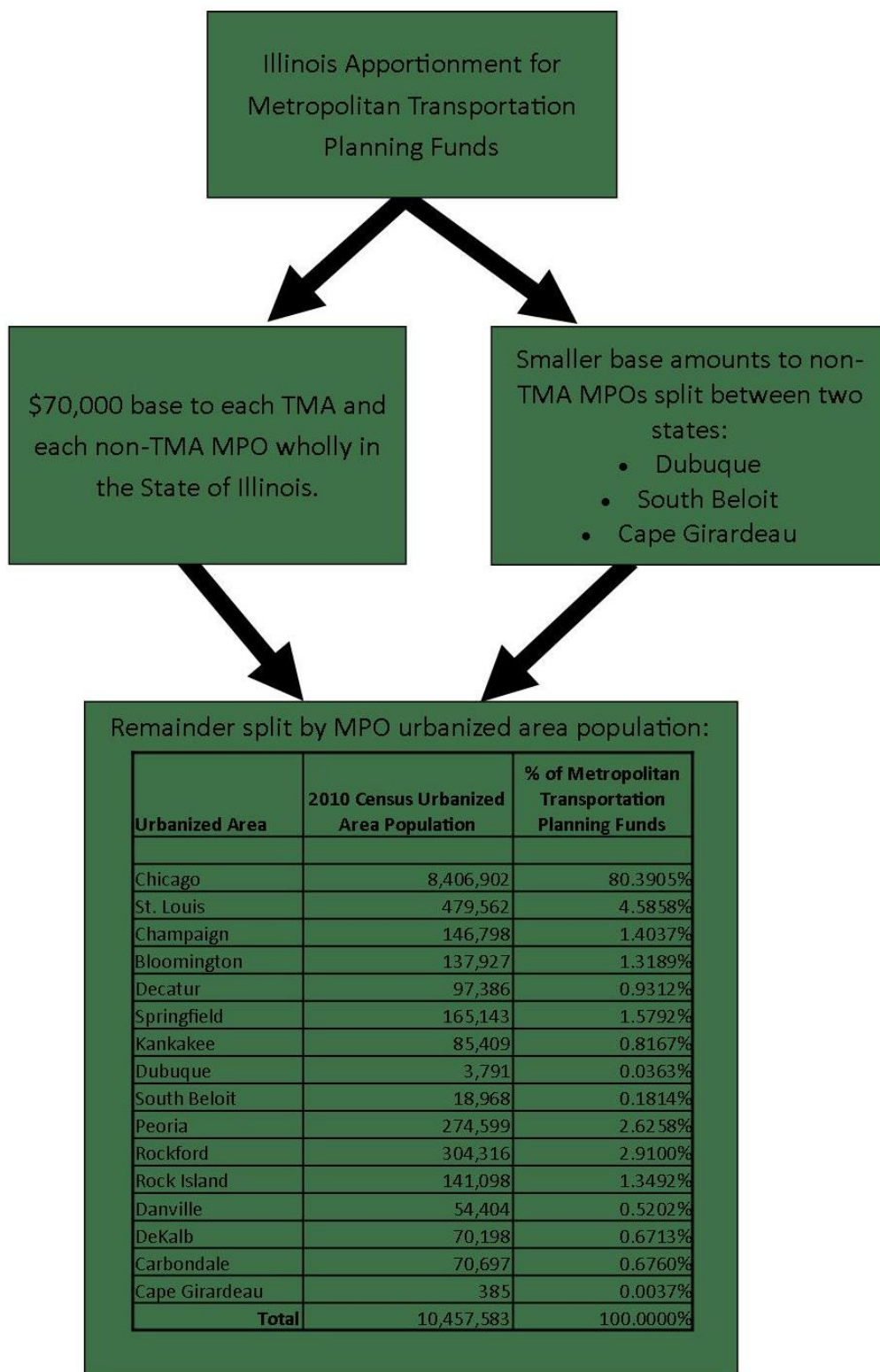
<u>Program</u>	<u>General Description</u>	<u>Match Ratio</u>	<u>Eligible Items</u>	<u>Distribution Method</u>
<b>STATE \$</b>				
TARP	Truck Access Route Program helps local government agencies upgrade roads to accommodate 80,000 pound trucks.	State will provide up to \$900K or 50% (whichever is less)	Construction	Selection
State Matching Assistance	Provides counties with funds to assist in matching federal dollars in areas that do not have sufficient tax base to provide adequate local funds.	up to 100% of match	ROW, PE, CE, Construction	Formula
Grade Crossing Protection	Provides funding for safety improvements at rail / highway crossings.	85% warning devices / 60% grade separation	ROW, PE, CE, Construction	Selection
Jurisdictional Transfer for Present Worth	Allows the state to transfer a highway to a local agency in return for state funds that are deposited in the local agency MFT account.	Lump Sum	MFT eligible	Agreement
County Engineer Salary	Aids counties in paying a reasonable professional salary for their county engineers by exchanging an equal amount of Federal Surface Transportation Program Rural (STR) funds for state funds.	50/50 swap	Salary only	Agreement
Legislative Add-on	Provides designated funding for specific projects identified by the Illinois Legislature.	up to 100%	Based upon language	Selection
Gov/Secretary Commitment	Provides designated funding for specific projects identified by the Governor or IL Secretary of Transportation.	up to 100%	Based upon language	Selection
High Growth Cities	Provides funding to municipalities over 5,000 population experiencing above normal growth.	same as MFT	MFT eligible	Formula
Consolidated County	Provides funding to all counties excluding Cook based on MFT formula by combining three previous special county programs.	same as MFT	MFT eligible	Formula
Needy Township	Program to assist townships and road districts that do not meet minimum revenue requirements for maintaining local roads.	same as MFT	MFT eligible	Formula
Park Access Road Program	Program for both internal and access road improvement projects to sites operated by IDNR or IHPA	up to 100%	ROW, PE, CE, Construction	by % usage for access

# APPENDIX F: FUNDING CHARTS

## Local Surface Transportation – Block Grant Program Distribution



## Metropolitan Transportation Planning Funds Distribution



## **APPENDIX G: REGIONAL ITS ARCHITECTURE REQUIREMENTS**

- Architecture scope and region description – geography, timeframe, range of services, other overlapping or adjacent ITS architectures
- Stakeholder Identification – agency name and jurisdiction. Stakeholder agencies should be involved in the development of the architecture
- System inventory – a listing of regional system elements with descriptions, associated with stakeholders
- Needs and services – transportation needs for the region should be defined and the desired services should derive from the transportation needs
- Operational concept – roles of the primary stakeholders should be defined with enough detail to understand how they deliver ITS services
- Functional requirements – high level functions should be defined and the requirements should be stated with “shall” statements
- Interfaces and information flows – Information flows between elements should be defined and described
- Project sequencing – an initial sequencing of projects should be defined
- Agreements needed to implement projects – existing interagency agreements which can support ITS projects should be identified, and future agreements that will become necessary should be listed
- Standards identification – a listing of appropriate standards and a description how standards will be incorporated into project development should be presented
- Maintenance plan – there must be a specific documented plan for maintaining the architecture.

## APPENDIX H: EXPLANATION OF ABBREVIATIONS AND ACRONYMS

3C	Continuing, Comprehensive, and Cooperative Planning Process
AASHTO	American Association of State Highway and Transportation Officials
AC	Advance Construction
ADA	Americans with Disabilities Act
AQ	Air Quality
BOBS	Bureau of Business Services
CAA	Clean Air Act
CE	Construction Engineering
CFR	Code of Federal Regulations
CMAQ	Chicago Metropolitan Agency for Planning
CMAQ	Congestion Mitigation and Air Quality
CMP	Congestion Management Process
CY	Calendar Year
DBE	Disadvantaged Business Enterprises
DOH	Division of Highways
DTIF	Downstate Transportation Improvement Fund
EFT	Electronic Fund Transfer
EPA	Environmental Protection Agency
FAST	Fixing America's Surface Transportation Act
FFY	Federal Fiscal Year
FHWA	Federal Highway Administration
FMIS	Fiscal Management Information System
FTA	Federal Transit Administration
GATA	Grant Accountability and Transparency Act
GATU	Grant Accountability and Transparency Unit
HSIP	Highway Safety Improvement Program
HSTP	Human Service Transportation Plan
ICI	Office of Intermodal Project Implementation
IDNR	Illinois Department of Natural Resources
IDOT	Illinois Department of Transportation
IEPA	Illinois Environmental Protection Agency
IGA	Intergovernmental Agreement
IJA (BIL)	Infrastructure Investment and Jobs Act (Bipartisan Infrastructure Law)
IML	Illinois Municipal League
ISTEA	Intermodal Surface Transportation Efficiency Act
ITEP	Illinois Transportation Enhancement Program
ITS	Intelligent Transportation Systems
LPA	Local Public Agency

L RTP	Long Range Transportation Plan
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MOU	Memorandum of Understanding
MPA	Metropolitan Planning Area
MPO	Metropolitan Planning Organization
MTP	Metropolitan Transportation Plan
NAAQS	National Ambient Air Quality Standards
NHFP	National Highway Freight Program
NHPP	National Highway Performance Program
NHS	National Highway System
OPP	Office of Planning and Programming
PE	Preliminary Engineering
PL	Planning Funds
PPP	Public Participation Plan
ROW	Right-of-Way
RPC	Regional Planning Council/Commission
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SFY	State Fiscal Year
SIP	State Implementation Plan
SPF	Statewide Planning Funds
SPR	Statewide Planning and Research Funds
SRTS	Safe Routes to School Program
STIP	Statewide Transportation Improvement Program
STP-B	Local Bridge Program
STP-R	Surface Transportation Program Rural
STP-U	Surface Transportation Program Urban
TAP	Transportation Alternatives Program
TCM	Transportation Control Measures
TEA-21	Transportation Equity Act for the 21 <sup>st</sup> Century
TIP	Transportation Improvement Programs
TMA	Transportation Management Area
UBT	Uniform Budget Template
UGA	Uniform Grant Agreement
UPWP	Unified Planning Work Program
USC	United States Code
US DOT	United States Department of Transportation
US EPA	United States Environmental Protection Agency
UZA	Urbanized Area
VMT	Vehicle Miles Traveled