



# MCHENRY COUNTY COUNCIL OF MAYORS

## AGENDA

Thursday, July 15, 2021

9:00 AM

16111 Nelson Road  
Woodstock, IL 60098  
T: 815.334.4642

McHenry County Division of Transportation / Zoom  
16111 Nelson Road, Woodstock, IL 60098  
Zoom link: <https://us02web.zoom.us/j/84818383253>

- ALGONQUIN
- BARRINGTON HILLS
- BULL VALLEY
- CARY
- CRYSTAL LAKE
- FOX RIVER GROVE
- GREENWOOD
- HARVARD
- HEBRON
- HOLIDAY HILLS
- HUNTLEY
- JOHNSBURG
- LAKE IN THE HILLS
- LAKEMOOR
- LAKEWOOD
- MARENGO
- McCULLOM LAKE
- McHENRY
- OAKWOOD HILLS
- PORT BARRINGTON
- PRAIRIE GROVE
- RICHMOND
- RINGWOOD
- SPRING GROVE
- TROUT VALLEY
- UNION
- WONDER LAKE
- WOODSTOCK
- McHENRY COUNTY

- 1. CALL TO ORDER**
  - A. Roll Call/Introductions (Sign-In Sheet)
  - B. Agenda Changes/Announcements
- 2. APPROVAL OF MINUTES – MAY 13**
- 3. PUBLIC COMMENT**
- 4. AGENCY REPORTS**
  - A. IDOT Highway Report – Katie Herdus
  - B. Pace Report – Mary Donner
  - C. Metra Update – Rick Mack
  - D. RTA Update – Andy Plummer
  - E. McHenry County Division of Transportation Update – Scott Hennings
  - F. Illinois Tollway Update – Kelsey Passi
  - G. IDOT STP Local Program Update – Gerardo Fierro
  - H. CMAP Report and Executive Council of Mayors Committee Report – Kama Dobbs
- 5. CONFIRMATION OF COUNCIL OF MAYORS EXECUTIVE COMMITTEE REPRESENTATIVES**  
Action requested: Approval
- 6. APPROVAL - SFY 2022 PLANNING LIAISON CONTRACT**  
Action requested: Approval
- 7. APPROVAL - SURFACE TRANSPORTATION PROGRAM LOCAL METHODOLOGY AND GUIDEBOOK**  
Action requested: Approval
- 8. DISCUSSION - STP AND COVID RELIEF FUNDS**  
Action requested: Discussion
- 9. PRESENTATION - MCHENRY COUNTY DIVISION OF TRANSPORTATION - PARKING DAY**  
Action requested: Information
- 10. DISCUSSION - MCHENRY COUNTY CONNECTION BIKE PLAN**  
Action requested: Information
- 11. PLANNING LIAISON REPORT**
- 12. OTHER BUSINESS / ANNOUNCEMENTS**
- 13. NEXT MEETING DATE AND LOCATION**  
Thursday, September 16, 2021  
Location: TBD

**MCHENRY COUNTY COUNCIL OF MAYORS  
MEETING MINUTES**

**DRAFT**

Thursday, May 13, 2021

9:00 AM

Webex Meeting

---

**1. CALL TO ORDER**

Chairman Mack called the meeting to order at 9:02 a.m.

A. Roll Call/Introductions (Sign-In Sheet)

The meeting had a quorum (minimum of 7 members).

Council Members Present:

1. Village of Algonquin – Bob Mitchard
2. Village of Bull Valley – Emily Berendt
3. City of Crystal Lake – Abby Wilgreen
4. City of Harvard – Dave Nelson
5. Village of Huntley – Tim Farrell
6. Village of Johnsburg - Claudett Sofiakis
7. City of Marengo – Josh Blakemore
8. City of McHenry – Troy Strange
9. Village of Ringwood - Rick Mack, Chair
10. Village of Spring Grove – Mike Lee
11. City of Woodstock – Chris Tiedt
12. McHenry County – Scott Hennings

Staff Present:

1. McHenry County Council of Mayors – Emily Daucher, Planning Liaison
2. McHenry County Council of Mayors – Jon Paul Diipla, Executive Director

Others Present:

1. McHenry County DOT – Ryan Peterson
2. City of Crystal Lake – Mike Magnuson
3. Village of Cary – Courtney Sage
4. Village of Spring Grove – Mark Eisenberg
5. IDOT – Katie Herdus
6. Tollway – Kelsey Passi
7. Baxter & Woodman – Dan Schug
8. HLR – Amy McSwane
9. EEI – Joseph Cwynar
10. BLA – Jacob Thede

**2. MINUTES APPROVAL**

Approval of the minutes for the March 11, 2021 McHenry County Council of Mayors meeting. A motion was made by Mr. Lee and seconded by Ms. Berendt to approve the minutes as presented. The motion carried unanimously. A list of the votes can be found on the last page.

**3. PUBLIC COMMENT**

There was no public comment.

**4. MCHENRY COUNTY COUNCIL OF MAYORS ELECTION**

- A. Chair Mack of Ringwood was nominated for Chair. The motion was made by Ms. Sofiakis and seconded by Mr. Nelson. The motion carried unanimously.
- B. Ms. Berendt of Bull Valley was nominated for Vice Chair. The motion was made by Ms. Sofiakis and seconded by Ms. Wilgreen. The motion carried unanimously.

**5. PROCLAMATION OF SERVICE – PRESIDENT ROBERT J. NUNAMAKER**

- A. A Proclamation of Service was read by Chair Mack in honor of Village President Robert J. Nunamaker of Fox River Grove.

**6. PROGRAM & AGENCY UPDATES**

- A. IDOT Highway Report – Katie Herdus  
Ms. Herdus gave an update on IDOT Projects in McHenry County. The Multi-Year Program has not yet been released and not much has changed. IL 47 at IL 176 has pre-finals in and waiting for approval. At IL 47 from US 14 to IL 120, preliminary engineering plans are being submitted. For IL 31, the agreements were being completed. Resurfacing on US 12 from IL 173 to the State Line has begun and slated to end in June. US 20 roundabout has the utilities completed. Work has started on IL 47 at the Kishwaukee River and US 14 at the Fox River is progressing. Crack/joint sealing will be starting soon on IL 120. There will also be a number of ADA improvements to specific locations. Ms. Herdus is in the office 1 day a week on Tuesdays.
- B. Pace Report – Mary Donner  
Ms. Donner reported that Pace saw a growth in ridership at 55% of pre-pandemic levels. Because of the increase in ridership, there is more of an issue with social distancing on Pace buses. The number of passengers per bus is limited to 15, and single passengers on paratransit. Pace will need to make accommodations if ridership keeps increasing. There is a virtual job fair on May 27 from 10 to 1.
- C. Metra Update – Rick Mack  
Chair Mack also reported that Metra was seeing growth in ridership. People are excited to return to the office. Chair Mack gave an update on the Woodstock yard, located west of the station. Crystal Lake trains will be relocated to this yard, allowing Woodstock to get Crystal Lake level service. Crystal Lake will not lose service due to this change. This will also allow for more maintenance to be done and will be a full yard site. Rep. Underwood identified this as a top priority and included

it in her member-designated projects. It costs \$4 million for engineering and is a \$100 million project. Chair Mack is hopeful the infrastructure bill will provide funding and he thanked Rep. Underwood for her assistance with this project.

- D. RTA Update – Andy Plummer  
Not present, no report.
- E. McHenry County Division of Transportation Update – Scott Hennings  
Mr. Hennings started with the Randall Road project, which is 85% complete. Last Thursday they shifted traffic and have installed permanent signals and completed the lighting. The side street is nearly complete and the side path is in progress. Electrical, landscaping, and concrete work is next up. IDOT is conducting outreach for a project on US 14 at Hartland/Hughes from May 17 to June 13 at [us14hartlandhughes.com](http://us14hartlandhughes.com).
- F. Illinois Tollway Update – Kelsey Passi  
Ms. Passi announced the Work Zone Awareness week from 4/26-4/30 and reminded everyone to drive safe, work safe, and save lives. She also reminded everyone of the 14 day grace period for unpaid tolls, one of the longest in the nation. There will be changes to toll plazas including signage and striping. Tollway 2020 reduced fines to \$3, which has been extended through June 30, 2021. On the construction side, it is the tenth year of Move Illinois capital program, investing \$1.53 billion in regional infrastructure.
- G. IDOT STP Local Program Update – Gerardo Fierro  
Not present, no report.
- H. CMAP Report and Council of Mayors Executive Committee Report – Kama Dobbs  
Ms. Dobbs reported that the application period opened for FLIP, which runs from July 9 to July 30. Applications close June 11. The fiscal year 2021 Cohorts were released and she encouraged everyone to take a look at the IDOT Circular Letter regarding safety information exchange.

**7. STP GUIDEBOOK AND METHODOLOGY**

Ms. Daucher presented the draft STP-L Guidebook and Methodology to the Committee to release for public comment. A motion was made by Mr. Nelson and Ms. Sofiakis. The motion carried unanimously.

**8. ADA TRANSITION PLANS**

Ms. Daucher, Mr. Peterson, and Ms. Dobbs reminded the Council of the need to complete ADA Transition plans as required by law. Ms. Dobbs explained that the FHWA may be making a big deal regarding the plans or lack thereof when it comes to federal funding opportunities. Chair Mack requested example ADA Transition plans and Mr. Peterson offered support for any communities interested in starting one. He also recommended looking up PROWAG.

**9. PLANNING LIAISON REPORT**

Ms. Daucher updated the Council on the status of the McHenry County Connection.

**10. OTHER BUSINESS / ANNOUNCEMENTS**

Ms. Berendt thanked the Council for electing her to Vice Chair. Chair Mack also thanked the Council and asked Ms. Dobbs about including funding for bike path projects in the Shared Fund. Ms. Dobbs thanked him for the suggestion.

Chair Mack also mentioned the status of the July meeting, and Ms. Donner asked if it could be a hybrid meeting with most people attending in person and masked. Chair Mack agreed it would be hybrid.

**11. NEXT MEETING DATE AND LOCATION**

The next meeting is July 15, 2021 and will be held on Webex/at MCDOT.

**12. ADJOURNMENT**

Mr. Tiedt made a motion to adjourn and Mr. Hennings seconded.

**APPROVAL OF THE MINUTES**

<b>Name</b>	<b>Community</b>	<b>Vote</b>
Bob Mitchard	Algonquin	Not present – arrived late
Emily Berendt	Bull Valley	Approve
Abby Wilgreen	Crystal Lake	Approve
Dave Nelson	Harvard	Approve
Tim Farrell	Huntley	Approve
Claudett Sofiakis	Johnsburg	Approve
Josh Blakemore	Marengo	Approve
Rick Mack, Chair	Ringwood	Approve
Mike Lee	Spring Grove	Approve
Chris Tiedt	Woodstock	Not present – arrived late
Scott Hennings	McHenry County	Approve

**ELECTION OF CHAIR MACK AS CHAIR OF MCCOM**

<b>Name</b>	<b>Community</b>	<b>Vote</b>
Bob Mitchard	Algonquin	Not present – arrived late
Emily Berendt	Bull Valley	Approve
Abby Wilgreen	Crystal Lake	Approve
Dave Nelson	Harvard	Approve
Tim Farrell	Huntley	Approve
Claudett Sofiakis	Johnsburg	Approve
Josh Blakemore	Marengo	Approve
Rick Mack, Chair	Ringwood	Approve
Mike Lee	Spring Grove	Approve
Chris Tiedt	Woodstock	Not present – arrived late
Scott Hennings	McHenry County	Approve

**ELECTION OF EMILY BERENDT AS VICE CHAIR OF MCCOM**

<b>Name</b>	<b>Community</b>	<b>Vote</b>
Bob Mitchard	Algonquin	Not present – arrived late
Emily Berendt	Bull Valley	Approve
Abby Wilgreen	Crystal Lake	Approve
Dave Nelson	Harvard	Approve
Tim Farrell	Huntley	Approve
Claudett Sofiakis	Johnsburg	Approve
Josh Blakemore	Marengo	Approve
Rick Mack, Chair	Ringwood	Approve
Mike Lee	Spring Grove	Approve
Chris Tiedt	Woodstock	Not present – arrived late
Scott Hennings	McHenry County	Approve

**RELEASE STP GUIDEBOOK AND METHODOLOGY FOR PUBLIC COMMENT**

<b>Name</b>	<b>Community</b>	<b>Vote</b>
Bob Mitchard	Algonquin	Not present – arrived late
Emily Berendt	Bull Valley	Approve
Abby Wilgreen	Crystal Lake	Approve
Dave Nelson	Harvard	Approve
Tim Farrell	Huntley	Approve
Claudett Sofiakis	Johnsburg	Approve
Josh Blakemore	Marengo	Approve
Rick Mack, Chair	Ringwood	Approve
Mike Lee	Spring Grove	Approve
Chris Tiedt	Woodstock	Approve
Scott Hennings	McHenry County	Approve



# Chicago Metropolitan Agency for Planning

233 South Wacker Drive  
Suite 800  
Chicago, Illinois 60606

312 454 0400  
www.cmap.illinois.gov

Contract # C-22-0007  
Funding Source: 11-0838-00-22

## Intergovernmental Agreement For Transportation Planning Activities McHenry County

---

THIS AGREEMENT by and between the Chicago Metropolitan Agency for Planning, herein called CMAP, and McHenry County, herein called GOVERNMENTAL BODY.

### Required Signatures

By signing below, the GOVERNMENTAL BODY and CMAP agree to comply with and abide by all provisions set forth in Parts 1-5 herein and any Appendices thereto.

#### For the GOVERNMENTAL BODY:

_____ Signature	_____ Type or Print Name of Authorized Representative	_____ Date
Attest:		

_____ Signature	_____ Type or Print Name	_____ Date
--------------------	-----------------------------	---------------

#### For CMAP:

_____ Erin Aleman Executive Director	_____ Attest Signature	_____ Date
--	---------------------------	---------------

- 
- Part 1 Scope/Compensation/Term
  - Part 2 General Conditions
  - Part 3 Federal Conditions of Approval
  - Part 4 Scope of Work/Responsibilities
  - Part 5 Compensation for Services
  - Part 6 FTA Certification Regarding Lobbying
  - Part 7 Agreement Award Notification of Federal Funds
-

**Part 1: Scope/Compensation/Term**

- A. **Scope of Services and Responsibilities.** CMAP and the GOVERNMENTAL BODY agree as specified in Part 4.
- B. **Compensation and Method of Payment.** Compensation (if any) shall be as specified in Part 5. Subject to the conditions of this Agreement, CMAP will honor invoices in amounts deemed by it to be proper to insure the carrying out of the approved scope of services and shall be obligated to pay the GOVERNMENTAL BODY such amounts as may be approved by CMAP. If an invoice is not acceptable, CMAP shall promptly provide the GOVERNMENTAL BODY a written statement regarding its ineligibility or deficiencies to be eliminated prior to its acceptance and processing. Transfer of funds must be made electronically. Please complete Attachment 2: Electronic Billing Information and return to CMAP Attn: Finance Department.
- C. **Tax Identification Number.**

GOVERNMENTAL BODY certifies that:

- 1. The number shown on this form is a correct taxpayer identification number (or it is waiting for a number to be issued.), **and**
- 2. It is not subject to backup withholding because: (a) it is exempt from backup withholding, or (b) has not been notified by the Internal Revenue Service (IRS) that it is subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified the GOVERNMENTAL BODY that it is no longer subject to backup withholding, **and**
- 3. It is a U.S. entity (including a U.S. resident alien).

Name of GOVERNMENTAL BODY: \_\_\_\_\_

Taxpayer Identification Number: \_\_\_\_\_

DUNS No. \_\_\_\_\_

Legal Status (Circle one): Tax-exempt    Government    Nonresident Alien  
Other \_\_\_\_\_

- D. **Compliance with Registration Requirements.** GOVERNMENTAL BODY and its sub-contractors shall: (i) be registered with the Federal SAM if seeking an Award that is partially or fully paid by Federal funds, and registered with the State equivalent of SAM; (ii) be in good standing with the Illinois Secretary of State, if applicable; and (iii) have a valid DUNS number. It is the GOVERNMENTAL BODY'S responsibility to remain current with these registrations and requirements. If the GOVERNMENTAL BODY'S status with regard to any of these requirements change, or the certifications made in and information provided in the Uniform Grant Application changes, Grantee must notify the Grantor in accordance with ARTICLE XVIII.
- E. **Term of Agreement.** The term of this Agreement shall be from **July 1, 2021 to June 30, 2022**
- F. **Amendments.** All changes to this Agreement must be mutually agreed upon by CMAP and the GOVERNMENTAL BODY and be incorporated by written amendment, signed by the parties.



## **Part 2: General Conditions**

The following are general conditions of approval and procedural guidelines and specific terms of Agreement to which all projects are subject. Signatories of this Agreement certify that these conditions and procedures and terms and the conditions and procedures specific to this project will be adhered to unless amended in writing.

### **1. Complete Agreement.**

a. This Agreement including all exhibits and other documents incorporated or referenced in the Agreement, constitutes the complete and exclusive statement of the terms and conditions of the Agreement between CMAP and GOVERNMENTAL BODY and it supersedes all prior representations, understandings and communications. The invalidity in whole or in part of any term or condition of this Agreement shall not affect the validity of other terms or conditions.

b. CMAP's failure to insist in any one or more instances upon the performance of any terms or conditions of this Agreement shall not be construed as a waiver or relinquishment of CMAP's right to such performance by the GOVERNMENTAL BODY or to future performance of such terms or conditions and GOVERNMENTAL BODY'S obligation in respect thereto shall continue in full force and effect. The GOVERNMENTAL BODY shall be responsible for having taken steps reasonably necessary to ascertain the nature and location of the work, and the general and local conditions that can affect the work or the cost thereof. Any failure by the GOVERNMENTAL BODY to do so will not relieve it from responsibility for successfully performing the work without additional expense to CMAP.

c. CMAP assumes no responsibility for any understanding or representations made by any of its officers, employees or agents prior to the execution of this Agreement, unless such understanding or representations by CMAP are expressly stated in this Agreement.

d. Changes: CMAP may from time to time order work suspension or make any change in the general scope of this Agreement including, but not limited to changes, as applicable, in the drawings, specifications, delivery schedules or any other particular of the description, statement of work or provisions of this Agreement. If any such change causes an increase or decrease in the cost or time required for performance of any part of the work under this Agreement, the GOVERNMENTAL BODY shall promptly notify CMAP thereof and assert its claim for adjustment within thirty (30) days after the change is ordered. A written amendment will be prepared for Agreement between CMAP and the GOVERNMENTAL BODY for changes in scope, time and/or costs. No amendments are effective until there is a written Agreement that has been signed by both parties. No claim by the GOVERNMENTAL BODY for equitable adjustment hereunder shall be allowed if asserted after final payment under this Agreement.

e. Changes to any portion of this Agreement shall not be binding upon CMAP except when specifically confirmed in writing by an authorized representative of CMAP.

f. For its convenience, CMAP reserves the right to extend the Term of this agreement. Any changes to the Term of this Agreement shall not be binding until specifically confirmed in writing by authorized representatives of both parties.

2. **Chicago Metropolitan Agency for Planning Designee.** Only the Executive Director of CMAP, or designee, shall have the authority to act for and exercise any of the rights of CMAP as set forth in this Agreement, subsequent to and in accordance with the authority granted by CMAP's Board of Directors.

3. **Compliance/Governing Law.** The terms of this Agreement shall be construed in accordance with the laws of the State of Illinois. Any obligations and services performed under this Agreement shall be performed in compliance with all applicable state and federal laws.

4. **Availability of Appropriation (30 ILCS 500/20-60).** This Agreement is contingent upon and subject to the availability of funds. CMAP, at its sole option, may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if the Illinois

General Assembly, the state funding source, or the federal funding source fails to make an appropriation sufficient to pay such obligation, or if funds needed are insufficient for any reason the GOVERNMENTAL BODY will be notified in writing of the failure of appropriation or of a reduction or decrease.

5. **Allowable Charges.** No expenditures or charges shall be included in the cost of the Project and no part of the money paid to the GOVERNMENTAL BODY shall be used by the GOVERNMENTAL BODY for expenditures or charges that are: (i) contrary to provisions of this Agreement or the latest budget approved by a duly-authorized official of CMAP; (ii) not directly for carrying out the Project; (iii) of a regular and continuing nature, except that of salaries and wages of appointed principal executives of the GOVERNMENTAL BODY who have not been appointed specifically for the purposes of directing the Project, who devote official time directly to the Project under specific assignments, and respecting whom adequate records of the time devoted to and services performed for the Project are maintained by the GOVERNMENTAL BODY may be considered as proper costs of the Project to the extent of the time thus devoted and recorded if they are otherwise in accordance with the provisions hereof; or (iv) incurred without the consent of CMAP after written notice of the suspension or termination of any or all of CMAP's obligations under this Agreement.
6. **Audits.** The records and supportive documentation for all completed projects are subject to an on-site audit by CMAP. CMAP reserves the right to inspect and review, during normal working hours, the work papers of the independent auditor in support of their audit report.
7. **Access to Records.** The GOVERNMENTAL BODY shall maintain, for a minimum of **three (3) years** after the completion of the Agreement, adequate books, records and supporting documents related to the Agreement which shall be made available for review upon request. Failure to maintain the books, records and supporting documents required by this Section shall establish a presumption in favor of CMAP for the recovery of any funds paid by CMAP under the Agreement for which adequate books, records and supporting documentation are not available to support their purported disbursement. In addition:
  - (1) If any litigation, claim or audit is started before the expiration of three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
  - (2) Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.

The GOVERNMENTAL BODY shall include in all subcontracts, if any, under this Agreement a provision that CMAP will have full access to and the right to examine any pertinent books, documents, papers, and records of any such subcontractors involving transactions related to the subcontract for three (3) years from the final payment under that subcontract except that:

- (1) If any litigation, claim or audit is started before the expiration of the three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- (3) Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.

The term "subcontract" as used in this clause excludes purchase orders not exceeding \$2,500.

8. **Cost Category Transfer Request.** Unless prohibited from doing so in 2 CFR 200.308, transfers between approved line items may be made without CMAP's approval only if the total amount transferred does not exceed the allowable variance of the greater of either (i) ten percent (10%) of the Budget line item or (ii) one thousand dollars (\$1,000) of the Budget line item. Discretionary line item transfers may not result in an increase to the Budget.

Notification to CMAP is required for transfers among appropriated cost categories which exceed 10% or \$1,000 of the line item. No transfer of funds can exceed the total Agreement. The GOVERNMENTAL BODY must submit a written report (form provided by CMAP) to CMAP detailing the amount of transfer, the cost categories from and to which the transfer is to be made, and rationale for the transfer.

9. **Procurement Procedures.** All procurement transactions for Contractual Services, Commodities and Equipment shall be conducted in a manner that provides maximum open and free competition. The GOVERNMENTAL BODY shall also meet the following minimum procedural requirements.
  - a. Subcontracting: Subcontracting, assignment or transfer of all or part of the interests of the GOVERNMENTAL BODY concerning any of the obligations covered by this Agreement is prohibited without prior written consent of CMAP.
  - b. Procurement of Goods or Services: For purchases of products or services with any Agreement funds that cost more than \$3,000 but less \$10,000, the GOVERNMENTAL BODY shall obtain price or rate quotations from an adequate number (at least three) of qualified sources. Procurement of products or services with any Agreement funds that are \$25,000 or greater will require the GOVERNMENTAL BODY to use the Invitation for Bid process or the Request for Proposal process. In the absence of formal codified procedures of the GOVERNMENTAL BODY, the procedures of CMAP will be used, provided that the procurement procedures conform to the provisions in Part 3 (K) below. The GOVERNMENTAL BODY may only procure products or services from one source with any Agreement funds if: (1) the products or services are available only from a single source; or (2) CMAP authorizes such a procedure; or (3) after solicitation of a number of sources, competition is determined inadequate.
  - c. Records: The GOVERNMENTAL BODY shall maintain records sufficient to detail the significant history of procurements. These records shall include, but are not necessarily limited to: information pertinent to rationale for the method of procurement, selection of contract type, contractor selection or rejection, and basis for the cost or price.
  - d. No GOVERNMENTAL BODY employee shall participate in the procurement of products or services if a conflict of interest, real or apparent, would be involved. No employee shall solicit or accept anything of monetary value from bidders or suppliers.
  - e. GOVERNMENTAL BODY certifies that to the best of its knowledge, its sub-grantees have complied with and will comply with Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits contractors and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities to the State, or any other unit of government in Illinois including local governments, if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.
10. **Equipment Inventory.** An inventory of non-expendable personal property having a useful life of more than two years and an acquisition cost of \$500 or more is subject to periodic inspection by CMAP.
11. **Method of Payment.** Project expenditures are paid directly from federal and/or state funds. Because CMAP is responsible for obtaining federal reimbursement for project expenditures, it is necessary that CMAP monitor all procedures and documents which will be used to claim and support project-related expenditures. The following procedures should be observed to secure payment:
  - a) Based on services performed, GOVERNMENTAL BODY may submit invoices as frequently as once a month, but is required to submit invoices no later than fifteen (15) days after the end of each quarter. Failure to submit such payment request timely will render the amounts billed an unallowable cost for which the GOVERNMENTAL BODY cannot be reimbursed. CMAP is

committed to reducing paper use and has established an electronic invoicing system. All invoices are to be submitted through email to:

[accounting@cmap.illinois.gov](mailto:accounting@cmap.illinois.gov) AND  
[dolson@cmap.illinois.gov](mailto:dolson@cmap.illinois.gov)

- b) Each invoice and report submitted must contain: the contract number, a unique vendor invoice number, a description of the services performed, the hourly rates and number of hours worked for each staff member, any subcontractor invoices that directly relate to the work performed during the invoice period, an itemization of travel and other costs which are chargeable to the contract and the following certification by an official authorized to legally bind the GOVERNMENTAL BODY:

By signing this payment request, I certify that to the best of my knowledge and belief that the payment request is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of this contract. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

- c) Subject to the conditions of this Agreement, CMAP will honor invoices in amounts deemed by it to be proper to insure the carrying out of the approved scope of services and shall be obligated to pay the GOVERNMENTAL BODY such amounts as may be approved by CMAP. Invoices shall detail expenses and amount of time spent on CMAP assignments. If an invoice is not acceptable, CMAP shall promptly provide the Contractor a written statement regarding its ineligibility or deficiencies to be eliminated prior to its acceptance and processing. All invoices for services performed and expenses incurred by the GOVERNMENTAL BODY for the services of this Agreement must be presented to CMAP no later than fifteen (15) days after the end of this Agreement. Notwithstanding any other provision of this Agreement, CMAP shall not be obligated to make payment to the GOVERNMENTAL BODY on invoices presented after said date. No payments will be made for services performed prior to the effective date of this Agreement. All payments must be transferred electronically to GOVERNMENTAL BODY'S business bank account. The GOVERNMENTAL BODY will be requested to provide transfer numbers for the business bank account when the contract is finalized, in addition to a copy of its IRS W-9 (Request for Taxpayer Identification Number and Certification).

12. **Suspension.** If the GOVERNMENTAL BODY fails to comply with the special conditions and/or the general terms and conditions of this Agreement, CMAP may, after written notice to the GOVERNMENTAL BODY, suspend the Agreement and withhold further payments or prohibit the GOVERNMENTAL BODY from incurring additional obligations of funds pending corrective action by the GOVERNMENTAL BODY. If corrective action has not been completed within sixty (60) calendar days after service of written notice of suspension, CMAP shall notify the GOVERNMENTAL BODY in writing that the Agreement has been terminated by reason of default in accordance with paragraph 12 hereof. CMAP may determine to allow such necessary and proper costs which the GOVERNMENTAL BODY could not reasonably avoid during the period of suspension provided such costs meet the provisions of the U.S. Office Management and Budget 2 CFR 200 in effect on the date first above written.

13. **Termination.**

- a. This Agreement may be terminated in whole or in part in writing by either party in the event of substantial failure (hereinafter termed "Termination by Default") by the other party to fulfill its obligations under this Agreement through no fault of the terminating party, provided that no such termination may be affected unless the other party is given (i) not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to Termination by Default, and (ii) an opportunity for consultation with the terminating party prior to Termination by Default.

- b. This Agreement may be terminated in whole or in part in writing by CMAP for its convenience (hereinafter termed "Termination for Convenience"), provided that GOVERNMENTAL BODY is given not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to terminate.
  - c. If Termination by Default is effected by CMAP, an equitable adjustment in the price provided for in this Agreement shall be made, but (i) no amount shall be allowed for anticipated profit on unperformed services or other work, and (ii) any payment due to GOVERNMENTAL BODY at the time of termination may be adjusted to the extent of any additional costs occasioned to CMAP by reason of GOVERNMENTAL BODY'S default. If Termination by Default is effected by GOVERNMENTAL BODY, or if Termination for Convenience is effected by CMAP, the equitable adjustment shall include a reasonable profit for services or other work performed. The equitable adjustment for any termination shall provide payment to GOVERNMENTAL BODY for services rendered and expenses incurred prior to termination, in addition CMAP may include cost reasonably incurred by GOVERNMENTAL BODY relating to commitments which had become firm prior to termination.
  - d. Upon notice of termination action pursuant to paragraphs (a) or (b) of this clause, GOVERNMENTAL BODY shall (i) promptly discontinue all services affected (unless the notice directs otherwise) and (ii) deliver or otherwise make available to CMAP all data, drawings, specifications, reports, estimates, summaries and such other information and materials as may have been accumulated by GOVERNMENTAL BODY in performing this Agreement, whether completed or in process.
  - e. Upon termination pursuant to paragraphs (a) or (b) of this clause, CMAP may take over the work and prosecute the same to completion by agreement with another party otherwise.
  - f. In the event GOVERNMENTAL BODY must terminate this Agreement due to circumstances beyond its control, the termination shall be deemed to have been effected for the convenience of CMAP. In such event, adjustment of the price provided for in this Agreement shall be made as provided in paragraph c of this clause.
14. **Location of Services.** Services to be performed by the GOVERNMENTAL BODY shall be performed as described in Part 4.
15. **Allocation of Agreement Funds.** The GOVERNMENTAL BODY may spend only those funds which will be reimbursed by both CMAP and the Federal government. This Agreement authorizes the GOVERNMENTAL BODY to spend no more than the limit of compensation as identified in Part 5 Compensation for Services in this Agreement. The GOVERNMENTAL BODY is required to provide the local match as outlined in Part 5 Compensation for Services.
16. **Reporting/Consultation.** The GOVERNMENTAL BODY shall consult with and keep CMAP fully informed as to the progress of all matters covered by this Agreement.
17. **Remedies.** Except as may be otherwise provided in this Agreement, all claims, counterclaims, disputes and other matters in question between CMAP and the GOVERNMENTAL BODY arising out of or relating to this Agreement or the breach thereof will be decided by arbitration. If the parties hereto mutually agree, a request for remedy may be sought from a court of competent jurisdiction within the State of Illinois, County of Cook.
18. **Equal Employment Opportunity.** The GOVERNMENTAL BODY will comply with Executive Order 11246 entitled "Equal Employment Opportunity," as amended by U.S. Department of Labor regulations (41 CFR Part 60). In connection with the execution of this Agreement, the GOVERNMENTAL BODY shall not discriminate against any employee or an applicant for employment because of race, religion, color, sex, national origin, ancestry, or physical or mental handicap unrelated to ability. The GOVERNMENTAL BODY shall take affirmative actions to insure that applicants are employed and that employees are treated during their employment without regard to their race, religion, color, sex, national origin, ancestry, or physical or mental

handicap unrelated to ability. Such actions shall include, but not be limited to, employment, promotion, demotion, transfer, recruitment, recruitment advertising, layoff, termination, rates of pay, other forms of compensation, and selection for training or apprenticeship. The GOVERNMENTAL BODY shall cause the provisions of this paragraph to be inserted into all subcontractors work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that such provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

19. **Small and Minority Business Enterprise.** In connection with the performance of this Agreement the GOVERNMENTAL BODY will cooperate with CMAP in meeting its commitments and goals with respect to the maximum utilization of small business and minority business enterprises, and will use its best efforts to insure that small business and minority business enterprises shall have the maximum practicable opportunity to compete for subcontract work under this Agreement.
20. **Political Activity.** No portion of funds for this Agreement shall be used for any partisan political activity or to further the election or defeat of any candidate for public office.
21. **Prohibited Interest.**
  - a. No officer or employee of CMAP and no member of its governing body and no other public official of any locality in which the Project objectives will be carried out who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of such objectives shall (i) participate in any decision relating to any subcontract negotiated under this Agreement which affects his personal interest or the interest of any corporation, partnership or association in which he is, directly or indirectly, interested; or (ii) have any financial interest, direct or indirect, in such subcontract or in the work to be performed under such contract.
  - b. No member of or delegate of the Illinois General Assembly or the Congress of the United States of America, and no federal Resident Commissioner, shall be admitted to any share hereof or to any benefit arising herefrom.
  - c. The GOVERNMENTAL BODY warrants and represents that no person or selling agency has been employed or retained to solicit or secure this Agreement, upon an agreement or understanding for a commission, percentage, bonus, brokerage or contingent fee, or gratuity, excepting its bona fide employees. For breach or violation of this warranty CMAP shall have the right to annul this Agreement without liability or, at its discretion, to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage bonus, brokerage or contingent fee, or gratuity.
22. **Patents and Copyright Responsibility.**
  - a. The GOVERNMENTAL BODY agrees that any material or design specified by the GOVERNMENTAL BODY or supplied by the GOVERNMENTAL BODY pursuant to this Agreement shall not infringe any patent or copyright and the GOVERNMENTAL BODY shall be solely responsible for securing any necessary licenses required for patented or copyrighted material used by the GOVERNMENTAL BODY.
  - b. If any claim is brought against CMAP by third parties for alleged infringement of third-party patent and copyright and intellectual rights, which claim is caused by breach of the GOVERNMENTAL BODY'S promise as contained in paragraph a of this clause, the GOVERNMENTAL BODY shall save harmless and indemnify CMAP from all loss, damage or expense (including attorney's fees) due to defending CMAP from such claim.
  - c. If the principal purpose of this Agreement is to create, develop or improve products, processes or methods; or to explore into fields which directly concern public health, safety or welfare, or if the Project is in a field of science or technology in which there has been little significant experience outside of work funded by federal assistance; and any discovery or invention arises or is developed in the course of or under this Agreement, such invention or discovery shall be subject to the reporting and rights provisions of U.S. Office of Management and Budget Circular No. A-102 or to U.S. Office of Management and Budget Circular No. A-21, and to the pertinent regulations of the grantor agency(ies) in effect on the date of execution of

this Agreement. The GOVERNMENTAL BODY shall include provisions appropriate to effectuate the purpose of this condition in all subcontracts under this Agreement involving research, developmental, experimental or demonstration work.

23. **Conflict of Interest.** In order to avoid any potential conflict of interest, the GOVERNMENTAL BODY agrees during the term of this Agreement not to undertake any activities which could conflict directly or indirectly with the interest of CMAP. The GOVERNMENTAL BODY shall immediately advise CMAP of any such conflict of interest. CMAP shall make the ultimate determination as to whether a conflict of interest exists.
24. **Ownership of Documents/Title of Work.** All documents, data and records produced by the GOVERNMENTAL BODY in carrying out the GOVERNMENTAL BODY'S obligations and services hereunder, without limitation and whether preliminary or final, shall become and remains the property of CMAP and the GOVERNMENTAL BODY. CMAP and the GOVERNMENTAL BODY shall have the right to use all such documents, data and records without restriction or limitation and without additional compensation to the GOVERNMENTAL BODY. All documents, data and records utilized in performing research shall be available for examination by CMAP upon request. Upon completion of the services hereunder or at the termination of this Agreement, all such documents, data and records shall, at the option of CMAP, be appropriately arranged, indexed and delivered to CMAP by the GOVERNMENTAL BODY.
25. **Software.** All software, related computer programs, and source code produced and developed by the GOVERNMENTAL BODY (or authorized contractor or subcontractor thereof) in carrying out the GOVERNMENTAL BODY'S obligation hereunder, without limitation and whether preliminary or final, shall become and remain the property of both CMAP and the GOVERNMENTAL BODY. CMAP and the GOVERNMENTAL BODY shall be free to sell, give, offer or otherwise provide said software and related computer programs to any other agency, department, commission, or board of the State of Illinois, as well as any other agency, department, commission, board, or other governmental entity of any country, state, county, municipality, or any other unit of local government or to any entity consisting of representative of any unit of government, for official use by said entity. Additionally, CMAP and the GOVERNMENTAL BODY shall be free to offer or otherwise provide said software and related computer programs to any current or future contractor.  
  
CMAP agrees that any entity to whom the software and related computer programs will be given, sold or otherwise offered shall be granted only a use license, limited to use for official or authorized purposes, and said entity shall otherwise be prohibited from selling, giving or otherwise offering said software and related computer programs without the written consent of both CMAP and the GOVERNMENTAL BODY.
26. **Publication.** CMAP and the GOVERNMENTAL BODY shall have royalty-free, nonexclusive and irrevocable license to reproduce, publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data or other materials specifically prepared under this Agreement, and to authorize other material to do so. The GOVERNMENTAL BODY shall include provisions appropriate to effectuate the purpose of this clause in all subcontracts for work under this Agreement.
27. **Confidentiality Clause.** Any documents, data, records, or other information given to or prepared by the GOVERNMENTAL BODY pursuant to this Agreement shall not be made available to any individual or organization without prior written approval by CMAP. All information secured by the GOVERNMENTAL BODY from CMAP in connection with the performance of services pursuant to this Agreement shall be kept confidential unless disclosure of such information is approved in writing by CMAP.
28. **Reporting/Consultation.** The GOVERNMENTAL BODY shall consult with and keep CMAP fully informed as to the progress of all matters covered by this Agreement.
29. **Identification of Documents.** All reports, maps, and other documents completed as part of this Agreement, other than documents exclusively for internal use within the GOVERNMENTAL BODY'S offices, shall carry the following notation on the front cover or a title page or, in the case

of maps, in the same area which contains the name of CMAP and of the GOVERNMENTAL BODY. "This material was prepared in consultation with CMAP, the Chicago Metropolitan Agency for Planning, (<http://www.cmap.illinois.gov>)."

30. **Force Majeure.** Either party shall be excused from performing its obligations under this Agreement during the time and to the extent that it is prevented from performing by a cause beyond its control including, but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products, plants or facilities by the Federal, state or local government; national fuel shortage; or a material act of omission by the other party; when satisfactory evidence of such cause is presented to the other party, and provided further that such nonperformance is unforeseeable, beyond the control and is not due to the fault or negligence of the party not performing.
31. **Workers' Compensation Insurance.** The GOVERNMENTAL BODY and any subcontractors shall, at their own expense, obtain and maintain Workers' Compensation insurance to cover persons employed in connection with services under this agreement. The limits for the Worker's Compensation coverage shall be no less than the statutory limits required by the State of Illinois. A certificate of insurance must be included with this contract.
32. **Independent Contractors.** The GOVERNMENTAL BODY'S relationship to CMAP in the performance of this Agreement is that of an independent contractor. The GOVERNMENTAL BODY'S personnel performing work under this Agreement shall at all times be under the GOVERNMENTAL BODY'S exclusive direction and control and shall be employees of GOVERNMENTAL BODY and not employees of CMAP. The GOVERNMENTAL BODY shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, including, but not limited to, social security, income tax withholding, unemployment compensation, workers' compensation insurance and similar matters
33. **Federal, State and Local Laws.** The GOVERNMENTAL BODY warrants that in the performance of this Agreement it shall comply with all applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and regulations promulgated thereunder. Since laws, regulations, directives, etc. may be modified from time-to-time, the GOVERNMENTAL BODY shall be responsible for compliance as modifications are implemented. The GOVERNMENTAL BODY'S failure to comply shall constitute a material breach of this contract.
34. **Hold Harmless and Indemnity.** The GOVERNMENTAL BODY shall indemnify, defend and hold harmless CMAP, its officers, directors, employees and agents from and against any and all claims (including attorney's fees and reasonable expenses for litigation or settlement) for any loss, or damages, bodily injuries, including death, damage to or loss of use of property caused by the negligent acts, omissions or willful misconduct of the GOVERNMENTAL BODY, its officers, directors, employees, agents, subcontractors or suppliers, in connection with or arising out of the performance of this Agreement.
35. **Equal Employment Opportunities -- Affirmative Action Sexual Harassment.** The GOVERNMENTAL BODY must comply with the Illinois Board of Human Rights Act and rules applicable to public funds, including equal employment opportunity, refraining from unlawful discrimination, and having written sexual harassment policies (775 ILCS 5/2-105).
36. **International Boycott.** The GOVERNMENTAL BODY certifies that neither the GOVERNMENTAL BODY nor any substantially owned affiliate is participating or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or the applicable regulations of the U.S. Department of Commerce. This applies to contracts that exceed \$10,000 (30 ILCS 582).
37. **Forced Labor.** The GOVERNMENTAL BODY certifies it complies with the State Prohibition of Goods from forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to CMAP under this Agreement have been or will be produced in whole or in part by forced labor, or indentured labor under penal sanction (30 ILCS 583).



**38. Assignment.**

a. This Agreement shall be binding upon, and inure to the benefit of, the respective successors, assigns, heirs, and personal representatives of CMAP and the GOVERNMENTAL BODY. Any successor to the GOVERNMENTAL BODY'S rights under this Agreement must be approved by CMAP unless the transaction is specifically authorized under federal law. Any successor will be required to accede to all the terms, conditions and requirements of the Agreement as a condition precedent to such succession.

a. The GOVERNMENTAL BODY shall not assign any interest in this Agreement and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of CMAP hereto, provided, however, that claims for money due or to become due to the GOVERNMENTAL BODY from CMAP under this Agreement may be assigned to a bank, trust company or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished to CMAP.

**39. Subcontracts.**

- a. Any subcontractors or outside associates or contractors required by the GOVERNMENTAL BODY in connection with the services covered by this Agreement will be subject to the approval of CMAP. Any substitutions in or additions to such subcontractors, associates or contractors will be subject to the prior approval of CMAP.
- b. All subcontracts for work under this Agreement shall contain those applicable provisions which are required in this Agreement.
- c. The Contractor may not subcontract services agreed to under this Agreement without prior written approval of CMAP.

**Part 3: Federal Conditions of Approval**

1) Standard Assurances. The GOVERNMENTAL BODY assures that it will comply with all applicable federal statutes, regulations, executive orders, Federal Transit Administration (FTA) circulars, and other federal requirements in carrying out any project supported by federal funds. The GOVERNMENTAL BODY recognizes that federal laws, regulations, policies, and administrative practices may be modified from time to time and those modifications may affect project implementation. All contracts, whether funded in whole or in part with either Federal or State funds, are subject to Federal requirements and regulations, including but not limited to 2 CFR Part 200, 44 Ill. Admin. Code 7000.30(b) and the Financial Management Standards in Paragraph 7.9.

2) Lobbying.

d. Improper Influence. Grantee certifies that no Grant Funds have been paid or will be paid by or on behalf of Grantee to any person for influencing or attempting to influence an officer or employee of any government agency, a member of Congress or Illinois General Assembly, an officer or employee of Congress or Illinois General Assembly, or an employee of a member of Congress or Illinois General Assembly in connection with the awarding of any agreement, the making of any grant, the making of any loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative agreement. 31 USC 1352. Additionally, Grantee certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.

- e. Federal Form LLL. If any funds, other than Federally-appropriated funds, were paid or will be paid to any person for influencing or attempting to influence any of the above persons in connection with this Agreement, the undersigned must also complete and submit Federal Form LLL, Disclosure of Lobbying Activities Form, in accordance with its instructions.
  - f. Lobbying Costs. Grantee certifies that it is in compliance with the restrictions on lobbying set forth in 2 CFR Part 200.450. For any Indirect Costs associated with this Agreement, total lobbying costs shall be separately identified in the Program Budget, and thereafter treated as other Unallowable Costs.
  - g. Procurement Lobbying. Grantee warrants and certifies that it and, to the best of its knowledge, its sub-grantees have complied and will comply with Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits Grantees and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments, if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.
  - h. Subawards. Grantee must include the language of this ARTICLE XI in the award documents for any subawards made pursuant to this Award at all tiers. All sub-awardees are also subject to certification and disclosure. Pursuant to Appendix II(I) to 2 CFR Part 200, Grantee shall forward all disclosures by GOVERNMENTAL BODYs regarding this certification to Grantor.
  - i. Certification. This certification is a material representation of fact upon which reliance was placed to enter into this transaction and is a prerequisite for this transaction, pursuant to 31 USC 1352. Any person who fails to file the required certifications shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.
- 3) Unlawful Discrimination. Compliance with Nondiscrimination Laws. Both Parties, their employees and subcontractors under subcontract made pursuant to this Agreement, remain compliant with all applicable provisions of State and Federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to, the following laws and regulations and all subsequent amendments thereto:
- a. The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), including, without limitation, 44 Ill. Admin. Code Part 750, which is incorporated herein;
  - b. The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*);
  - c. The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a- and 2000h-6). (See *also* guidelines to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons [Federal Register: February 18, 2002 (Volume 67, Number 13, Pages 2671-2685)]);
  - d. Section 504 of the Rehabilitation Act of 1973 (29 USC 794);
  - e. The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*); and
  - f. The Age Discrimination Act (42 USC 6101 *et seq.*).
- 4) Control of Property. The GOVERNMENTAL BODY certifies that the control, utilization and disposition of property or equipment acquired using federal funds is maintained according to the provisions of 2 CFR Part 200, Subpart D, Property Standards.

- 5) Cost Principles The GOVERNMENTAL BODY certifies that the cost principles and indirect cost proposals of this Agreement are consistent with 2 CFR Part 200, Subpart E, and Appendix VII to Part 200, and all costs included in this Agreement are allowable under 2 CFR Part 200, Subpart E.
- 6) Debarment. The GOVERNMENTAL BODY certifies that it is not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this Agreement by any Federal department or agency (45 CFR Part 76), or by the State (See 30 ILCS 708/25(6)(G)).
- 7) Audit Requirements. The GOVERNMENTAL BODY shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507) and Subpart F of 2 CFR Part 200, and the audit rules set forth by the Governor's Office of Management and Budget. See 30 ILCS 708/65(c).
  - a. Audit required. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year.
  - b. Single audit. If A non-Federal entity expends \$750,000 or more in Federal Awards (direct federal and federal pass-through awards combined) during its fiscal year, it must have a single audit or program-specific audit conducted for that year as required in 2 CFR 200.501 and other applicable sections of Subpart F. The audit and reporting package (including data collection form) must be completed as described in 2 CFR 200.512 (single audit) or 2 CFR 200.507 (Program-specific audit). The audit (and package) must be submitted to Grantor either within (i) 30 calendar days after receipt of the auditor's report(s) or (ii) nine months after the end of the audit period, whichever is earlier.
  - c. Financial Statement Audit. A non-Federal entity that expends less than \$750,000 in Federal Awards during its fiscal year and is not subject to the audit requirements in 15.2, but receives between \$300,000 and \$499,999 in Federal and State Awards combined, Grantee must have a financial statement audit conducted in accordance with Generally Accepted Auditing Standards(GAAS); if Grantee expends between \$500,000 and \$749,999 in Federal and State awards combined, Grantee must have a financial statement audit conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS). Grantee shall submit these financial statement audit reports to Grantor either within (i) 30 calendar days after receipt of the auditor's report(s) or (ii) 180 calendar days after the end of the audit period, whichever is earlier.
  - d. Performance Audits. For those organizations required to submit an independent audit report, the audit is to be conducted by the Illinois Auditor General, or a Certified Public Accountant or Certified Public Accounting Firm licensed in the State of Illinois. For audits required to be performed subject to Generally Accepted Government Auditing Standards, Grantee shall request and maintain on file a copy of the auditor's most recent peer review report and acceptance letter.
- 8) Drug Free Workplace. If Grantee is not an individual, Grantee certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act. 30 ILCS 580/3. If Grantee is an individual and this Agreement is valued at more than \$5,000, Grantee certifies it shall not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance during the performance of the Agreement. 30 ILCS 580/4. Grantee further certifies that it is in compliance with the government-wide requirements for a drug-free workplace as set forth in 41 USC 8102.

- 9) Disadvantaged Business Enterprise Assurance. In accordance with 49 CFR 26.13(a), as amended, the GOVERNMENTAL BODY assures that it shall not discriminate on the basis of race, color, national origin, or sex in the implementation of the project and in the award and performance of any third party contract, or subagreement supported with Federal assistance derived from the U.S. DOT or in the administration of its Disadvantaged Business Enterprise (DBE) program or the requirements of 49 CFR Part 26, as amended. The GOVERNMENTAL BODY assures that it shall take all necessary and reasonable steps set forth in 49 CFR Part 26, as amended, to ensure nondiscrimination in the award and administration of all third party contracts and subagreements supported with Federal assistance derived from the U.S. DOT. CMAP's DBE program, as required by 49 CFR Part 26, as amended, will be incorporated by reference and made a part of this Agreement for any Federal assistance awarded by FTA or U.S. DOT. Implementation of this DBE program is a legal obligation of the GOVERNMENTAL BODY, and failure to carry out its terms shall be treated as a violation of the Agreement. Upon notification by the Federal Government or CMAP to the GOVERNMENTAL BODY of its failure to implement its approved DBE program, the U.S. DOT may impose sanctions as provided for under 49 CFR Part 26, as amended, and may in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001, as amended, and/or the Program Fraud Remedies Act, 31 U.S.C. 3801 *et seq.*, as amended.
- 10) Intelligent Transportation Systems Program. As used in this assurance, the term Intelligent Transportation Systems (ITS) project is defined to include any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture."
- a. In accordance with 23 U.S.C. 517(d), as amended by the Moving Ahead for Progress in the 21st Century Act (MAP-21), the GOVERNMENTAL BODY assures it will comply with all applicable requirements of Section V (Regional ITS Architecture and Section VI (Project Implementation)) of FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," at 66 *Fed. Reg.* 1455 *et seq.*, January 8, 2001, and other FTA requirements that may be issued in connection with any ITS project it undertakes financed with Highway Trust Funds (including funds from the mass transit account) or funds made available for the Intelligent Transportation Systems Program.
- b. With respect to any ITS project financed with Federal assistance derived from a source other than Highway Trust Funds (including funds from the Mass Transit Account) or 23 U.S.C. 517(d), the GOVERNMENTAL BODY assures that it will use its best efforts to ensure that any ITS project it undertakes will not preclude interface with other intelligent transportation systems in the Region.
- 11) Davis-Bacon Act. To the extent applicable, the GOVERNMENTAL BODY will comply with the Davis-Bacon Act, as amended, 40 U.S.C. 3141 *et seq.*, the Copeland "Anti-Kickback" Act, as amended, 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*, regarding labor standards for federally assisted subagreements.
- 12) Certifications and Assurances Required by the U.S. Office of Management and Budget (OMB) (SF-424B and SF-424D).

As required by OMB, the GOVERNMENTAL BODY certifies that it:

1. Has the legal authority and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project.
2. Will give the U.S. Secretary of Transportation, the Comptroller General of the United States, and, if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or

- personal gain;
4. Will initiate and complete the work within the applicable project time periods;
  5. Will comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
    - i. Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;
    - ii. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 through 1683, and 1685 through 1687, and U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 CFR Part 25, which prohibit discrimination on the basis of sex;
    - iii. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap;
    - iv. The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
    - v. The Drug Abuse, Prevention, Treatment and Rehabilitation Act, Public Law 92-255, and amendments thereto, 21 U.S.C. 1101 *et seq.* relating to nondiscrimination on the basis of drug abuse;
    - vi. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Public Law 91-616, and amendments thereto, 42 U.S.C. 4541 *et seq.* relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
    - vii. The Public Health Service Act of 1912, as amended, 42 U.S.C. 290dd-2 related to confidentiality of alcohol and drug abuse patient records;
    - viii. Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*, relating to nondiscrimination in the sale, rental, or financing of housing;
    - ix. Any other nondiscrimination provisions in the specific statutes under which Federal assistance for the project may be provided including, but not limited, to 49 U.S.C. 5332, which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity, and Section 1101(b) of the Transportation Equity Act for the 21st Century, 23 U.S.C. 101 note, which provides for participation of disadvantaged business enterprises in FTA programs; and
  6. Any other nondiscrimination statute(s) that may apply to the project.
    - i. The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*
  7. Will comply with all federal environmental standards applicable to the project, including but not limited to:
    - i. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 and Executive Order 11514;
    - ii. Notification of violating facilities pursuant to Executive Order 11738;
    - iii. Protection of wetlands pursuant to Executive Order 11990;
    - iv. Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
    - v. Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, 16 U.S.C. 1451 *et seq.*;
    - vi. Conformity of federal Actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 *et seq.*;
    - vii. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended;
    - viii. Protection of endangered species under the Endangered Species Act of 1973, as amended;
    - ix. GOVERNMENTAL BODY will comply with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project, as required by 49 U.S.C. 303 (also known as "Section 4f");
    - x. The Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271 *et seq.*, which relates to protecting components or potential components of the national wild scenic rivers system; and Environmental impact and related procedures pursuant to 23 C.F.R. Part 771.

13) Will comply with all other federal statutes applicable to the project, including but not limited to:

- a. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 *et seq.*, and 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes, GOVERNMENTAL BODY:
- i) will provide for fair and equitable treatment of any displaced persons, or any persons whose property is acquired as a result of federally-funded programs,
  - ii) has the necessary legal authority under State and local laws and regulations to comply with:
    - The Uniform Relocation Act. 42 U.S.C. 4601 *et seq.*, as specified by 42 U.S.C. 4630 and 4655, and U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR part 24, specifically 49 CFR 24.4, and
  - iii) has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
  - iv) will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
  - v) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, if an FTA-funded Project results in displacement, it will provide fair and reasonable relocation payments and assistance to:
    - 1. Displaced families or individuals, and
    - 2. Displaced corporations, associations, or partnerships,
  - vi) As provided by 42 U.S.C. 4625 and 49 CFR part 24, it will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such:
    - 1. Displaced families and individuals, and
    - 2. Displaced corporations, associations, or partnerships,
  - vii) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before displacement, it will make available comparable replacement dwellings to families and individuals,
  - viii) GOVERNMENTAL BODY:
    - 1. Carry out the relocation process to provide displaced persons with uniform and consistent services, and
    - 2. Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin,
  - ix) It will be guided by the real property acquisition policies of 42 U.S.C. 4651 and 4652,
  - xi) will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, understanding that FTA will provide Federal funding for its eligible costs for providing payments for those expenses, as required by 42 U.S.C. 4631,
  - xii) will execute the necessary implementing amendments to FTA-funded third party contracts and subagreements,
  - xiii) will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances,
  - xiv) will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, relating to any FTA-funded Project involving relocation or land acquisition, and
  - xv) will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions;
    - (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal Loan, Grant Agreement, or Cooperative Agreement, and
    - (2) 49 U.S.C. 5323(l)(2) and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding appropriated or made available for 49 U.S.C.

chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,

- xii. The Flood Disaster Protection Act of 1973, which requires the purchase of flood insurance in certain instances;
  - xiii. Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470; Executive Order 11593, which relates to identification and protection of historic properties;
  - xiv. The Archaeological and Historic Preservation Act of 1974, 16 U.S.C. 469a-1 et seq.;
  - xv. The Laboratory Animal Welfare Act of 1966, as amended, 7 U.S.C. 2131 et seq., which relates to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by a federal award of assistance;
  - xvi. The Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4801 et seq., which relates to prohibiting the use of lead-based paint in construction or rehabilitation of residence structures;
  - xvii. The Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations"; and
  - xviii. Use of parks, recreation areas, wildlife and waterfowl refuges, and historic sites pursuant to 23 C.F.R. Part 774 (Section 4(f) requirements); and
- b. GOVERNMENTAL BODY will, to the extent applicable, comply with the protections for human subjects involved in research, development, and related activities supported by Federal funding of:
    - (1) The National Research Act, as amended, 42 U.S.C. 289 *et seq.*, and
    - (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11.
- 14) Energy Conservation. To the extent applicable, the GOVERNMENTAL BODY and its third party Contractors at all tiers shall comply with mandatory standards and policies relating to energy efficiency that are contained in applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. Section 6321 et seq.
- 15) Bribery. The GOVERNMENTAL BODY certifies that it has not been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, nor made an admission of guilt of such conduct which is a matter of record (30 ILCS 500/50-5).
- 16) Clean Air and Clean Water Act. The GOVERNMENTAL BODY certifies that it is in compliance with all applicable standards, order or regulations issued pursuant to the Clean Air Act (42 USC §7401 et seq.) and the Federal Water Pollution Control Act, as amended (33 USC §1251 et seq.).
- 17) Bid Rigging. The GOVERNMENTAL BODY certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Paragraph 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3 or 720 ILCS 5/33E-4, respectively).
- 18) Debt to State. Grantee certifies that neither it, nor its affiliate(s), is/are barred from receiving an Award because Grantee, or its affiliate(s), is/are delinquent in the payment of any debt to the State, unless Grantee, or its affiliate(s), has/have entered into a deferred payment plan to pay off the debt, and Grantee acknowledges Grantor may declare the Agreement void if the certification is false (30 ILCS 500/50-11).
- 19) Education Loan. GOVERNMENTAL BODY certifies that it is not barred from receiving State agreements as a result of default on an educational loan (5 ILCS 385/1 et seq.).
- 20) Eligibility For Employment In The United States. The GOVERNMENTAL BODY shall complete and keep on file, as appropriate, Immigration and Naturalization Service Employment Eligibility Forms (I-9). These forms shall be used by the GOVERNMENTAL BODY to verify that persons employed by the GOVERNMENTAL BODY are eligible to work in the United States.
- 21) Buy America. As set forth in 49 U.S.C 5323(j) and 49 C.F.R. Part 661, only steel, iron and manufactured products produced in the United States may be purchased with Federal funds

unless the Secretary of Transportation determines that such domestic purchases would be inconsistent with the public interest; that such materials are not reasonably available and of satisfactory quality; or that inclusion of domestic materials will increase the cost of overall project contract by more than 25 percent. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.

- 22) Dues and Fees. The GOVERNMENTAL BODY certifies that it is not prohibited from receiving an Award because it pays dues or fees on behalf of its employees or agents, or subsidizes or otherwise reimburses them for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/1 *et seq.*).
- 22) Pro-Children Act. The CONTACTOR certifies that it is in compliance with the Pro-Children Act of 2001 in that it prohibits smoking in any portion of its facility used for the provision of health, day care, early childhood development services, education or library services to children under the age of eighteen (18), which services are supported by Federal or State government assistance (except such portions of the facilities which are used for inpatient substance abuse treatment) (20 USC 7181-7184).
- 23) Motor Voter Law. The GOVERNMENTAL BODY certifies that it is in full compliance with the terms and provisions of the National Voter Registration Act of 1993 (52 USC 20501 *et seq.*).
- 24) Health Insurance Portability Act. The GOVERNMENTAL BODY certifies that it is in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law No. 104-191, 45 CFR Parts 160, 162 and 164, and the Social Security Act, 42 USC 1320d-2 through 1320d-7, in that it may not use or disclose protected health information other than as permitted or required by law and agrees to use appropriate safeguards to prevent use or disclosure of the protected health information. Grantee shall maintain, for a minimum of six (6) years, all protected health information.
- 25) Criminal Convictions. The GOVERNMENTAL BODY certifies that neither it nor any managerial agent of Grantee has been convicted of a felony under the Sarbanes-Oxley Act of 2002, nor a Class 3 or Class 2 felony under Illinois Securities Law of 1953, or that at least five (5) years have passed since the date of the conviction. Grantee further certifies that it is not barred from receiving an Award under 30 ILCS 500/50-10.5, and acknowledges that Grantor shall declare the Agreement void if this certification is false (30 ILCS 500/50-10.5).
- 26) Illinois Use Tax. The GOVERNMENTAL BODY certifies in accordance with 30 ILCS 500/50-12 that it is not barred from receiving an Award under this Paragraph. Grantee acknowledges that this Agreement may be declared void if this certification is false.
- 27) Environmental Protection Act Violations. The GOVERNMENTAL BODY certifies in accordance with 30 ILCS 500/50-14 that it is not barred from receiving an Award under this Paragraph. Grantee acknowledges that this Agreement may be declared void if this certification is false.
- 28) Goods From Child Labor Act. The GOVERNMENTAL BODY certifies that no foreign-made equipment, materials, or supplies furnished to the State under this Agreement have been produced in whole or in part by the labor of any child under the age of twelve (12) (30 ILCS 584).
- 29) Federal Funding Accountability and Transparency Act of 2006. The GOVERNMENTAL BODY certifies that it is in compliance with the terms and requirements of 31 USC 6101
- 30) False Or Fraudulent Statements Or Claims. The GOVERNMENTAL BODY acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to CMAP in connection with this Agreement, CMAP reserves the right to impose on the GOVERNMENTAL BODY the penalties of 18 U.S.C. Section 1001, 31 U.S.C. Section 3801, and 49 CFR Part 31, as CMAP may deem appropriate. GOVERNMENTAL BODY agrees to include this clause in all state and federal assisted contracts and subcontracts.
- 31) Changed Conditions Affecting Performance. The GOVERNMENTAL BODY shall immediately



notify CMAP of any change in conditions or local law, or of any other event which may significantly affect its ability to perform the Project in accordance with the provisions of this Agreement.

- 32) Third Party Disputes Or Breaches. The GOVERNMENTAL BODY agrees to pursue all legal rights available to it in the enforcement or defense of any third party contract, and FTA or U.S. DOT and CMAP reserve the right to concur in any compromise or settlement of any third party contract claim involving the GOVERNMENTAL BODY. The GOVERNMENTAL BODY will notify FTA or U.S. DOT and the CMAP of any current or prospective major dispute pertaining to a third party contract. If the GOVERNMENTAL BODY seeks to name CMAP as a party to the litigation, the GOVERNMENTAL BODY agrees to inform both FTA or U.S. DOT and CMAP before doing so. CMAP retains a right to a proportionate share of any proceeds derived from any third party recovery. Unless permitted otherwise by the CMAP, the GOVERNMENTAL BODY will credit the Project Account with any liquidated damages recovered. Nothing herein is intended to nor shall it waive U.S. DOT's, FTA's or the CMAP's immunity to suit.
- 33) Fly America. The GOVERNMENTAL BODY will comply with 49 U.S.C. §40118, 4 CFR §52 and U.S. GAO Guidelines B- 138942, 1981 U.S. Comp. Gen. LEXIS 2166, March 31, 1981 regarding costs of international air transportation by U.S. Flag air carriers.
- 34) Non-Waiver. The GOVERNMENTAL BODY agrees that in no event shall any action or inaction on behalf of or by CMAP, including the making by CMAP of any payment under this Agreement, constitute or be construed as a waiver by CMAP of any breach by the GOVERNMENTAL BODY of any terms of this Agreement or any default on the part of the GOVERNMENTAL BODY which may then exist; and any action, including the making of a payment by CMAP, while any such breach or default shall exist, shall in no way impair or prejudice any right or remedy available to CMAP in respect to such breach or default. The remedies available to CMAP under this Agreement are cumulative and not exclusive. The waiver or exercise of any remedy shall not be construed as a waiver of any other remedy available hereunder or under general principles of law or equity.
- 35) Preference for Recycled Products. To the extent applicable, the GOVERNMENTAL BODY agrees to give preference to the purchase of recycled products for use in this Agreement pursuant to the various U.S. Environmental Protection Agency (EPA) guidelines, "Comprehensive Procurement Guidelines for Products Containing Recovered Materials," 40 CFR Part 247, which implements section 6002 of the Resource Conservation and Recovery Act, as amended, 42 U.S.C. § 6962.
- 36) Cargo Preference. Use of United States Flag Vessels. The GOVERNMENTAL BODY agrees to comply with 46 U.S.C. § 55305 and 46 CFR Part 381 and to insert the substance of those regulations in all applicable subcontracts issued pursuant to this Agreement, to the extent those regulations apply to this Agreement.
- 37) Performance measurement. The GOVERNMENTAL BODY must relate financial data of this AGREEMENT to its performance accomplishments. Further, the GOVERNMENTAL BODY must also provide cost information or a budget in Part 6 to demonstrate cost effective practices pursuant to 2 CFR Part 200.301.
- 38) Project closeout. Pursuant to CFR Part 200.343 thru 200.345, the GOVERNMENTAL BODY must submit the required project deliverables, performance and financial reports, and all eligible incurred costs as specified in Parts 5 and 6, respectively, of this AGREEMENT no later than 90 days after the AGREEMENT's end date. Further, the GOVERNMENTAL BODY agrees that the project should then be closed no later than 360 days after receipt and acceptance by CMAP of all required final reports.
- 39) Certification Regarding Annual Fiscal Reports or Payment Vouchers. The GOVERNMENTAL BODY agrees to comply with 2 CFR Part 200.415(a) as follows: To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements

must include a certification, signed by an official who is authorized to legally bind the GOVERNMENTAL BODY, which reads as follows: "By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."

All of the requirements listed in Part 3, paragraphs 1 through 39 apply to the federally funded project. The GOVERNMENTAL BODY agrees to include these requirements in each contract and subcontract financed in whole or in part with federal assistance.

**Part 4: Scope of Work/Responsibilities**

**FY 2022 Planning Liaison Scope of Services**

The Planning Liaison (PL) Program is funded with Federal Metropolitan Planning funds, as allocated in the Unified Work Program (UWP). Local matching funds are provided by each local Council. The PL Program receives Core Supplemental funds to assist CMAP, as the Metropolitan Planning Organization for the Chicago region, in meeting Federal transportation planning requirements including development of a Long Range Transportation Plan, Transportation Improvement Program, and Congestion Management System. The PL Program includes five general task areas described below that will be completed using the Core Supplemental budget as allocated in the FY 2022 UWP.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Quarterly report	Q1, Q2, Q3, Q4	Narrative and fund expenditures
Annual report	Q4	

**Communication & Public Involvement**

The PL program will be the basic communication link between CMAP and the suburban mayors. PL staff will attend CMAP Transportation Committee, MPO Policy Committee, CMAP Board, and other relevant meetings and provide information about CMAP transportation policies, programs and initiatives to local officials and stakeholders, will provide feedback regarding those issues to the CMAP staff, committees and Board and will ensure that CMAP is apprised of regional and sub-regional issues of importance to their communities. PLs will be responsible for keeping their Council membership updated with information through an email newsletter.

The PL program will actively work to assist CMAP staff with the implementation of ON TO 2050 through participation in the CMAP committee structure, facilitation of meetings and events, and distribution of information throughout the sub-regional areas. The PL staff are encouraged to use the CMAP developed Partner Toolkits to help with the distribution of information in Council newsletters and emails.

In accordance with federal metropolitan planning regulations, as an extension of the MPO, the councils shall provide the public with a reasonable opportunity to be involved in the transportation planning process. As such, the PL program will be responsible for conveying information about council transportation activities to council members and the general public via either a council website or the CMAP website. At a minimum, an up-to-date meeting calendar, meeting agendas and attachments, minutes of past meetings, and information regarding the council's STP program development and current status should be available in a timely manner and format that allows for reasonable public access to the decision-making process.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Calendar of council meetings	Q3 with updates as needed	For distribution to council members and interested parties and posting on the council website/web page(s)
Council meeting agendas, materials, and minutes	As needed per council schedule	For distribution to council members and interested parties and posting on the council website/web page(s)
Council website/web pages	Ongoing	For public access
Council newsletters and emails	Ongoing	For distribution to council members and interested parties and posting on the council website/web page(s)

**Regional Planning Support and Technical Assistance**

The PL program will provide staff assistance as part of the ON TO 2050 comprehensive regional planning effort. This includes being involved in the CMAP committee structure and providing technical and other support to help achieve CMAP objectives. The PL staff will participate in and provide input on local planning initiatives as well as regional and sub-regional planning efforts surrounding the Transportation Improvement Program, Congestion Management System, and ON TO 2050. The PL staff will represent the interests of the sub-regional councils when attending and participating in advisory groups, committees, and public meetings for regional or sub-regional planning efforts, and regionally significant projects.

The PL program will support the development and implementation of CMAP’s Local Technical Assistance (LTA) program, the RTA’s Community Planning program, *Invest in Cook*, and similar programs by providing program and funding opportunity information to local agencies, facilitating outreach efforts, assisting CMAP, the RTA, or other program sponsors with the assessment of applications, and facilitating communication with project sponsors during the implementation of projects.

The PL program shall maintain a high level of expertise on transportation planning topics by attending and actively participating in required local and regional trainings, meetings, and conferences. PL staff shall participate in periodic CMAP Planning Liaison Trainings as they are scheduled. Participation in state, and national training, meetings, and conferences is also both allowable and encouraged. The PL program is encouraged to participate in continuing education activities including, but not limited to, , CMAP’s LTA, CMAQ, TAP, STP Shared Fund and other funding program information and training sessions, IDOT program administration and forms and processes training, and IDOT and state of Illinois GATA training, and may also include the annual IDOT Fall Planning Conference, the annual John Noel Public Transit Conference, IML meetings and conferences, FHWA and FTA training offered through NTI, and meetings and conferences by professional organizations such as APA, ITE, ASCE, AASHTO, NARC, and others. PL staff shall encourage appropriate local government participation in the same, and shall communicate procedural changes, new or updated regulations, and other appropriate information from these sessions to local government and transportation partners.

The PL program will provide technical support and assistance regarding transportation issues to CMAP and local governments. It will provide data and analysis regarding issues of importance to regional or sub-regional agencies. To that end, the PL program will assist in the collection of data for the annual obligation report by collecting local transportation obligations as well as assisting with coordination of training to assist all of the region’s municipalities in implementing and improving asset management systems. The PL program will work with CMAP to provided technical assistance to connect lower capacity municipalities with partnership opportunities with other local government or agencies.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Program and funding information for Council members	Ongoing	For distribution to council members and interested parties and posting on the council website/web page(s)
Distribute training opportunity announcements	As needed	For distribution to council members and interested parties in newsletters and/or emails
Summaries of meetings, conferences, trainings, procedural changes, new or updated regulations, and other appropriate information	As needed	For distribution to council members and interested parties in newsletters and/or emails

### **Program Development – Surface Transportation Program**

The PL program will support the region’s programming and management methods for the local Surface Transportation Program (STP) while managing the implementation of existing programs developed in prior years. PL staff shall actively participate in the implementation of Active Program Management (APM) policies for the shared fund and local programs, data collection for determination of funding distribution, and other related activities by attending STP project selection committee meetings, participating in PL and other meetings, facilitating presentations at sub-regional council meetings or events, and soliciting local government feedback and communicating that feedback to CMAP and the STP project selection committee. Discussions and actions on the programming and use of federal funds, including those that occur at individual Council meetings, must take place at open to public meetings with the opportunity for public comment.

In accordance with the agreement between the Council of Mayors and Chicago Department of Transportation regarding the distribution and active program management of locally programmed STP, the PL program shall implement local council STP methodologies that incorporate the APM policies and regional priorities, with support from CMAP staff and the STP project selection committee, and shall complete calls for local projects according to the schedule included in the region’s APM policies. Where required in local methodologies, PL and Council staff shall develop materials and conduct training sessions for local project sponsors seeking STP funding. Per STP APM policies, staff recommended active and contingency programs shall be developed and released for public comment. Local methodologies are required to be posted on individual Council websites and/or the CMAP website and changes to those methodologies must be developed through an open and transparent process that includes reasonable opportunity for public participation.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Staff recommended active and contingency programs	Q1	Posted to council and/or CMAP website
Summary of public comments on the local program and responses to those comments	Q2	Posted to council and/or CMAP website
Approved local STP active and contingency programs and associated TIP amendments	Q2	Programs posted to council and/or CMAP website and TIP amendments completed via eTIP

### **Program Monitoring and Active Program Management**

The PL program will work with local officials, regional, state and federal agencies and consultants to ensure the timely, efficient and effective implementation of transportation projects from the project scoping phase through project completion and close out. This will include providing regular project status reports and attending coordination meetings with CMAP and IDOT staff for all locally sponsored projects, at least semi-annually, and more often when requested. The PL program will be responsible for Active Program Management for locally sponsored projects funded with federal Surface Transportation Block Grant (STP), Congestion Mitigation and Air Quality (CMAQ), Transportation Alternatives Program (TAP), Safe Routes to School (SRTS), STP-Bridge, Highway Safety Improvement Program (HSIP), and other federal and state resources awarded to local governments through regional, statewide, or national selection processes.

The PL program is responsible for initiating and updating local projects within the eTIP database accurately and on time, including mapping projects and attaching related documents. Active Program Management of these projects also includes reviewing and submitting to IDOT all project forms completed by local agencies and their representatives. This includes, but is not limited to, Project Program Information (PPI) forms and draft local agency funding and engineering agreements. This requires that planning liaisons produce and submit to CMAP all appropriate TIP changes for locally-sponsored projects in a timely manner to ensure timely processing by IDOT and timely federal

authorization, and assisting CMAP, IDOT, and FHWA with ensuring timely invoicing and project close out for locally sponsored projects.

The PL program will be the primary public contact for local government projects in the eTIP database. As such, the PLs are expected to keep abreast of project status and issues, and maintain close contact with local project officials and project teams by facilitating the scheduling of project phase kick-off meetings with IDOT and project sponsors, attending those meetings, FHWA/IDOT project coordination meetings, and other project-related meetings and events.

The PL program will assist local governments with accessing state and federal funds by communicating funding opportunity information and assisting local agencies with the completion of applications. The PL program shall communicate project selection results for federal and state funding programs to council members and shall assist local governments with project initiation, including meeting GATA requirements. For calls for projects issued through the eTIP database, the PL staff shall review and release to CMAP all complete funding applications.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Local STP program updates	As needed, minimum quarterly	Posted to Council and/or CMAP website
TIP amendments and modifications that ensure complete and updated project information in eTIP	Ongoing and according to CMAP's Master Transportation Schedule and the IDOT Region 1 Letting Schedule	In eTIP database
Complete funding applications for calls for projects issued through the eTIP database	As needed	In eTIP database
Project updates for all locally implemented projects utilizing state and/or federal funding	As needed, minimum semi-annually	Internal and external reports or spreadsheets

**Contract, Administrative and General Support**

The PL Program requires extensive coordination with numerous agencies at all levels of government. The PL requires myriad forms of reporting, tracking, administrative and other tasks that are intertwined yet distinct from other deliverable categories. Contract Administrative and General Support will cover any and all tasks pertaining to tracking of activities, billing, and coordination internally and externally with partner agencies. PL will also interact with their supervising agencies such as Counties and COGs pertaining to such matters as is necessary to complete the duties outlined in this scope.

<b>Deliverable</b>	<b>Completion Timeline</b>	<b>Comment</b>
Hours Detail	Quarterly	Tracking hours of each deliverable category

<b>Performance Measure Completion Schedule (New Quarterly Reporting Requirement under BOBs 2832)</b>		
<b>Name of Performance Measure</b>	<b>Quantitative Method of Tracking Progress</b>	<b>Completion Date* (Provide actual dates or quarter in which completed)</b>
Regional Planning Support	Number of CMAP Board, CMAP Transportation, MPO Policy Committee, and Planning Liaison meetings attended quarterly	Q1, Q2, Q3, Q4

Active Program Management of Locally Sponsored Programs	% of TIP changes submitted during open amendments vs. TIP changes submitted between amendments	Q1, Q2, Q3, Q4
---	--	----------------

<b>Performance Standards (New Quarterly Reporting Requirement under BOBs 2832)</b>		
<b>Name of Performance Measure</b>	<b>Quantitative Method of Tracking Progress</b>	<b>Performance Standards</b>
Regional Planning Support	Number of CMAP Board, CMAP Transportation, MPO Policy Committee, and Planning Liaison meetings attended quarterly	75% attendance of required meetings per Council
Active Program Management of Locally Sponsored Programs	% of TIP changes submitted during open amendments vs. TIP changes submitted between amendments	100% of TIP Changes are submitted during open amendments

**Part 5. Compensation for Services/Terms of Agreement**

Federal Funds	\$99,892.79	80%
Subtotal	<u>\$99,892.79</u>	
Local Match Provided Through the GOVERNMENTAL BODY	\$24,973.20	20%
Subtotal	<u>\$24,973.20</u>	
CONTRACT TOTAL	\$124,865.99	

- 1) This Agreement is for staff assistance to local officials and to undertake activities in support of transportation planning, programming and management and review by the GOVERNMENTAL BODY.
- 2) The GOVERNMENTAL BODY shall submit to CMAP (1) the line item budget for the Agreement, (2) *Derivation of Effective Hourly Rate* forms for all staff supported under this Agreement, (3) current organizational chart of divisions for all staff supported under this Agreement, (4) resumes of staff supported by this Agreement, (5) copy of GOVERNMENTAL BODY's travel policy (GOVERNMENTAL BODY's travel policy must be approved by CMAP prior to start of Agreement, otherwise the CMAP travel policy will then be enforced) and (6) resolution of the GOVERNMENTAL BODY's approval of the Planning Liaison Scope of Services and budget.
- 3) The GOVERNMENTAL BODY shall submit to CMAP documentation of any changes to the GOVERNMENTAL BODY's personnel, effective hourly rates, maximum hours per person and maximum expenditure per budget category including the effective date and approval date of said changes. In addition, changes to parameters specified in this Agreement are subject to CMAP procedures.
- 4) The GOVERNMENTAL BODY shall employ qualified personnel to undertake the activities outlined in the Scope of Services. The GOVERNMENTAL BODY will utilize procedures recognized by CMAP for hiring personnel, including complete documentation of the steps leading to the selection of the personnel.
- 5) The GOVERNMENTAL BODY may shall submit invoices to CMAP as frequently as monthly, but not less than quarterly. **The final invoice, which is due no later than July 15, 2022 or fifteen (15) days after the end of this Agreement.** The GOVERNMENTAL BODY shall submit separate invoices for the activities subject to 20% local match and the activities subject to 50% local match. Invoice submittals shall be based on the latest *Effective Hourly Rates* submitted to CMAP, multiplied by the hours worked on eligible activities and the eligible expenses incurred by the GOVERNMENTAL BODY during the subject month. The GOVERNMENTAL BODY will submit such back up documentation as required by CMAP, including timesheets indicating eligible hours worked and leave time (sick, holiday, vacation, etc.) and receipts for eligible expenditures and updates to the expenditure spreadsheet. Calculations of staff time and direct and indirect costs shall track directly to the signed invoice voucher. Signatures of the staff performing the activities are required on timesheets verifying which hours are eligible for reimbursements.
- 6) The following statement is required on the Invoice Voucher: *"I certify that costs claimed have been incurred for the purposes specified in the FY 2022 COM PL Agreement"* and shall be followed by the signature of the person in the local agency or conference who is authorized to make such assurances. All of the monthly invoices for the fiscal year are subject to year-end deadlines as outlined in Part C General Conditions of Approval.
- 7) CMAP shall review said monthly invoices and back up documentation for accuracy, completeness and conformance to the Agreement and budget information on file. CMAP will contact the



GOVERNMENTAL BODY if there are deficiencies. If all documents are in order, CMAP will approve the invoice and forward it for reimbursement to the appropriate funding agency.

- 8) The personnel of the GOVERNMENTAL BODY shall attend planning liaison meetings and shall provide a quarterly written report on progress to CMAP.
- 9) The GOVERNMENTAL BODY may submit an annual report at the conclusion of the contract.
- 10) The GOVERNMENTAL BODY will be liable for fulfillment of the Scope of Services. CMAP will notify the GOVERNMENTAL BODY in a timely manner of any deficiencies of the GOVERNMENTAL BODY personnel regarding completion of required activities and other related issues. CMAP reserves the right to decline a contract with deficient GOVERNMENTAL BODY personnel.
- 11) CMAP will schedule and conduct an annual review of the PL Program and the services provided by GOVERNMENTAL BODY personnel. Meeting participants will include but are not limited to CMAP and GOVERNMENTAL BODY and other supervisors as deemed appropriate.

**Part 6. FTA CERTIFICATION REGARDING LOBBYING**

**FTA CERTIFICATION REGARDING LOBBYING**  
(49 CFR PART 20)

Certification for Contracts, Grants, Loans, and Cooperative Agreements  
(To be submitted with each bid or offer exceeding \$100,000)

The undersigned [GOVERNMENTAL BODY] certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The GOVERNMENTAL BODY, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the GOVERNMENTAL BODY understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

\_\_\_\_\_  
Signature of GOVERNMENTAL BODY's Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of GOVERNMENTAL BODY's Authorized Official:

**PART 7: Agreement Award Notification of Federal Funds**

**Amount of Federal funds:** \$99,892.79

**Federal Award Identification Number (FAIN):**

**Name of Project:** 3-C Transportation Activities

**CFDA Number, Federal Agency, Program Title:** 20.205, Federal Highway Administration, Illinois Highway Planning and Construction

**CFSA Number:**

**SAIN:**

**ANNUAL CERTIFICATION FOR COMPLIANCE WITH FEDERAL  
OMB-CIRCULAR A-133/2 CFR Section 200.51(c)(4)**

**NOTICE**

- The certification applies ONLY to governmental agencies, local units of government and non-profit agencies expending federal funds for this project. It does not apply to for-profit public or private entities.
- If OMB Circular A-133/2 CFR Section 200.51(c)(4) applies to your organization, submit the certification or a copy of your OMB A-133/2 CFR Section 200.51(c)(4) single audit to CMAP at the end of your fiscal year for any fiscal year in which you expended any federal funds related to this contract.

**NOTE: ANNUAL COMPLIANCE WITH THIS REQUIREMENT IS MANDATORY FOR EVERY YEAR IN WHICH FEDERAL FUNDS ARE EXPENDED FOR THIS PROJECT BY ANY STATES, LOCAL GOVERNMENTS OR NONPROFIT ORGANIZATIONS. FAILURE TO COMPLY WITH THE ANNUAL CERTIFICATION TO CMAP WILL RESULT IN THE SUSPENSION OF PAYMENTS TO REIMBURSE PROJECT COSTS.**

In accordance with OMB Circular A-133/2 CFR Section 200.51(c)(4), *Audits of States, Local Governments, and Non-Profit Organizations*, such non-federal entities that expend \$750,000 or more in federal awards in a year are required to have a single audit performed in accordance with OMB Circular A-133/2 CFR Section 200.51(c)(4). The Chicago Metropolitan Agency for Planning (CMAP) is required by federal law to obtain and review the single audit of all entities that had any federally participating funds pass through it, irrespective of the amount provided by CMAP. It is the responsibility of the agencies expending federal funds to comply with the requirements of OMB Circular A-133/2 CFR Section 200.51(c)(4) and determine whether they are required to have a single audit performed.

In order to comply with this requirement, your agency must provide the following information to CMAP on an annual basis for every year in which you expended funds for costs associated with this project:

1. If your agency expended \$750,000 (or the current OMB Circular A-133/2 CFR Section 200.51(c)(4) qualifying amount) or more in federal awards from all sources, including other agencies, in a year, you are required to have a single audit performed in accordance with OMB Circular A-133/2 CFR Section 200.51(c)(4) and submit a copy of the report to CMAP within the earlier of 30 days after completion of the single audit or no more than nine months after the end of your fiscal year end.

**Rev. 5/27/2021**

**This is an annual requirement for every year in which you expended funds for this project.**

2. If your agency did not expend \$750,000 (or the current OMB Circular A-133/2 CFR Section 200.51(c)(4)) or more in federal awards from all sources, including other agencies, in any fiscal year for which you expended funds for projects costs and were not required to conduct a single audit, you must complete and return the certification statement.

**This is an annual requirement for every year in which you expended funds for this project.**

3. If your agency receives multiple awards from CMAP, only one annual submittal of this information is required.

Please submit a copy of your OMB Circular A-133/2 CFR Section 200.51(c)(4) single audit or the Single Audit Not Required Certification to:

Chicago Metropolitan Agency for Planning  
Finance Department, Suite 450  
433 West Van Buren Street  
Chicago, IL 60607

Attn: Dan Olson

The single audit must be comprised of four parts. You have the option of including the four parts in one report or a combination of reports. The four parts are commonly known as:

1. Comprehensive Annual Financial Report (Financial Statements)
2. Schedule of Expenditures of Federal Awards and Independent Auditor's Report thereon.
3. Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and other matters based on an Audit of Financial Statements performed in accordance with Government Auditing Standards.
4. Independent Auditor's Report on Compliance with Requirements Applicable to each Major Program and on Internal Control over Compliance in accordance with OMB Circular A-133/2 CFR Section 200.51(c)(4).

Additional information which should be submitted:

1. Corrective Action Plan(s), if applicable.
2. Management Letter, if applicable.
3. Status of Prior Year Findings, if applicable.

For your convenience you may also submit this information via email to Dan Olson at [DOlson@cmaphillinois.gov](mailto:DOlson@cmaphillinois.gov) . If you have any questions, please contact Dan Olson at 312-386-8760.

## NOTICE

- **Do not submit this certification to CMAP with your signed contract.**
- This certification applies ONLY to governmental agencies, local units of government and non-profit agencies expending federal funds for this project. If does not apply to for-profit public or private entities.
- If OMB Circular A-133/2 CFR Section 200.51(c)(4) applies to your organization, this certification or a copy of your OMB Circular A-133/2 CFR Section 200.51(c)(4) single audit must be submitted to CMAP at the end of your fiscal year for any fiscal year in which you expended any federal funds related to this contract.

### Single Audit Not Required Certification

I certify that \_\_\_\_\_ did not expend \$750,000 or more in federal awards in our fiscal year \_\_\_\_\_ and was not required to have a single audit conducted.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

### Subrecipient Contact Information

Subrecipient: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

Fiscal Year End: \_\_\_\_\_

Email address: \_\_\_\_\_

Attachment 2

Electronic Billing Information

Transfer of funds must be made electronically. GOVERNMENTAL BODY certifies to the following information:

Bank Name: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Account No.: \_\_\_\_\_

Bank ACH Routing No.: \_\_\_\_\_

GOVERNMENTAL BODY email address for confirmation:

\_\_\_\_\_

Return this completed form to:

Finance Department  
Chicago Metropolitan Agency for Planning  
433 West Van Buren Street, Suite 450  
Chicago, IL 60607

MCHENRY COUNTY COUNCIL OF MAYORS

**RESOLUTION NUMBER:** R21-002

**APPROVED DATE:** July 15, 2021

**A RESOLUTION OF INTENT AND CONCURRENCE REGARDING THE DISPOSITION OF FY2022  
FEDERAL TRANSPORTATION PLANNING FUNDS AND PROFESSIONAL STAFF ASSISTANCE TO  
THE MCHENRY COUNTY COUNCIL OF MAYORS**

**WHEREAS**, the McHenry County Council of Mayors are duly elected local officials as defined in the Federal Highway Acts of 1970, 1973, and 1976, the Surface Transportation Assistance Acts of 1978, 1982, 1987, the Intermodal Surface Transportation Efficiency Act of 1991, the Transportation Equity Act for the 21<sup>st</sup> Century of 1998, the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005, Moving Ahead for Progress in the 21<sup>st</sup> Century of 2012 and Fixing America's Surface Transportation Act of 2015, and represent a total of twenty-nine government agencies in McHenry County, being twenty-eight municipalities and the County of McHenry; and

**WHEREAS**, McHenry County Council of Mayors receives an allocation of federal transportation planning funds to support professional planning staff, to provide effective liaison with the various regional transportation agencies, to provide professional technical assistance to local units of government and the County of McHenry, to develop and administer the Surface Transportation Program, and to perform transportation planning activities; and

**WHEREAS**, McHenry County Council of Mayors is desirous of continuing to receive professional transportation planning assistance and requests that the County of McHenry, through the McHenry County Division of Transportation, retain a transportation planning professional to provide said assistance; and

**WHEREAS**, the Chicago Metropolitan Agency for Planning (hereinafter CMAP) has mandated certain required work tasks to be undertaken to be eligible to receive Federal Transportation Planning Funds; and

**WHEREAS**, to accomplish said work tasks in a timely and effective manner the McHenry County Division of Transportation is willing to provide said professional and technical assistance to the McHenry County Council of Mayors;

**NOW, THEREFORE BE IT RESOLVED**, that the McHenry County Council of Mayors hereby agrees to reallocate its FY 2022 Federal Transportation Planning Funds and makes said funds available to the McHenry County Division of Transportation to provide the professional and technical transportation assistance needed to perform such work tasks and responsibilities included in the FY 2022 Planning Liaison Scope of Services as may be required by CMAP;

## EXHIBIT "A"

**BE IT FURTHER RESOLVED**, that the Federal Transportation Planning Funds to be used for said professional and technical transportation assistance may be utilized in a manner acceptable to the McHenry County Division of Transportation and CMAP to accomplish said required work tasks and responsibilities;

**BE IT FURTHER RESOLVED**, that copies of this resolution be forwarded to the McHenry County Director of Transportation/County Engineer and the Executive Director of CMAP to make them aware of the desires and intentions of the McHenry County Council of Mayors.

**APPROVED** this 15<sup>th</sup> day of July in Woodstock, Illinois.

---

Richard Mack  
Chair  
McHenry County Council of Mayors  
and  
Village President, Village of Ringwood





# **SURFACE TRANSPORTATION PROGRAM GUIDEBOOK AND METHODOLOGY**

**Adopted:**

DRAFT

# Contents

---

## McHenry County Council of Mayors Membership

### Implementation Policy

- Eligibility
- Project Type Eligibility
- STP-L on State Roads
- Local Match Ratio
- Federal Funding Cap
- Cap of the Number of STP Funded Projects
- Assistance for Disadvantaged Communities

### Program Development

- Project Proposals
- Project Submittals
- Project Applications
- Project Evaluation Process
- Variance Process
- Adoption of Program
- Contingency Program
- Funding Availability

### Active Program Management

- CMAP Active Program Management Policies
- Training
- Designated Project Managers
- Quarterly Status Updates
- Obligation Deadlines
- Milestone Extensions
- Active Reprogramming
- Cost Increase Limitations
- Current Year Cost Increases
- Budget Integrity

### Roadway and Intersection Methodology

### Resurfacing Methodology

# MCHENRY COUNTY COUNCIL OF MAYORS MEMBERSHIP

The Village of Algonquin

The Village of Lakewood

The Village of Barrington Hills

The City of Marengo

The Village of Bull Valley

The Village of McCullom Lake

The Village of Cary

The City of McHenry

The City of Crystal Lake

The Village of Oakwood Hills

The Village of Fox River Grove

The Village of Port Barrington

The Village of Greenwood

The Village of Prairie Grove

The City of Harvard

The Village of Richmond

The Village of Hebron

The Village of Ringwood

The Village of Holiday Hills

The Village of Spring Grove

The Village of Huntley

The Village of Trout Valley

The Village of Johnsburg

The Village of Union

The Village of Lake in the Hills

The Village of Wonder Lake

The Village of Lakemoor

The City of Woodstock

The County of McHenry

# QUICK REFERENCE FACT SHEET

This is a quick reference sheet for the policies located in this guidebook. Not all the information in this guidebook is located on this sheet. All the information here links to its location in the guidebook. **Please review the entire document before submitting an application.**

**Call for Projects period:** January 2022 - March 2022 (when applications are submitted)

**Maximum federal award:** \$1,500,000 for all phases combined

Eligible phases	Federal/local ratio
Phase I (resurfacing only)	50/50
Phase II	50/50
Construction/CE	80/20

**Number of funded projects allowed:** 1 per project sponsor, but unlimited applications.

**Active program:** projects with at least one phase with federal funding

**Contingency program:** projects without federal funding but eligible to receive federal funds if they become available

**Active Program Management:** policies put forward by CMAP (in conjunction with IDOT and FHWA) that outline the requirements for reporting and programming of STP-L funds.

**Obligation deadlines:** money must be awarded in the Federal Fiscal Year in which it is programmed - by September 30 - unless an extension is requested and granted.

**Quarterly Status Updates:** due each quarter (December, March, June, September). Required for project management and tracking.

**Applications can be submitted to:** [planningliaison@mchenrycountyil.gov](mailto:planningliaison@mchenrycountyil.gov)

Approved:

## **IMPLEMENTATION POLICY AND REQUIREMENTS**

### **ELIGIBILITY**

Projects must be located on federally eligible roadways. This is determined using the [functional classification](#) of a roadway. The route must be federally eligible by the time of application to be considered for STP-L funding. Routes that are eligible are those classified as:

- Principal or Minor Arterials
- Major or Minor Collectors

### **PROJECT TYPE ELIGIBILITY**

*Table 1*

<b>Eligible Project Types</b>	
Roadway and Intersections	Resurfacing
Intersection Channelization	Local Agency Functional Overlay (LAFO)
Roadway Widening	Local Agency Structural Overlay (LASO)
New Roadway Construction	Resurfacing
Roadway Reconstruction	
Traffic Signals, Modifications, and/or Modernization	
Modern Roundabout (including mini roundabouts)	

### **STP-L ON STATE ROADS**

The primary purpose of the STP-L program is to improve municipal and County roads. However, a municipality or the County may choose to sponsor and apply for STP-L funding for an intersection project that includes a State road. Only intersection projects will be considered in this manner.

## LOCAL MATCH RATIO

Table 2

Phase	Ratio	Notes
Phase I (E1)	50/50	Phase I only eligible for <u>resurfacing projects</u>
Phase II (E2)	50/50	Phase II eligible for <u>all project types</u>
ROW	Not eligible	ROW <u>not eligible</u> for any project types
Construction/CE	80/20	

### FEDERAL FUNDING CAP

The maximum federal STP-L funding obligated for any one project shall be no more than \$1,500,000.00, inclusive of all phases.

### CAP ON THE NUMBER OF STP-FUNDED PROJECTS

During each call for projects, MCCOM members may submit an unlimited number applications for any number of STP-L eligible projects. However, each municipal sponsor will be limited to no more than one (1) awarded project to be included in the active program during each call for projects. Projects spanning across multiple jurisdictions must identify a lead sponsoring agency. This lead sponsor shall consider that project their only awarded project during that call.

### ASSISTANCE FOR DISADVANTAGED COMMUNITIES

Federal law allows states to accrue Transportation Development Credits for Highways (TDCHs), also known as "Toll Credits", when capital investments are made on federally approved tolled facilities. TDCHs can be used in place of the 20 percent local match. MCCOM member municipalities within the highest need group (Cohort 4), as defined by CMAP, are permitted to utilize TDCHs to reduce their local match for STP-L to only 10 percent (90 percent federal). Eligibility is determined at the time of application for STP funds. For Cohort 4 communities, all phases are eligible for the use of TDCHs, excluding ROW. Eligibility for TDCHs does not guarantee that the project will be selected for STP-L funding or that IDOT will ultimately approve the use of TDCHs for that project. MCCOM will follow both CMAP's and IDOT's policies. See Cohort table on Page 14 for a table of Cohorts and communities.

# PROGRAM DEVELOPMENT

## PROJECT PROPOSALS

Project sponsor must be a member of the McHenry County Council of Mayors to apply for a project. Any member may propose a project, but the following requirements must be met:

- The project is on an STP eligible route and has logical termini. Eligibility and termini will be determined by MCCOM and concurred by IDOT, in accordance with FHWA requirements.
- The project is an STP eligible project type as specified in both the MCCOM project list and current federal transportation bill.
- The project sponsor(s) must be able to fund the local match and adopt a resolution or ordinance. Any multi-jurisdictional projects must identify which municipality will be responsible for each component or phase of the project.
- The project sponsor must be a member of MCCOM. Any other agencies that wish to apply for a project must have an MCCOM member as a co-sponsor. This includes Township Road Districts, transit agencies, or other agencies in McHenry County.
- The project sponsor must complete an application and submit for consideration during the Call for Projects period.

## PROJECT SUBMITTALS

Submittals for the STP-L program may only be made in response to a specific call for projects announced by the Council. Council calls will be held in even numbered years beginning in 2020.

## PROJECT APPLICATIONS

All applications will be submitted electronically via email to: [planningliaison@mchenrycountyil.gov](mailto:planningliaison@mchenrycountyil.gov) and will be reviewed by the Planning Liaison. Incomplete or late applications will not be accepted.



## **PROJECT EVALUATION PROCESS**

Once the Call for Projects has closed and all applications have been received, the evaluation process will begin. Projects will be ranked by the Planning Liaison using the scoring system on pages 16-17. The recommended program of projects and contingency program will be released for the Council's review and approval. The program will go through a 30 day public comment period, after which it will go to the Council for approval. After approval, the projects will be entered into the Transportation Improvement Program (TIP), where it will be approved by the CMAP Transportation Committee, then the MPO Policy Committee in October.

## **VARIANCE PROCESS**

The project selection methodology is used in the selection of project to be included in the Council's Five-Year Program. However, if a sponsor would like the Council to consider a project for reasons beyond those listed in the ranking system, the Council may consider and approve the project on a case-by-case basis, but the project will be subject to the same project selection methodology as all other projects. This process shall only be used during an active call for projects. This process cannot be in conflict with CMAP's Active Program Management Policies and STP agreement.

## **ADOPTION OF PROGRAM**

The regularly scheduled Council meetings shall vote on any updates to the Council's 5-Year fiscally constrained STP Program.

## **CONTINGENCY PROGRAM**

Projects that did not rank into the Council's Active Program in the most recent call cycle will be included in a contingency list. Contingency projects will remain in the council's program until the next call for projects in the following even year. Active projects may also be reprogrammed into the contingency list, either voluntarily or due to missing an obligation deadline. In such a case, those projects must reapply in the next Call for Projects.

## **FUNDING AVAILABILITY**

Funding for projects is contingent on the federal program being authorized and appropriated.

# ACTIVE PROGRAM MANAGEMENT

## CMAP ACTIVE PROGRAM MANAGEMENT POLICIES

All sponsors participating in the STP federal funding process through the McHenry County Council of Mayors will be subject to the policies and procedures detailed in the Chicago Metropolitan Agency for Planning's Active Program Management Policies (APM). In the event that updates are made by CMAP to the APM policies and are in conflict with MCCOM's Surface Transportation Program Guidebook, APM will override MCCOM's STP Guidebook.

## TRAINING

Understanding the STP and federal process and requirements leads to successful completion of projects. An understanding of the process and project implementation leads to realistic timelines and expectations. Project sponsors that have projects recommended for inclusion in either the Active or Contingency Programs will be **required** to attend an STP workshop prior to the formal adoption of the program.

## DESIGNATED PROJECT MANAGERS

Upon inclusion in either the Active or Contingency Programs, each project sponsor shall designate a Technical Project Manager as well as a Financial Project Manager for communication.

A Technical Project Manager that will be responsible for overseeing the implementation of the project, managing any consultants involved in the project, ensuring that all federal, state, and local requirements are met and, in conjunction with the Financial Project Manager, ensuring that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.

A Financial Project Manager that will be responsible for ensuring that any required local matching funds are included in the sponsor agency budget in the appropriate fiscal year(s) in which federal obligation and/or project expenditures will occur, and, in conjunction with the Technical Project Manager, that the required agreements between the sponsor agency and IDOT are approved and executed in an appropriate and timely manner.

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

The project managers must be reported to the Planning Liaison and should also be documented in the CMAP eTIP database. In the event of staff changes, a new designee(s) shall be assigned as soon as possible. These managers should be familiar with the federally funded project implementation process and are strongly encouraged to take advantage of training opportunities.

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

### **QUARTERLY STATUS UPDATES**

Quarterly status updates must be submitted by one of the designated project managers. These updates are required to be submitted any day within each month of December, March, June, and September. Updates cannot be submitted early or late and still be considered official. Status updates must be sent even if there was no change to the project status. Consequences for not providing quarterly updates in a timely manner are shown below in Table 1.

*Table 3*

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

## OBLIGATION DEADLINES

Any project phase programmed in the current Federal Fiscal Year (FFY) on or after the first day of that FFY (October 1) is required to fully obligate the programmed federal funds prior to the end of that FFY (September 30). A project phase is considered to be obligated if federal funds have been authorized as “current” or “Advance Construction (AC)” in FHWA’s FMIS database. The entire phase must be obligated, up to the programmed amount or the final engineer’s estimate, whichever is less, to be considered fully funded. “Staged” construction, or “combined” engineering phases are not considered fully obligated until all stages/phases under a single State Job or Federal Project Number are fully obligated. Table 4 describes the action(s) necessary to obligate each federally funded phase, and the milestone deadlines that should be met to meet the obligation requirement.

Table 4

Federally Funded Phase	Federal Obligation Action	Milestone(s)	Milestone Deadline
Phase I Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase 1 QBS* completed	1. Before submitting draft agreements
		2. Draft agreements submitted to IDOT (3-6 month review)	2. June 30 (approx.)
Phase II Engineering	Execution of Local Agency Agreement and Engineering Agreement	1. Phase II QBS completed	1. Before submitting draft agreements
		2. Phase I Design Approval (DA) received	2. Before submitting draft agreements
		3. Draft agreements submitted to IDOT	3. April 30 (approx.)
Construction (state let)	Execution of Local Agency Agreement (Approx. 6 weeks prior to letting)	1. Phase 2 pre-final plans submitted	1. Date specified on the IDOT Region 1 Letting Schedule for the November state letting (typically early-June)

## MILESTONE EXTENSIONS

After the March status update, if project milestones are not anticipated to be achieved, the project sponsor may by April 15th:

1. Request a one-time, six-month extension of the phase obligation deadline.
  - For Phase 1 Engineering, Phase 2 Engineering, the extended deadline will be March 30th of the following calendar year.
  - For Construction/Construction Engineering, the extended deadline will be the federal authorization date for the April state letting in the following calendar year.
  - If the end of the six-month extension has been reached, and the phase remains unobligated solely due to agreement review and the agreement was submitted to IDOT before August 1st of the prior year in a good faith attempt to ensure timely obligation of funds within the programmed FFY, an additional three-month extension will be automatically granted for that phase. An additional extension will be to June 30 for engineering and ROW phases, and the federal authorization date for the August state letting for construction/construction engineering phases.
2. Request the current phase and all subsequent phases be immediately removed from the active program and placed in the contingency program to make the phase available for active reprogramming. If not moved back into the active program for the next call for projects, the sponsor must reapply for funding consideration.
3. Proceed at your own risk. If the programmed funds are not obligated as of September 30, the programmed phase and all subsequent phases will be removed from the active program and will not be added to the contingency program. Programmed funds will not be carried over or available for reprogramming and will be permanently removed from the Council's programming mark. The sponsor would then need to reapply during the next call for projects.

Following the March status update, and other requests for extensions, sponsors of project phases included in the contingency program that have indicated potential for current year obligation of funds will be notified of the possible availability of funding and will be encouraged to take necessary actions to prepare for obligation of funds between June and October.

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

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

## **ACTIVE REPROGRAMMING**

If a project sponsor can demonstrate timely implementation of a project; that project sponsor may request unobligated Council funds below the threshold of fiscal constraint for that Federal Fiscal Year. Active Reprogramming can be used for:

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

In the case of moving a project from the contingency list to the active list, a request must be made by the project sponsor to the Planning Liaison. Project moved from the contingency list to the active program must be approved by a simple majority of the Council.

## **COST INCREASE LIMITATIONS**

Projects at the Council's \$1,500,000.00 cap are not eligible for a cost increase. Projects below the federal funding cap are eligible for a cost increase of up to ten percent (10%) of the original STP programmed amount, subject to the MCCOM's federal funding cap and the availability of additional STP funds. Any cost increase above 10% of the originally programmed STP amount will be the responsibility of the local sponsor. Funding of cost increases cannot be guaranteed. Project phases on the Contingency lists are eligible for cost increases. For project phases programmed in the first two years of the Council's active program, cost increases can only be granted for project phases in the current fiscal year that are ready for obligation. Projects that are in the last three years of the Council's active program can request cost increases only during a regularly scheduled call for projects.

## **CURRENT YEAR COST INCREASES**

Cost increases in the current federal fiscal year are subject to the availability of funding through active reprogramming and the STP-L allotment and cannot be guaranteed. If the Council has the available funding at the time of the request, additional funds will be granted up to the maximum funding limitation. To be eligible for a cost increase for:

- Phase II Engineering in the current federal fiscal year, the project sponsor must submit draft Phase II engineering agreements to Council Staff by April 30th of the current year.
- Construction or Phase III Engineering in the current federal fiscal year, Pre-Final Plans must be submitted to IDOT in accordance with the published Bureau of Local Roads and Streets Letting Schedule to make the September bid letting.

If MCCOM funds are available due to active reprogramming, cost increases will be funded in the order they were received until MCCOM funds are expended or the requests are exhausted. If or when MCCOM funds are exhausted, cost increases will be requested from CMAP through the STP Shared Fund. If additional funds are not available from either the MCCOM Program or the STP Shared Fund to accommodate a cost increase, the project sponsor must notify MCCOM how they wish to proceed by June 1st. The options for sponsors are:

- Delay the project phase; and actively reprogram it to await additional federal funding; or
- Keep the project in the current year and fund the increased project cost with local funds

## **BUDGET INTEGRITY**

The annual and multi-year budgetary constraints shall always be maintained, based on the projected available funding levels provided by CMAP.

## **MCHENRY COUNTY HIGH NEED COMMUNITIES**

For the purpose of this methodology, the 17 McHenry County municipalities in Cohorts 2, 3, and 4 are considered to be “high need communities” (see Table 5 below). High need communities are identified by CMAP on an annual basis and are those with a lower tax base, lower median household income, and lower tax base per capita. For this reason, high need communities will receive Cohort points on STP-L project applications based on the community Cohort to which they belong. If two communities partner on single project application their Cohort points will be determined by averaging the Cohort points for each partnering municipality. Cohorts are subject to change prior to the 2022 Call for Projects.

Table 5

CMAP Community Cohorts			
Cohort 1	Cohort 2	Cohort 3	Cohort 4 (eligible for TDCHs)
Algonquin	Bull Valley	Marengo	Harvard
Barrington Hills	Fox River Grove	Richmond	Hebron
Cary	Greenwood		Holiday Hills
Crystal Lake	Lakemoor		McCullom Lake
Huntley	Oakwood Hills		
Johnsburg	Port Barrington		
Lake in the Hills	Ringwood		
Lakewood	Trout Valley		
McHenry	Union		
Prairie Grove	Wonder Lake		
Spring Grove	Woodstock		

Cohort points will be awarded based on the following scale:

Cohort 1	Population greater than 8,000	0 points
Cohort 1	Population less than 8,000	1 points
Cohort 2	Population greater than 8,000	2 points
Cohort 2	Population less than 8,000	3 points
Cohort 3	Population greater than 8,000	4 points
Cohort 3	Population less than 8,000	5 points
Cohort 4	Population greater than 8,000	6 points
Cohort 4	Population less than 8,000	6 points



DRAFT

## ROADWAY AND INTERSECTION SCORING

Scoring Criteria			Points
Traffic Volume	2 lane road: ADT/1000=Points	4 lane road: ADT/4000=Points	15 points maximum
Pavement Condition	Poor	0-45	13
	Fair	46-60	9
Pavement Condition Index	Satisfactory	61-75	5
	Excellent	76-100	0
	New alignment		5
Safety Crash Reduction Factor	50% or greater		20
	40-49%		15
	30-39%		10
	20-29%		7
	10-19%		3
	Under 10%		0
Project Readiness	Pre-final plans ready to submit to IDOT		20
	Phase II contract executed		16
	Design Approval received		12
	Draft PDR submitted to IDOT		8
	Phase I contract executed		4
	Project scoping		0
Planning Measures	Complete Streets	Adding Complete Streets elements	10
		Maintaining existing Complete Streets elements	5
	Green Infrastructure	Adding Green Infrastructure elements	10
		Maintaining existing Green Infrastructure elements	5
Partnership	Municipality, township, transit agency, County or other government agency is a financial partner for this project.		6
CMAP Community Cohorts	Cohort 1	Population more than 8,000	0
	Cohort 1	Population fewer than 8,000	1
	Cohort 2	Population more than 8,000	2
	Cohort 2	Population fewer than 8,000	3
	Cohort 3	Population more than 8,000	4
	Cohort 3	Population fewer than 8,000	5
	Cohort 4	Population more than 8,000	6
	Cohort 4	Population fewer than 8,000	6

# RESURFACING SCORING

Scoring Criteria			Points
Traffic Volume	2 lane road: ADT/1000=Points	4 lane road: ADT/4000=Points	15 points maximum
Pavement Condition Index	Fair	46-60	25
	Satisfactory	61-75	17
	Poor	0-45	9
	Excellent	76-100	0
Safety Crash Reduction Factor	Restriping	Adding New Striping (not re-striping)	4
		Signage	30-39%
	20-29%		2
	10-19%		1
	Under 10%		0
	Other Measures	25-30%	4
		20-24%	2
		15-19%	1
		Under 15%	0
	Project Readiness	Pre-final plans ready to submit to IDOT	
Phase II contract executed		13	
Design Approval received		9	
Draft PDR submitted to IDOT		6	
Phase I contract executed		3	
Project scoping		0	
Planning Measures	Complete Streets	Adding Complete Streets elements	10
		Maintaining existing Complete Streets elements	5
	Green Infrastructure	Adding Green Infrastructure elements	10
		Maintaining existing Green Infrastructure elements	5
Partnership	Municipality, township, transit agency, County or other government agency is a financial partner for this project.		6
CMAP Community Cohorts	Cohort 1	Population more than 8,000	0
	Cohort 1	Population fewer than 8,000	1
	Cohort 2	Population more than 8,000	2
	Cohort 2	Population fewer than 8,000	3
	Cohort 3	Population more than 8,000	4
	Cohort 3	Population fewer than 8,000	5
	Cohort 4	Population more than 8,000	6
	Cohort 4	Population fewer than 8,000	6

**From:** [Jason J. Fluhr](#)  
**To:** [Emily Daucher](#)  
**Subject:** [EXTERNAL] draft STP methodology scoring comments  
**Date:** Wednesday, June 9, 2021 9:42:20 AM  
**Attachments:** [image001.png](#)  
[image005.png](#)  
[PCI range.pdf](#)

---

Emily – overall I like the revisions. I have 1 comment about the scoring for LAFO projects. I think the scoring should more closely follow the IDOT BLR Manual for pavement preservation. Streets with PCI's 65 or higher are not good candidates for overlays, just preventative maintenance (patching, crack fill, etc.). Streets with PCI lower than 10 should be reconstructed and shouldn't be eligible for this category. The greatest Benefit – Cost ratio is for streets in the Fair/Poor category, and that extends to PCI 26. So my revisions essentially eliminate streets with high or extremely low PCI ratings and extend the PCI range where the points are granted so the Council can better target streets where the money will provide the greatest B/C ratio. Please give me a call with questions. thanks!



**Jason J. Fluhr, PE, PTOE**  
**Associate Vice President**  
**Transportation Operations Manager**



direct: (815) 444-3222 | mobile: (815) 482-9134  
main: 815.459.1260  
email: [jfluhr@baxterwoodman.com](mailto:jfluhr@baxterwoodman.com)  
[www.baxterwoodman.com](http://www.baxterwoodman.com)  
8678 Ridgefield Rd., Crystal Lake, IL 60012

This email and any attachments are confidential and are intended solely for the use of the intended addressee(s). If you have received this email in error, please notify the sender immediately or call 815.459.1260 and delete this email. If you are not the intended recipient(s), any use, retention, dissemination, forwarding, printing, or copying of this e-mail is strictly prohibited. The integrity and security of this message cannot be guaranteed on the Internet. Thank You.

**CAUTION:** This email originated from outside of the County network. Do not click links or open attachments unless you recognize the sender and know the content is safe.

While mismatches between the actual SENDER field and the FROM field are common. It is also a common spoofing tactic. For additional reference, this email was actually sent from [jfluhr@baxterwoodman.com](mailto:jfluhr@baxterwoodman.com)

If you have any questions about the legitimacy of this email, please call the helpdesk at extension 4828.

## BUREAU OF LOCAL ROADS & STREETS

### LOCAL AGENCY PAVEMENT PRESERVATION

45-4(4)

Jan 2012

PCI Condition Ranges				
100-65 0 pts	Excellent		100-86	100 – 65: Feasible for pavement preservation
	Very Good		85-71	
65-56 17 pts	Good		70-56	
55-26 25 pts	Fair		55-41	64 - 0: Not feasible for pavement preservation
25-11 9 pts	Poor		40-26	
10-0 Ineligible	Very Poor		25-11	
	Failed		10-0	

### PAVEMENT PCI CONDITION RANGE CLASSIFICATIONS

Figure 45-4C

	<b>Pavement condition</b>	<b>Rating</b>	<b>Points</b>
<b>Current</b>	Fair	46-60	25
	Satisfactory	51-75	17
	Poor	0-45	10
	Excellent	76-100	0
<b>Modified</b>	Poor, Fair	26-55	25
	Good	56-65	17
	Very Poor	11-25	10
	Very Good, Excellent	65-100	0
	Ineligible	0-10	--

# McHenry County Council of Mayors

16111 Nelson Road  
Woodstock, IL 60098  
T: (815) 334-4642  
F: (815) 334-4989

## MEMORANDUM

ALGONQUIN

BARRINGTON HILLS

BULL VALLEY

CARY

CRYSTAL LAKE

FOX RIVER GROVE

GREENWOOD

HARVARD

HEBRON

HOLIDAY HILLS

HUNTLEY

JOHNSBURG

LAKE IN THE HILLS

LAKEMOOR

LAKELAND

MARENGO

MCCULLOM LAKE

McHENRY

OAKWOOD HILLS

PORT BARRINGTON

PRAIRIE GROVE

RICHMOND

RINGWOOD

SPRING GROVE

TROUT VALLEY

UNION

WONDER LAKE

WOODSTOCK

McHENRY COUNTY

**TO:** McHenry County Council of Mayors

**FROM:** Emily Daucher, Planning Liaison

**DATE:** July 15, 2021

**RE:** American Rescue Act COVID Relief Funds and Active Reprogramming

---

### BACKGROUND:

As documented in IDOT CL 2021-13, the CMAP region has been allocated approximately \$42.6 M in COVID Relief funds. It is CMAP's intent to distribute these funds throughout the region according to the needs-based STP distribution formula agreed to by the Councils of Mayors and City of Chicago in 2017, including an allocation for regional projects to be selected and programmed by CMAP's STP Project Selection Committee. Funds will become available for use at the beginning of Federal Fiscal Year (FFY) 2022 in October 2021. CMAP is currently developing guidance for the selection, programming, and prioritization of projects to be implemented with these funds that will have a meaningful impact on the region's ongoing recovery and regional goals for innovation, equity, and safety.

Per the MCCOM meeting on November 19, 2020, the Council agreed to the following active reprogramming prioritization:

1. Accommodate cost changes up to 10% of original programmed amount (not to exceed \$1,500,000).
2. Move phases that are ready to obligate from later years.
3. Move phases on contingency list into active program.
4. Move projects back to later years if not progressing.

As COVID funds become available, active reprogramming will follow this method and based on information from Quarterly Status Updates. Projects at the \$1,500,000 cap will not be eligible for cost increases, but may be able to move based on the available funding for any given year.

The same method applies for reprogramming \$443,484 in FY 2022. This amount includes the original balance from the initial program, as well as the cost of the McCullom Lake Road project in McCullom Lake, which the sponsor opted to drop from the program after securing another grant.

### RECOMMENDED ACTION:

Information and discussion of active reprogramming.

### ATTACHMENTS:

- Current STP-L Program



**STP Program of Projects  
Federal Fiscal Year (FFY) 2021- 2025**

Updated: 7/8/2021

**Active Program**

<b>Federal Fiscal Year 2021</b>							FFY21 Estimated Mark	\$	4,353,803
<b>October 1, 2020 - September 30, 2021</b>							FFY20 Carryover	\$	-
							FFY21 Estimated Balance	\$	4,353,803

TIP ID	Rank	Project Name	Phase	Project Sponsor	Project Type	Target Letting	Project Cost	Local Match Ratio		Obligation Deadline	Notes	Current Status	Current Status Date	
								STP Programmed	(Fed/Local)					
11-20-0014	17	Diggins Street Road Improvement	E1	Harvard	Resurfacing	1/2022	\$ 33,330	\$ 29,998	90/10	9/30/2021	Project is combined with another project funded with ITEP	Waiting to get approved agreements back. Submitted in May.	6/22/2021	
11-18-0016	5	Main Street/Cary Road Roundabout	CON	Algonquin	Roadway/Intersection	3/5/2021	\$ 6,700,000	\$ 1,500,000	22/78	9/30/2021	ITEP	Project received NTP on 4/13/2021.	6/24/2021	
11-13-0002	9	S Madison St-E South St-Lake Ave Roundabout	CON	Woodstock	Roadway/Intersection	3/18/2022	\$ 3,315,000	\$ 1,500,000	45/55	3/18/2022	Grandfathered project	Letting pushed back to March 2022. Delayed due to Land Acq.	6/10/2021	
11-20-0011	2	Haligus Road Resurfacing and Improvement	CON/CE	Lakewood	Resurfacing	4/23/2021	\$ 890,907	\$ 712,726	80/20	9/30/2021		Project has been let and pre-construction meeting was held on 6/4/2021. Anticipated CON start date: 6/24	6/4/2021	
11-20-0012	13	Valley View Road Resurfacing and Improvements	CON/CE	Prairie Grove	Resurfacing	4/23/2021	\$ 659,272	\$ 527,417	80/20	9/30/2021		Have not received signed CE/LAA agreements but both approved by IDOT. Waiting for NTP.	6/14/2021	
11-20-0013	16	Reed Road Resurfacing	CON/CE	Lake in the Hills	Resurfacing	9/17/2021	\$ 98,311	\$ 78,649	80/20	9/30/2021	Moved to Sept. letting	Finals submitted on 6/4/2021.	6/28/2021	
							Total FFY21 Program	\$ 11,696,820	\$ 4,348,790					
							FFY21 Unprogrammed Balance		\$ 5,013					

<b>Federal Fiscal Year 2022</b>							FFY22 Estimated Mark	\$	3,669,512
<b>October 1, 2021 - September 30, 2022</b>							FFY21 Carryover	\$	-
							FFY22 Estimated Balance	\$	3,669,512

TIP ID	Rank	Project Name	Phase	Project Sponsor	Project Type	Target Letting	Project Cost	STP Programmed	(Fed/Local)	Obligation Deadline	Notes	Current Status	Current Status Date
11-21-0004	18	Four Seasons Blvd. Recon., Sullivan Lake Blvd. Resurf. & Rte. 120 Rt. Turn Lane Addition	E1	Lakemoor	Roadway/Intersection	2022	\$ 98,800	\$ 43,000	44/56	9/30/2022		Phase I QBS moved to Jul. 2021, selection in Oct. 2021. Agreements by Dec. 2021.	6/28/2021
11-20-0015	22	Wonder Lake Road and Howe Road Reconstruction	E2	Greenwood	Roadway/Intersection	2022	\$ 23,465	\$ 21,115	90/10	9/30/2022		No changes. Prefinals submitted 5/28 and waiting on review. ROW paperwork is also complete. On track for Nov. 2021 letting.	6/24/2021
11-13-0016	8	N Main St from IL 176 to UP Railroad Tracks	CON	Crystal Lake	Roadway/Intersection	11/5/2021	\$ 3,254,000	\$ 1,500,000	46/54	9/30/2022	Grandfathered Project	No changes from previous update: No change - Phase II finals by Oct. 2021. Update PPI in June 2021. Jan 2022 letting.	6/4/2021
11-21-0002	3	Ringwood Road Resurfacing	CON/CE	Ringwood	Resurfacing	1/1/2022	\$ 273,070	\$ 206,708	80/20	9/30/2022		Phase II kick-off moved back to Jul. 2021.	6/4/2021
11-21-0001	1	Mason Hill Road Resurfacing	CON/CE	Bull Valley	Resurfacing	3/11/2022	\$ 1,430,000	\$ 1,144,000	80/20	9/30/2022		All Phase I tasks moved back to Aug. 2021 from May 2021.	6/25/2021
11-21-0005	21	Pingree Road Resurfacing	CON/CE	Lake in the Hills	Resurfacing	3/11/2022	\$ 265,811	\$ 212,649	80/20	9/30/2022		No changes to Phase II	6/28/2021
11-20-0014	17	Diggins Street Road Improvement	E2	Harvard	Resurfacing	10/2021	\$ 42,840	\$ 38,556	90/10	9/30/2022		PPI approved on 3/25/2021. Cultural, State/Fed Coordination, and Env. Action Concurrence moved back to Aug. 2021.	6/22/2021
11-21-0003	7	Prospect Street Reconstruction	E2	Marengo	Roadway/Intersection	11/2023	\$ 120,000	\$ 60,000	50/50	9/30/2022	Project received ITEP		6/25/2021
							Total FFY22 Program	\$ 5,507,986	\$ 3,226,028				
							FFY22 Unprogrammed Balance		\$ 443,484				



<b>Federal Fiscal Year 2023</b>							FFY23 Estimated Mark	\$	3,480,707
<b>October 1, 2022 - September 30, 2023</b>							FFY22 Carryover	\$	-
							FFY23 Estimated Balance	\$	3,480,707

TIP ID	Rank	Project Name	Phase	Project Sponsor	Project Type	Target Letting	Project Cost	STP Programmed	Local Match Ratio		Obligation Deadline	Notes	Current Status	Current Status Date
									Fed/Local					
11-21-0006	4	Riverside Drive Improvements	CON/CE	Johnsburg	Resurfacing	1/20/2023	\$ 2,593,700	\$ 1,500,000	42/58		9/30/2023		Floodplain moved back to Aug. 2021. Bio, wetland back to Nov. 2021. PDR by Oct. 2021.	6/24/2021
11-21-0007	6	Green Street Milling and Resurfacing Improvement	CON/CE	McHenry	Resurfacing	1/20/2023	\$ 1,148,983	\$ 919,187	80/20		9/30/2023		PDR submitted. DA by July 2021.	6/23/2021
11-20-0015	22	Wonder Lake Road and Howe Road Reconstruction	CON/CE	Greenwood	Roadway/Intersection	3/10/2023	\$ 384,680	\$ 363,565	90/10		9/30/2023		No changes.	6/24/2021
11-20-0014	17	Diggins Street Road Improvement	CON/CE	Harvard	Resurfacing	6/16/2023*	\$ 523,600	\$ 471,240	90/10		9/30/2023		See Phases I and II.	6/22/2021
11-21-0004	18	Four Seasons Blvd. Recon., Sullivan Lake Blvd. Resurf. & Rte. 120 Rt. Turn Lane Addition	E2	Lakemoor	Roadway/Intersection	2023	\$ 98,800	\$ 43,000	44/56		9/30/2023		See Phase I	6/28/2021
							Total FFY23 Program	\$ 4,749,763	\$ 3,296,992					
							FFY23 Unprogrammed Balance		\$ 183,715					

<b>Federal Fiscal Year 2024</b>							FFY24 Estimated Mark	\$	3,480,707
<b>October 1, 2023 - September 30, 2024</b>							FFY23 Carryover	\$	-
							FFY24 Estimated Balance	\$	3,480,707

TIP ID	Rank	Project Name	Phase	Project Sponsor	Project Type	Target Letting	Project Cost	STP Programmed	Local Match Ratio		Obligation Deadline	Notes	Current Status	Current Status Date
									Fed/Local					
11-21-0008	10	Souwanas Trail Corridor Improvements	CON	Algonquin	Roadway/Intersection	1/1/2024	\$ 3,905,895	\$ 1,500,000	38/62		9/30/2024		Phase I approval date moved from April to July 2021. The Village recently completed the public outreach component, and the updated Phase I PDR will be submitted to IDOT soon.	6/4/2021
11-21-0009	15	Bull Valley Road Milling and Resurfacing	CON/CE	McHenry	Resurfacing	1/1/2024	\$ 327,674	\$ 262,139	80/20		9/30/2024		PDR submitted in May 2021. DA by Aug. 2021	6/23/2021
11-21-0003	7	Prospect Street Reconstruction	CON/CE	Marengo	Roadway/Intersection	3/1/2024	\$ 1,880,000	\$ 1,440,000	80/20		9/30/2024			6/25/2021
							Total FFY24 Program	\$ 6,113,569	\$ 3,202,139					
							FFY24 Unprogrammed Balance		\$ 278,568					

<b>Federal Fiscal Year 2025</b>							FFY25 Estimated Mark	\$	3,480,707
<b>October 1, 2024 - September 30, 2025</b>							FFY24 Carryover	\$	-
							FFY25 Estimated Balance	\$	3,480,707

TIP ID	Rank	Project Name	Phase	Project Sponsor	Project Type	Target Letting	Project Cost	STP Programmed	Local Match Ratio		Obligation Deadline	Notes	Current Status	Current Status Date
									Fed/Local					
11-21-0010	10	Kreutzer Road Reconstruction	CON	Huntley	Roadway/Intersection	12/2023*	\$ 6,270,000	\$ 1,500,000	24/76		9/30/2025		ESR to be submitted in Sept.	6/24/2021
11-21-0011	11	Johnsburg Road Resurfacing Improvements	CON, CE	Johnsburg	Resurfacing	4/1/2025	\$ 1,875,000	\$ 1,500,000	80/20		9/30/2025		No changes	6/24/2021
11-21-0012	14	Winn Road Resurfacing & Bike Path	CON, CE	Spring Grove	Resurfacing	1/1/2025	\$ 1,958,434	\$ 480,707	25/75*		9/30/2025	\$1,019,293, received ITEP	IDOT Biological Clearance was received on 3/17/2021. IDOT has reviewed the Phase I PDR and we have successfully addressed all comments with the exception of hosting a Public Meeting. A Public Meeting will be held on June 15, 2021. PDR will be submitted after the public meeting.	6/4/2021
							Total FFY25 Program	\$ 10,103,434	\$ 3,480,707					
							FFY25 Unprogrammed Balance		\$ -					

**Contingency**

Rank	Project Name	Phase	Project Sponsor	Project Type	Project Cost	STP Requested	Notes	Current Status	Current Status Date
18	Four Seasons Blvd/Sullivan Lake Blvd	CON	Lakemoor	Roadway/Intersection	\$ 1,392,400	\$ 1,113,920	3/1/2024 Letting	See Phase I.	6/28/2021
19	Marengo Rd	CON, CE	Harvard	Resurfacing	\$ 904,860	\$ 814,374		No changes	6/22/2021
20	Three Oaks/Sands Intersection	CON	Crystal Lake	Roadway/Intersection	\$ 2,016,107	\$ 1,500,000		No changes	6/4/2021
23	Dartmoor Dr	CON, CE	McHenry	Resurfacing	\$ 511,550	\$ 329,780		Moving back PDR to Sept/Oct 2021, DA in Nov. 2021	6/23/2021
24	Crystal Lake Ave/Walkup Rd/Grant	CON	Crystal Lake	Roadway/Intersection	\$ 1,520,176	\$ 1,216,141		No changes	6/4/2021
25	Crystal Lake Rd	CON, CE	Lake in the Hills	Resurfacing	\$ 374,117	\$ 299,294		All Phase I milestones moved to Jan. 2022.	6/28/2021