

MEMORANDUM

To: STP Project Selection Committee
CMAQ and TAP-L Project Selection Committee

From: CMAP Staff

Date: October 27, 2022

Subject: Preliminary Engineering Requirements

Purpose: Staff requests committee approval of the staff recommendation for modifications to preliminary engineering requirements.

Action Requested: Approval

In September, both the STP Project Selection Committee and the CMAQ and TAP-L project selection committee discussed [four options presented by staff](#) for modifying the preliminary engineering requirements for the programs. Both committees generally preferred options 1 and 3, which restricted future cost increases or phase eligibility, respectively, based on the level of completion of preliminary engineering at the time of application for funding. Both committees also noted that these options were not mutually exclusive. At the CMAQ and TAP-L committee, a member noted that option 2, although not preferred, included a provision to revisit the status of projects' preliminary engineering progress during the next call for projects cycle and suggested that this provision be retained. As a result of these discussions, staff is recommending a combination of the previously presented options, as described below. Finally, comments regarding the definitions of the levels of completeness were made and have also been incorporated into the below recommendation.

Staff Recommendation

Applications will be accepted for projects that have started, but not substantially completed preliminary engineering, however the phases eligible for funding consideration and future cost increases will be limited based on the degree of completion of the preliminary engineering.

For projects selected for funding with a preliminary engineering status of "substantially complete" or "underway", the status will be reassessed prior to the next scheduled call for projects cycle, and if that status has not been elevated to "complete" or "nearly complete", the funding programmed in the previous cycle will be withdrawn, and the project will have to reapply for funding.

Funding and future cost increase eligibility based on degree of completion of preliminary engineering

	Design (Phase 2) Engineering	Land Acquisition	Construction and Const. (Phase 3) Eng.
Complete	Eligible for funding Eligible for increases up to 100%	Eligible for funding Eligible for increases up to 100%	Eligible for funding Eligible for increases up to 100%
Nearly Complete	Eligible for funding Not eligible for increases	Eligible for funding Eligible for increases up to 50%	Eligible for funding Eligible for increases up to 50%
Substantially Complete	Not eligible	Eligible for funding Not eligible for increases	Eligible for funding Eligible for increases up to 25%
Underway	Not eligible	Not eligible	Eligible for funding Not eligible for increases
Not Started	Not eligible	Not eligible	Not eligible

Definitions: Degree of completion

Degree of completion	Milestones achieved and requested attachments
Highway (projects processed through IDOT)	
Complete	Design approval received <i>Attach: Design approval letter/form</i>
Nearly complete	IDOT has confirmed that a final Project Development Report has been submitted for signatures <i>Attach: Transmittal letter/email</i>
Substantially complete	A preliminary PDR (or equivalent) has been submitted to IDOT for review, the project has been presented at a State/Federal Coordination meeting, a CE determination has been made, and FHWA concurrence of environmental processing has been given (not required for State Approved Categorical Exclusions), and the IDOT Bureau of Design and Environment (BDE) has completed the Environmental Survey Request (ESR) review (if required) and documentation of the environmental investigations, associated coordination, and any commitments made are included in the draft PDR <i>Attach: Kick-off meeting minutes (for State Approved CE), FHWA Coordination Meeting minutes, ESR transmittal and correspondence from BDE, draft PDR transmittal cover or email and appropriate section(s) of draft PDR including documentation of investigations, coordination, and commitments</i>

Degree of completion	Milestones achieved and requested attachments
Underway	<p>The project has been presented at a State/Federal Coordination meeting, a CE determination has been made, and FHWA concurrence of environmental processing has been given (not required for State Approved Categorical Exclusions), and the IDOT Bureau of Design and Environment (BDE) has begun the Environmental Survey Request (ESR) review (if required).</p> <p><i>Attach: Kick-off meeting minutes (for State Approved CE), FHWA Coordination Meeting minutes, ESR transmittal and correspondence from BDE showing review has begun</i></p> <p>--OR--</p> <p>A final Planning and Environmental Linkages (PEL) report prepared in accordance with IDOT Bureau of Design and Environment (BDE) Manual section 11-7.04 has been completed documenting the project Purpose and Need, Alternatives to Be Carried Forward, and public involvement and there are no further comments from any Federal or state resource agencies</p> <p><i>Attach: Appropriate documentation (forms and/or emails) demonstrating completion of the PEL and that there are no further comments</i></p>
Transit (projects processed through FTA)	
Complete	<p>Record of Decision (ROD) obtained for completed EIS, FONSI obtained for completed EA, or written documentation from FTA classifying the action as a categorical exclusion with no unusual circumstances.</p> <p><i>Attach: ROD signature page(s) or FTA documentation</i></p>
Nearly complete	<p>Written documentation from FTA classifying the action as a categorical exclusion with no unusual circumstances.</p> <p><i>Attach: FTA documentation</i></p>
Substantially complete	<p>Draft EIS or Draft EA has been released for public and regulatory agency reviews; or, for CEs with potential unusual circumstances, all appropriate environmental studies are complete.</p> <p><i>Attach: Announcement of availability for review or documentation that environmental studies are complete</i></p>
Underway	<p>For projects requiring an EIS or EA, project scoping is complete (purpose and need, range of alternatives and impacts, and significant issues to be addressed are defined). For CEs with potential unusual circumstances, drafts of all appropriate environmental studies are under public and/or regulatory agency review.</p> <p><i>Attach: Appropriate documentation (forms, emails, announcements) demonstrating the above</i></p>