



# Chicago Metropolitan Agency for Planning

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Chicago, Illinois 60606

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January 9, 2012

## **REQUEST FOR PROPOSALS (RFP) NO. 084 FOR PROFESSIONAL SERVICES PERTAINING TO FINANCIAL AUDITS**

Chicago Metropolitan Agency for Planning (CMAP) is requesting proposals from interested firms to provide Professional Services Pertaining to Financial Audits as described in the enclosed Request for Proposals (RFP).

If your firm is qualified and experienced in providing the described services, CMAP would appreciate receiving your proposal as indicated in the RFP. The deadline for receipt of submissions in response to the RFP is **3:00 p.m., January 31, 2012.**

Thank you, and if you have any questions, please call me at (312) 386-8788.

Sincerely,

Margaret McGrath  
Grant/Contract Officer

Enclosure

**REQUEST FOR PROPOSALS (RFP) NO. 084  
FOR PROFESSIONAL SERVICES PERTAINING TO FINANCIAL AUDITS**

*The Chicago Metropolitan Agency for Planning (CMAP) invites appropriate firms to submit proposals to perform professional services pertaining to financial audits as described in this Request for Proposals (RFP). Please read each section carefully for information regarding the proposal and submittal instructions.*

**SECTION 1: Background and General Information**

**About CMAP**

The Chicago Metropolitan Agency for Planning (CMAP) is the official regional planning organization for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. CMAP developed and now leads the implementation of *GO TO 2040*, metropolitan Chicago's first comprehensive regional plan in more than 100 years. To address anticipated population growth of more than 2 million new residents, *GO TO 2040* establishes coordinated strategies that help the region's 284 communities address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. See [www.cmap.illinois.gov](http://www.cmap.illinois.gov) for more information.

**Background/Statement of Purpose**

CMAP requires that an audit of all CMAP funds be conducted annually by an independent Certified Public Accounting firm. The audits are to be performed in accordance with generally accepted auditing standards; the standards set forth for financial audits in the U.S. General Accounting Offices (GAO) Government Auditing Standards; the provisions of the Federal Single Audit Act of 1984; and U.S. Office of Management and Budget (OMB) Circular A-133 Audits of State, Local Governments and Non-Profit Organizations.

CMAP is soliciting the services of qualified firms of certified public accountants to prepare CMAP's Comprehensive Financial Report and audit the financial statements for the fiscal years ending June 30, 2012, June 30, 2013 and June 30, 2014, with the option to audit its financial statements for each of the two subsequent years. Preparations of the annual Single Audit Report will also be completed for the same time periods.

**Description of Entity and Records:**

CMAP was created by State of Illinois legislation and is considered a unit of local government. It is governed by a fifteen member board of directors and serves the seven-county Chicago metropolitan region. The Chairman of the Board is elected by the Board and presides over Board meetings. The Board appoints the Executive Director. All other positions are under the administration of the Executive Director. CMAP has approximately 100 employees for Fiscal Year 2012. An organizational chart for the Agency is included in Appendix A. Funds to support the Agency are obtained through Federal, State and local grants and contracts and contributions from local governmental units, corporations and foundations. For Fiscal Year 12 there are 17 active grants from these various funding sources. The U.S. Department of Energy currently serves as the "oversight" agency for audit purposes.

Accounting and payroll functions are performed in-house on a PC Network Server using SunGard IFAS software. It is maintained and supported by SunGard Public Sector of Chico, CA. Accounting records are kept on an accrual basis. The budget for FY2012 is approximately \$21.8 million. A copy of the approved FY 2012 budget is included in Appendix B and a copy of the FY2011 financial audit is in Appendix C.

**General Information**

As a result of responses to this RFP, CMAP plans to review submissions and conduct interviews with selected contractors it determines can best meet the requirements outlined below. Negotiations will be held as necessary to select the firm that CMAP believes can best satisfy its requirements at rates it perceives are reasonable for the services provided. Subject to "Reservation of Rights" below, it is anticipated that a contract will be awarded for three years in length with two one year options for renewal.

## SECTION 2: Scope of Project and Procurement Details

### Scope of Services Audit Specifications:

- a) The auditor shall, at such time or times as they shall determine, with proper notification to the CMAP Finance Officer, make an audit and examination of the books, records, inventories and officers and employees of CMAP who receive, handle or disburse funds for the Agency. A final report should be issued no later than November 1 after the close of the fiscal year expressing an opinion of the CMAP financial statements. The auditing firm shall employ all generally accepted auditing standards deemed necessary by their staff. The audit shall be conducted in accordance with generally accepted auditing standards and shall include such tests of the accounting records and other such auditing procedures applicable in the circumstances as to enable the auditors to express an opinion upon the CMAP financial statements. Audit procedures shall be performed which encompass the financial and compliance standards described in Government Auditing Standards, issued by the Comptroller General of the United States; Office of Management of Budget Circular A –133, Audits of State and Local Governments and Non-Profit Organizations. If circumstances should, in the judgment of the auditors, prevent the expression of an unqualified opinion upon the financial statements taken as a whole, such opinion shall be qualified or omitted, but the auditor's report shall contain a statement of the reasons for the qualification or omission.
- b) The auditor shall render reports covering the period July 1, 2011 to June 30, 2012 and for each subsequent fiscal year of the contracted period. The auditor shall provide 50 copies of the final report by December 1, of each year. See Appendix C as an example of an acceptable Comprehensive Annual Financial Report. In addition to the final report the auditor shall advise the Board immediately of a defalcations or unusual or consequential irregularities and procedures coming to the auditor's attention. The auditors shall, without charge, make available their work papers to any federal or state agency upon request and in accordance with federal and state law and regulations.
- c) Reports of compliance examinations must include a statement that the examination was conducted in accordance with applicable auditing standards. The audit report must state whether the examination disclosed instances of significant noncompliance or ineligible expenditures and must be presented in enough detail for management to be able to clearly understand them.
- d) The auditor shall make available its team for consultation and on-going auditing needs.
- e) Assigned audit staff will not change in any one fiscal year audit without CMAP management approval.
- f) Accounting records will be available in good order, and assistance of staff will be provided during the audit period. The following will also be provided by CMAP staff:
  - a. Year-end schedules, including outstanding receivables and payables, withholding, investments, depreciation, etc.
  - b. Preparation of bank confirmation forms and confirmation letters to granting and contributing entities, as determined by the audit firm.
  - c. Schedule of grants with beginning and ending dates, amount, match required, etc.
  - d. Trial balance.
  - e. Other assistance as needed by mutual agreement.
- g) Both current and cumulative grants schedules will be prepared by the audit firm.
- h) As soon as possible after contract award to the audit firm, a pre-audit field work meeting should be held with CMAP staff to discuss confirmations, schedules preparation, payment schedule, etc.
- i) The audit firm will certify a final indirect cost rate for the fiscal year which has been prepared in accordance with regulations under OMB Circular A-87.
- j) The audit firm will prepare the Schedule of Federal Financial Assistance in accordance with OMB Circular A-133.

### Selection Process Schedule:

January 9:	Post RFP
January 31:	Submissions due
February 6-7:	Interview finalists (if necessary)
March 14:	CMAP Board approval of audit firm

**Proposal Evaluation:**

All proposals submitted in response to this RFP will be analyzed for completeness and cost effectiveness. Three criteria will be taken into account for the purposes of evaluating and selecting an audit firm. The factors are:

1. Qualifications of firm in local governmental auditing.
2. Technical Ability which would include the sub-criteria listed in relative order of importance.
  - a. Qualifications of assigned staff including local governmental audit experience.
  - b. Demonstrated understanding of the audit requirements.
  - c. Firm's approach for conducting the audit.
3. Price of Service. Reasonableness of price for the entire project including option years.

All timely responses received to this RFP will be reviewed and interviews may be conducted with selected submitters CMAP determines can best meet the above requirements. Cost will be evaluated against the other factors based upon the professional judgment of those involved in the evaluation. An in-house CMAP committee will prepare the selection recommendation to the Board. Bidders who are deemed most responsive may be asked to answer questions from the committee.

As applicable, negotiations will be held as necessary to select the firm that CMAP believes can best satisfy its requirements at rates it perceives are reasonable for the services provided.

**SECTION 3: Submittal Requirements**

**Proposals must be received at CMAP on or before 3:00 p.m. January 31, 2012**

Submissions should be submitted in the order presented:

- a) Introduction. Describe the firm including a general description of your firm's structure, experience, services and staff and demonstrating an understanding of the audit requirements.
- b) Audit Approach. Describe how the auditing firm proposes to perform the audit.
- c) Auditor Qualifications. Discuss the qualifications of the firm to satisfy the specification requirements as stated above. Be specific with regard to the following:
  - a. Indication of general experience and ability to satisfy the specification requirements as stated above.
  - b. Discussion of experience in governmental auditing assignments. Include in the section, references to current or recent (past three years) clients, identification of the scope of work performed, term of each engagement and the names of contact individuals with their addresses and telephone numbers.
  - c. Knowledge of federal and state grants.
  - d. Maintenance of a formal education program that provides training for staff, auditors and managers.
- d) Audit Team. Identify individuals who will make up the engagement team and where they are positioned in the firm. Pertaining to each individual, specifically provide the following.
  - a. Experience with regard to the governmental area and knowledge of requirements for auditing that type of activity.
  - b. Identification of training they may have received that is pertinent to CMAP's requirements.
  - c. Experience in electronic data processing auditing.
  - d. A resume.
- e) Cost Proposal. The "Price Proposal Form", Attachment 1, must be completed with the proposed price for completing the CMAP annual financial audit.
- f) The submitter shall also sign and submit the "Certificate Regarding Workers' Compensation Insurance", Attachment 2, and the "Information to be Provided by Bidder", Attachment 3.

### **Submission of Proposals**

Three (3) paper copies of all proposals as well as one (1) electronic version in PDF format on CD ROM and one (1) set of examples must be submitted no later than 3:00 p.m., January 31, 2012. Submissions must be in a sealed package or envelope. The applicant's organization name and address shall appear in the upper left corner of the package.

Submission of RFP by fax or e-mail is not acceptable. Submissions may be delivered to CMAP in person or sent (by U.S. Postal Service or other reliable means) to the following address:

Chicago Metropolitan Agency for Planning  
Attn: Grant/Contract Officer  
Response to RFP No. 084  
233 S. Wacker Drive, Suite 800  
Chicago, IL 60606

There will be no public opening for this RFP. Late submissions will be rejected and returned unopened.

Questions may be referred to Margaret McGrath, (312) 386-8788 or Email: [mmcgrath@cmmap.illinois.gov](mailto:mmcgrath@cmmap.illinois.gov).

## **SECTION 4: Contractual Agreement and Rights**

### **Contractual Agreement**

The contract CMAP anticipates awarding as a result of this RFP and subsequent rate submissions and negotiations, if any, will indicate the service requirements, time periods involved and applicable hourly rates. In addition, it will include the General Provisions, Section 5 hereto, and Special Provisions, Section 6 hereto, which will apply to the contract.

### **Reservation of Rights**

CMAP reserves the following rights if using them will be more advantageous to CMAP:

- a. Withdraw this RFP at any time without prior notice.
- b. Accept or reject any and all submissions, or any item or part thereof
- c. Postpone qualifications due date.
- d. Not award a contract to any submitter responding to this RFP.
- e. Award a contract without negotiations or discussions.

Contractors who are or have been seriously deficient in current or recent contract performance in the absence of evidence to the contrary or circumstances properly beyond the control of the Contractor shall be presumed to be unable to meet these requirements. Past unsatisfactory performance will ordinarily be sufficient to justify a finding of non-responsibility.

## **SECTION 5: General Provisions**

The following provisions apply to the solicitation to which this section is attached and to any contract that results from the solicitation:

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

- a. This Agreement (which also may be herein referred to as "Contract"), 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 Contractor

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. Order of Precedence: Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the provisions of the executed contract, including its exhibits; (2) the provisions of the RFP on which the contract is based including any and all Addendums; (3) the proposal submitted to CMAP by the Contractor in response to said RFP; and (4) any other documents cited or incorporated herein by reference.
  - c. 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 Contractor or to future performance of such terms or conditions and Contractor's obligation in respect thereto shall continue in full force and effect. Contractor 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 Contractor to do so will not relieve it from responsibility for successfully performing the work without additional expense to CMAP.
  - d. 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.
  - e. 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 Contractor 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 Contractor 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 Contractor for equitable adjustment hereunder shall be allowed if asserted after final payment under this Agreement.
  - f. 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.
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. Allowable Charges. No expenditures or charges shall be included in the cost of the Project and no part of the money paid to the Contractor shall be used by the Contractor 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 Contractor 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 Contractor 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.

4. Reports and Methods of Payment.

- a. Based on services performed, Contractor may submit invoices as frequently as once a month. 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)

- b. 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 Contractor 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.
- c. All payments will be transferred electronically to Contractor's business bank account. The successful Contractor will be requested to provide transfer numbers for the business bank account when the contract is finalized.

5. Audit and Access to Records.

- a. The Contractor and its subcontracts under this Agreement shall preserve and produce upon request of the authorized representatives of CMAP all data, records, reports, correspondence and memoranda of every description of the Contractor and its subcontractors, if any, under this Agreement relating to carrying out this Agreement for the purposes of an audit, inspection or work review for a period of three (3) years after completion of the project, 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.
  - (2) Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.
- b. The Contractor 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 subcontractor 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.
  - (2) 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.

6. Suspension. If the Contractor fails to comply with the special conditions and/or the general terms and conditions of this Agreement, CMAP may, after written notice to the Contractor, suspend the Agreement and withhold further payments or prohibit the Contractor from incurring additional obligations of funds pending corrective action by the Contractor. If corrective action has not been completed within sixty (60) calendar days after service of written notice of suspension, CMAP shall notify the Contractor in writing that the Agreement has been terminated by reason of default in

accordance with paragraph 11 hereof. CMAP may determine to allow such necessary and proper costs which the Contractor could not reasonably avoid during the period of suspension provided such costs meet the provisions of the U.S. Office Management and Budget Circular A-87 in effect on the date first above written.

7. 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 the Contractor 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 the Contractor at the time of termination may be adjusted to the extent of any additional costs occasioned to CMAP by reason of the Contractor's default. If Termination by Default is effected by the Contractor, 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 the Contractor for services rendered and expenses incurred prior to termination, in addition CMAP may include cost reasonably incurred by the Contractor 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, the Contractor 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 the Contractor 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 the Contractor 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.

8. Remedies. Except as may be otherwise provided in this Agreement, all claims, counterclaims, disputes and other matters in question between CMAP and the Contractor 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.

9. Equal Employment Opportunity. The Contractor 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 Contractor 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 Contractor 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 Contractor 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.

10. Small and Minority Business Enterprise. In connection with the performance of this Agreement the Contractor 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.

11. Political Activity. No portion of funds for this subcontract shall be used for any partisan political activity or to further the election or defeat of any candidate for public office.

12. 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 Contractor 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.

13. Federal Reporting Standards.

a. The Contractor agrees that any material or design specified by the Contractor or supplied by the Contractor pursuant to this Agreement shall not infringe any patent or copyright and the Contractor shall be solely responsible for securing any necessary licenses required for patented or copyrighted material used by the Contractor.

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 Contractor's promise as contained in paragraph a of this clause, the Contractor 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, and to the pertinent regulations of the grantor agency(ies) in effect on the date of execution of this Agreement. The Contractor shall include provisions appropriate to effectuate the purpose of this condition in all subcontracts under this Agreement involving research, developmental, experimental or demonstration work.

14. 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 Contractor. Any successor to the Contractor'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.
- b. The Contractor 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 Contractor 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.

15. Subcontracts.

- a. Any subcontractors or outside associates or contractors required by the Contractor in connection with the services covered by this Agreement will be limited to such individuals or firms as were specifically identified and agreed to during negotiations. 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.

16. Conflict of Interest. In order to avoid any potential conflict or interest, the Contractor agrees during the term of this Agreement not to undertake any activities which could conflict directly or indirectly with the interest of CMAP. Contractor shall immediately advise CMAP of any such conflict of interest. CMAP shall make the ultimate determination as to whether a conflict of interest exists.

17. Publication. CMAP 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 Contractor shall include provisions appropriate to effectuate the purpose of this clause in all subcontracts for work under this Agreement.

18. Identification of Documents. All reports, maps, and other documents completed as part of this Agreement, other than documents exclusively for internal use within the Contractor'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 Contractor. "This material was prepared in consultation with CMAP, the Chicago Metropolitan Agency for Planning, (<http://www.cmap.illinois.gov>)."

19. 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.

20. Workers' Compensation Insurance. The Contractor 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.
21. Independent Contractor. Contractor's relationship to CMAP in the performance of this Agreement is that of an independent contractor. Contractor's personnel performing work under this Agreement shall at all times be under Contractor's exclusive direction and control and shall be employees of Contractor and not employees of CMAP. Contractor 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.
22. Federal, State and Local Laws. Contractor 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 contractor shall be responsible for compliance as modifications are implemented. The Contractor's failure to comply shall constitute a material breach of this contract.
23. Hold Harmless and Indemnity. Contractor 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 Contractor, its officers, directors, employees, agents, subcontractors or suppliers, in connection with or arising out of the performance of this Agreement.
24. International Boycott. Contractor certifies that neither Contractor 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 regulation of the U.S. Department of Commerce. This applies to contracts that exceed \$10,000 (30 ILCS 582).
25. Forced Labor. Contractor 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).

### **Federally Funded Agreements**

**A. Standard Assurances.** The Contractor 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 Contractor recognizes that federal laws, regulations, policies, and administrative practices may be modified from time to time and those modifications may affect project implementation. The Contractor agrees that the most recent federal requirements will apply to the project.

**B. Certification Regarding Lobbying.** As required by the United States Department of Transportation (U.S. DOT) regulations, "New Restrictions on Lobbying," at 49 CFR 20.110, the Contractor's authorized representative certifies to the best of his or her knowledge and belief that for each agreement for federal assistance exceeding \$100,000:

1. No federal appropriated funds have been or will be paid by or on behalf of the Contractor to any person to influence or attempt to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress regarding the award of federal assistance, or the extension, continuation, renewal, amendment, or modification of any federal assistance agreement; and
2. If any funds other than federal appropriated funds have been or will be paid to any person to influence or attempt to influence an officer or employee of any federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any application for federal assistance, the Contractor assures that it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," including information required by the instructions accompanying the form, which form may be amended to omit such information as authorized by 31 U.S.C. 1352.
3. The language of this certification shall be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements).

The Contractor understands that this certification is a material representation of fact upon which reliance is placed and that submission of this certification is a prerequisite for providing federal assistance for a transaction covered by 31 U.S.C. 1352. The Contractor also understands that any person who fails to file a 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.

**C. Nondiscrimination Assurance.** As required by 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), Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d, and U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act," 49 CFR Part 21 at 21.7, the Contractor assures that it will comply with all requirements of 49 CFR Part 21; FTA Circular 4702.1A, "Title VI and Title VI - Dependent Guidelines for Federal Transit Administration Recipients," and other applicable directives, so that no person in the United States, on the basis of race, color, national origin, creed, sex, or age will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination in any program or activity (particularly in the level and quality of transportation services and transportation-related benefits) for which the Contractor receives federal assistance.

Specifically, during the period in which federal assistance is extended to the project, or project property is used for a purpose for which the federal assistance is extended or for another purpose involving the provision of similar services or benefits, or as long as the Contractor retains ownership or possession of the project property, whichever is longer, the Contractor assures that:

1. Each project will be conducted, property acquisitions will be undertaken, and project facilities will be operated in accordance with all applicable requirements of 49 U.S.C. 5332 and 49 CFR Part 21, and understands that this assurance extends to its entire facility and to facilities operated in connection with the project.
2. It will promptly take the necessary actions to effectuate this assurance, including notifying the public that complaints of discrimination in the provision of transportation-related services or benefits may be filed with U.S. DOT or FTA. Upon request by U.S. DOT or FTA, the Contractor assures that it will submit the required information pertaining to its compliance with these requirements.
3. It will include in each subagreement, property transfer agreement, third party contract, third party subcontract, or participation agreement adequate provisions to extend the requirements of 49 U.S.C. 5332 and 49 CFR Part 21 to other parties involved therein including any subrecipient, transferee, third party contractor, third party subcontractor at any level, successor in interest, or any other participant in the project.
4. Should it transfer real property, structures, or improvements financed with federal assistance to another party, any deeds and instruments recording the transfer of that property shall contain a

covenant running with the land assuring nondiscrimination for the period during which the property is used for a purpose for which the federal assistance is extended or for another purpose involving the provision of similar services or benefits.

5. The United States has a right to seek judicial enforcement with regard to any matter arising under the Act, regulations, and this assurance.
6. It will make any changes in its 49 U.S.C. 5332 and Title VI implementing procedures as U.S. DOT or FTA may request.

**D. Control of Property.** The Contractor certifies that the control, utilization and disposition of property or equipment acquired using federal funds is maintained according to the provisions of OMB Circular A-102 Common Rule.

**E. Cost Principles.** The cost principles of this Agreement are governed by the cost principles found in 49 CFR Part 18.22 and OMB Circular A-87, "Cost Principles for State, local or Indian tribal governments", and all costs included in this Agreement are allowable under 49 CFR Part 18.22 and OMB Circular A-87, "Cost Principles for State, local or Indian tribal governments".

**F. Debarment.** The Contractor shall comply with Debarment provisions as contained in 2 CFR Part 1200, as amended. The Contractor certifies that to the best of its knowledge and belief, the Contractor and the Contractor's principals: a) are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency; b) within a three-year period preceding this Agreement have not been convicted of or had a civil judgment rendered against it for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state or local) transaction or contract under a public transaction, violation of federal or state anti-trust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property; c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in subsection (b), above; and d) have not within a three-year period preceding this Agreement had one or more public transactions (federal, state or local) terminated for cause or default.

The inability of the Contractor to certify to the certification in this section will not necessarily result in denial of participation in this Agreement. The Contractor shall submit an explanation of why it cannot provide the certification in this section. This certification is a material representation of fact upon which reliance was placed when CMAP determined whether to enter into this transaction. If it is later determined that the Contractor knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, CMAP may terminate this Agreement for cause. The Contractor shall provide immediate written notice to CMAP if at any time the Contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this Part shall have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.

The Contractor agrees that it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction, unless authorized, in writing, by CMAP. The Contractor Agrees that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by CMAP, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. The Contractor may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless the Contractor knows the certification is erroneous. The Contractor may decide the method and frequency by which it determines the eligibility of its principals. The Contractor may, but is not required to, check the Non-procurement List. If the Contractor knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible or voluntarily excluded from participation, in addition to other remedies available to the federal government, CMAP may terminate this Agreement for cause or default.

Nothing contained in this section shall be construed to require establishment of a system of records in order to render in good faith the certification required by this section. The knowledge and information of the Contractor is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**G. Single Audit.** The Single Audit Act of 1984 (Public Law 98-502) and the Single Audit Amendments of 1996 (P.L. 104-156) require the following:

1. State or local governments that receive \$500,000 or more a year in federal financial assistance shall have an audit made in accordance with the Office of Management and Budget (OMB) Circular No. A-133.
2. State or local governments that receive less than \$500,000 a year shall be exempt from compliance with the Act and other federal requirements.
3. Nothing in this paragraph exempts state or local governments from maintaining records of federal financial assistance or from providing access to such records to federal Agencies, as provided for in federal law or in Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations."
4. A copy of the audit report must be submitted to CMAP within 30 days after completion of the audit, but no later than one year after the end of the Contractor's fiscal year.

**H. Drug Free Workplace.** The Contractor certifies that it will comply with the requirements of the federal Drug Free Workplace Act, 41 U.S.C. 702 as amended, and 49 CFR 32.

**I. Disadvantaged Business Enterprise Assurance.** In accordance with 49 CFR 26.13(a), as amended, the Contractor 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 Contractor 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. The Contractor'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 Contractor, 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 Contractor 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.

**J. Assurance of Nondiscrimination on the Basis of Disability.** As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," at 49 CFR 27.9, the Contractor assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Contractor assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*, and the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*, and implementing U.S. DOT regulations at 49 CFR parts 27, 37, and 38, and any applicable regulations and directives issued by other Federal departments or agencies.

**K. Procurement Compliance Certification.** The Contractor certifies that its procurements and procurement system will comply with all applicable third party procurement requirements of Federal laws, executive orders, regulations, and FTA directives, and requirements, as amended and revised, as well as other requirements FTA may issue including FTA Circular 4220.1F, "Third Party Contracting Guidance," and any revisions thereto, to the extent those requirements are applicable. The Contractor certifies that it will include in its contracts financed in whole or in part with FTA assistance all clauses required by Federal laws, executive orders, or regulations, and will ensure that each subrecipient and each contractor will also include in its subagreements and its contracts financed in whole or in part with FTA assistance all applicable clauses required by Federal laws, executive orders, or regulations.

**L. 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."

1. In accordance with Section 5307(c) of SAFETEA-LU, 23 U.S.C. 502 note, the Contractor 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 authorized by SAFETEA-LU, 23 U.S.C. 502 note.
2. 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 SAFETEA-LU, 23 U.S.C. 502 note, the Contractor 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.

**M. Davis-Bacon Act.** To the extent applicable, the Contractor 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.

**N. Certifications and Assurances Required by the U.S. Office of Management and Budget (OMB) (SF-424B and SF-424D)**

As required by OMB, the Contractor certifies that it:

1. Has the legal authority and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project cost) 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:
  - Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;
  - 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;

- Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap;
- The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
- 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;
- 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;
- 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;
- 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;
- 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
- Any other nondiscrimination statute(s) that may apply to the project.

6. Will comply with all federal environmental standards applicable to the project, including but not limited to:

- Institution of environmental quality control measures under the National Environmental Policy Act of 1969 and Executive Order 11514;
- Notification of violating facilities pursuant to Executive Order 11738;
- Protection of wetlands pursuant to Executive Order 11990;
- Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
- 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.*;
- 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.*;
- Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended;
- Protection of endangered species under the Endangered Species Act of 1973, as amended;
- 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.

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

- Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, which provides for fair and equitable treatment of persons displaced whose property is acquired as a result of federal or federally-assisted programs;
- The Hatch Act, 5 U.S.C. 1501-1508 and 7324-7328, which limits the political activities of employees whose principal employment activities are funded in whole or in part with federal funds;
- The Flood Disaster Protection Act of 1973, which requires the purchase of flood insurance in certain instances;
- 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;



- The Archaeological and Historic Preservation Act of 1974, 16 U.S.C. 469a-1 et seq.;
- 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;
- 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;
- The Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**O. Energy Conservation** To the extent applicable, the Contractor 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.

**P. Clean Water** For all contracts and subcontracts exceeding \$100,000, the Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Water Pollution Control Act, 33 U.S.C. Section 1251 et seq.

**Q. Clean Air** For all contracts and subcontracts exceeding \$100,000, the Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act, 42 U.S.C. 7401 et seq.

**R. Eligibility For Employment In The United States** The Contractor shall complete and keep on file, as appropriate, Immigration and Naturalization Service Employment Eligibility Forms (I-9). These forms shall be used by the Contractor to verify that persons employed by the Contractor are eligible to work in the United States.

**S. Buy America** 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.

**T. False Or Fraudulent Statements Or Claims** The Contractor acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to the Government in connection with this Project, the Government reserves the right to impose on the Contractor the penalties of 18 U.S.C. Section 1001, 49 U.S.C. Section 5307, 31 U.S.C. Section 3801, and 49 CFR Part 31, as the Government may deem appropriate. Contractor agrees to include this clause in all state and federal assisted contracts and subcontracts.

**U. Changed Conditions Affecting Performance** The Contractor 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.

**V. Third Party Disputes or Breaches** The Contractor 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 Contractor. The Contractor will notify FTA or U.S. DOT and CMAP of any current or prospective major dispute pertaining to a third party contract. If the Contractor seeks to name the Government as a party to the litigation, the Contractor agrees to inform both FTA or U.S. DOT and CMAP before doing so. The Government retains a right to a proportionate share of any proceeds derived from any third party recovery. Unless permitted otherwise by the Government, the Contractor 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 CMAP's immunity to suit.

**W. Fly America** Contractor 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.

**X. Non-Waiver** The Contractor 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 Contractor of any terms of this Agreement or any default on the part of the Contractor 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.

**Y. Preference for Recycled Products** To the extent applicable, the Contractor agrees to give preference to the purchase of recycled products for use in this Project 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.

**Z. Cargo Preference** - Use of United States Flag Vessels. The Contractor 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 the Project.

**AA.** The Contractor is required to register with the Central Contractor Registration (CCR), which is a web-enabled government-wide application that collects, validates, stores and disseminates business information about the federal government's trading partners in support of the contract award, grants and the electronic payment processes. If the Contractor does not have a CCR number, the Contractor must register at <https://www.bpn.gov/ccr>.

As a sub-recipient of federal funds equal to or greater than \$25,000 (or which equals or exceeds that amount by addition of subsequent funds), this agreement is subject to the following award terms: <http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf> and <http://edocket.access.gpo.gov/2010/pdf/2010-22706.pdf>.

All of the requirements listed in **Federally Funded Agreements**, paragraphs A through AA apply to the federally funded project. The Contractor agrees to include these requirements in each contract and subcontract financed in whole or in part with federal assistance.

## SECTION 6: Special Provisions

1. Workers' Compensation. The State of Illinois Worker's Compensation Code requires the securing of workers' compensation by all non-state employers. The Submitter shall attest to understanding and complying with the State of Illinois Workers' Compensation Code requirement and submit a completed "Certificate Regarding Workers' Compensation Insurance," Attachment 2 to the RFP. In addition, the Submitter shall provide and maintain a waiver of subrogation endorsement.

2. Option to Renew Contract. In consideration of the contract, the Contractor hereby grants to CMAP the options to extend the service provided by the Contractor under the contract for up to two one-year periods. The option year(s) may be exercised separately in writing at any time on or before sixty (60) calendar days prior to expiration of the contract period awarded to that time. Compensation related to each option year shall be included in the original contract.

Prior to exercising an option, CMAP shall serve notice to the Contractor of its intention to extend the contract into and through an additional one-year period. Such notice shall not be deemed to commit CMAP to such extension, nor shall it be binding upon the Contractor if postmarked less than sixty (60) days prior to the expiration of the current contract period.

It shall be mutually understood and agreed that all work performed and services provided under any exercised option shall be in strict compliance with all requirements of the contract, as amended.

Additionally, it shall be mutually understood and agreed that: 1) CMAP is under no obligation to exercise the option; 2) No representations have been made by CMAP committing it to exercise the option; and 3) CMAP may procure such option requirements elsewhere. Such option may be exercised by modification of the contract, letter notification or by issuance of a new contract.

**Attachment 1: Price Proposal Form**

In response to Chicago Metropolitan Agency for Planning (CMAP) Request for Proposal (RFP) 084 Professional Services Pertaining to Financial Audits dated January 9, 2012, the undersigned, as an individual(s) with the authority to bind the Proposer, understands and agrees to the specifications, terms, conditions and provisions of the RFP and prices proposed below unless otherwise modified by mutual agreement of the parties. It is also agreed that the proposal submitted in response to the RFP is valid for ninety (90) calendar days from the proposal due date.

Please enter pricing into the following matrix. Both initial scope of work and option year rates and costs must be completed in full. Information for any subcontractors must be included as well. Please provide additional specifics where possible. Attach additional sheets if necessary. For ease of entry, feel free to copy and paste the table into an Excel spreadsheet; insert lines as necessary.

**Proposed Prices:**

<u>CMAP Fiscal Year</u>	<u>Price Offered For Services</u>	<u>Maximum Reimbursable Expenses for Year</u>	<u>Maximum Annual Total</u>
7/1/11-6/30/12	_____	_____	_____
7/1/12-6/30/13	_____	_____	_____
7/1/13-6/30/14	_____	_____	_____
7/1/14-6/30/15 (Option Year)	_____	_____	_____
7/1/15-6/30/16 (Option Year)	_____	_____	_____

Acknowledgement of Receipt of Addenda if any:  
(If none received, write "NONE.")

Addendum Number Date Received  
\_\_\_\_\_

If awarded a contract, the undersigned hereby agrees to sign the contract and to furnish the necessary certificates if any.

Proposer's Authorized Signatory (Print): \_\_\_\_\_  
 Signature: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Company Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Telephone Number: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Attachment 2: Certificate Regarding Workers' Compensation Insurance**

Certificate Regarding Workers' Compensation Insurance

In conformance with current statutory requirements of Section 820 ILCS 305/1 et. seq., of the Illinois Labor Code, the undersigned certifies as follows:

"I am aware of the provisions of Section 820 ILCS 305/1 of the Labor Code which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with such provisions before commencing the performance of the work of this contract."

Bidder/Contractor \_\_\_\_\_

Signature \_\_\_\_\_

Name and Title \_\_\_\_\_

Date \_\_\_\_\_

**Attachment 3: Information to be provided by Bidder**

The Bidder is required to supply the following information (if necessary, attach additional sheets):

Firm Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_

Business Address:

\_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_ FAX: (\_\_\_\_) \_\_\_\_\_ E-mail: \_\_\_\_\_

Years of Experience: \_\_\_\_\_

Type of Firm – Sole Proprietor, Partnership, Corporation, Joint Venture; Etc.: \_\_\_\_\_

Organized under the laws of state of: \_\_\_\_\_

Business License No.: \_\_\_\_\_ Business License Expiration Date: \_\_\_\_\_

List names and addresses of owners of the firm or names and titles of officers of the corporation:

\_\_\_\_\_

\_\_\_\_\_

Client list of services rendered currently and/or in the recent past:

<u>Type of Service/Product</u>	<u>Date Completed</u>	<u>Name and Address of Client</u>	<u>Contact Name and Phone Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Credit References (Include contact person's name, address, and telephone number for at least three references, one of which must be the Bidder's bank):

a. \_\_\_\_\_

\_\_\_\_\_

b. \_\_\_\_\_

\_\_\_\_\_

c. \_\_\_\_\_

\_\_\_\_\_

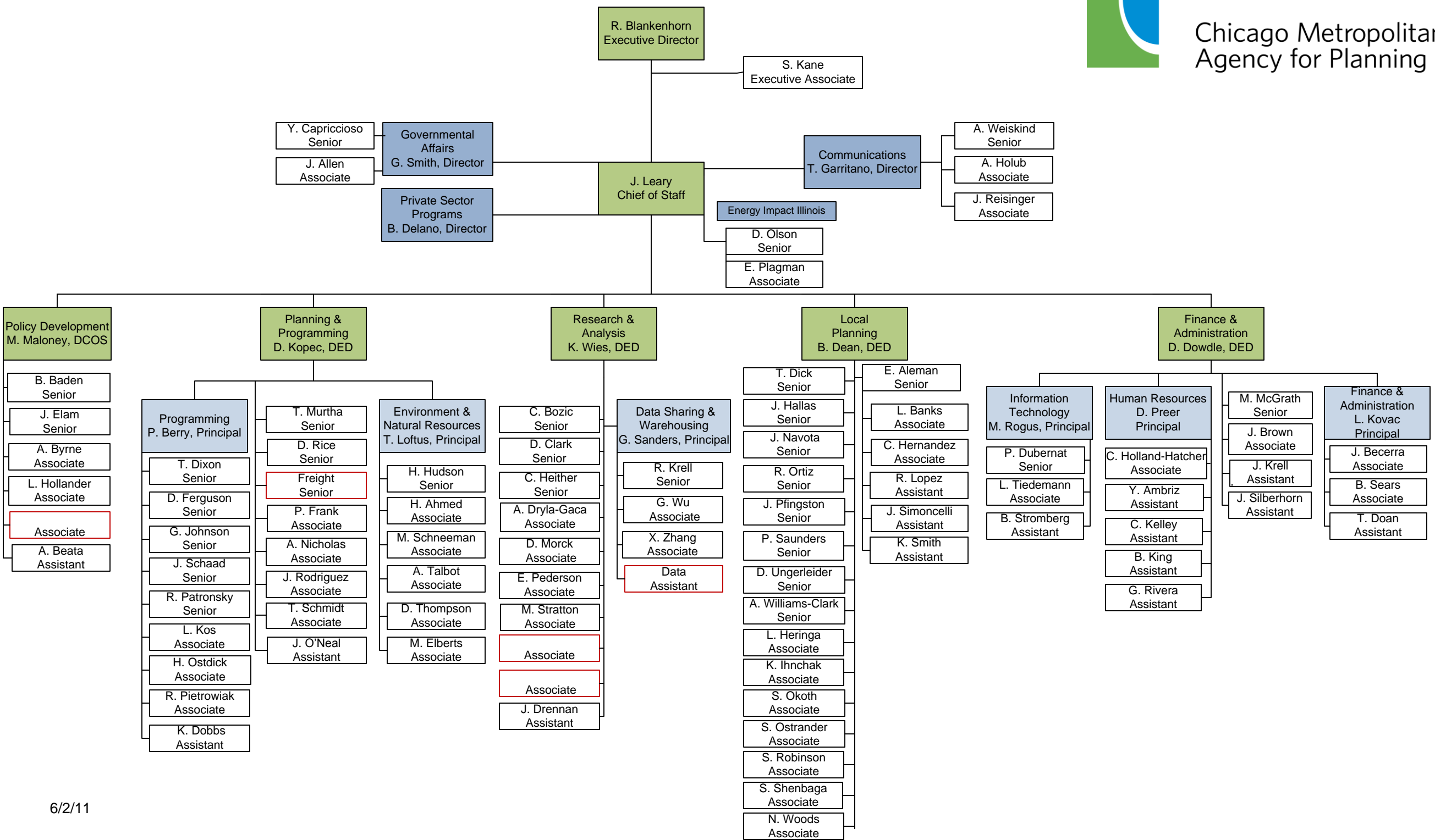
Bidder hereby certifies that it (check one): \_\_\_\_\_ IS \_\_\_\_\_ IS NOT an eligible Disadvantaged Business Enterprise (DBE) as defined Sec. III, provision 31g1). If "IS" is checked, attach copy of document that certifies Bidder's status as a DBE.

**Following in order are the 3 Appendixes noted in the RFP**

An organizational chart for the Agency is included as Appendix A

A copy of the approved FY 2012 budget is included as Appendix B

A copy of the FY2011 financial audit is included as Appendix C







Chicago Metropolitan  
Agency for Planning

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# **Fiscal Year 2012 Comprehensive Budget**

**DRAFT**

**May, 2011**

# **CMAP Board Members**

## **Executive Committee**

Gerald Bennett, chair

Joe Deal, vice chair

Elliott Hartstein, vice chair

Al Larson, at-large member

Rae Rupp Srch, at-large member

Nigel Telman, at-large member

## **City of Chicago Appointments**

Frank Beal, executive director, Metropolis Strategies

Susan Campbell, associate vice president, University of Chicago

Joe Deal, director of external affairs, Office of the Mayor, City of Chicago

Raul Raymundo, chief executive officer, Resurrection Project

Nigel Telman, partner, Proskauer

## **Cook County Appointments**

Alan Bennett, village trustee, Elmwood Park (Suburban Cook)

Gerald Bennett, mayor, Palos Hills (Southwest Cook)

Michael Gorman, president, Riverside (West Cook)

Richard Reinbold, president, Village of Richton Park (South Cook)

Al Larson, president, Schaumburg (Northwest Cook)

## **Collar County Appointments**

Roger Claar, mayor, Bolingbrook (Will)

Elliott Hartstein, president, Buffalo Grove (Lake)

Marilyn Michelini, president, Montgomery (Kane/Kendall)

Rae Rupp Srch, former president, Villa Park (DuPage)

Dan Shea, former McHenry County board member (McHenry)

## **Non-voting Members**

Leanne Redden, senior deputy executive director, Regional Transportation Authority (MPO Policy Committee)

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# SECTION 1: OVERVIEW

## Introduction

This document is the Chicago Metropolitan Agency for Planning's (CMAP) comprehensive activity document for Fiscal Year 2012. The program budget reflects the agency's activities and outcomes for FY 2012. It is a detail of the projects, staff, products and key dates, and anticipated contracts.

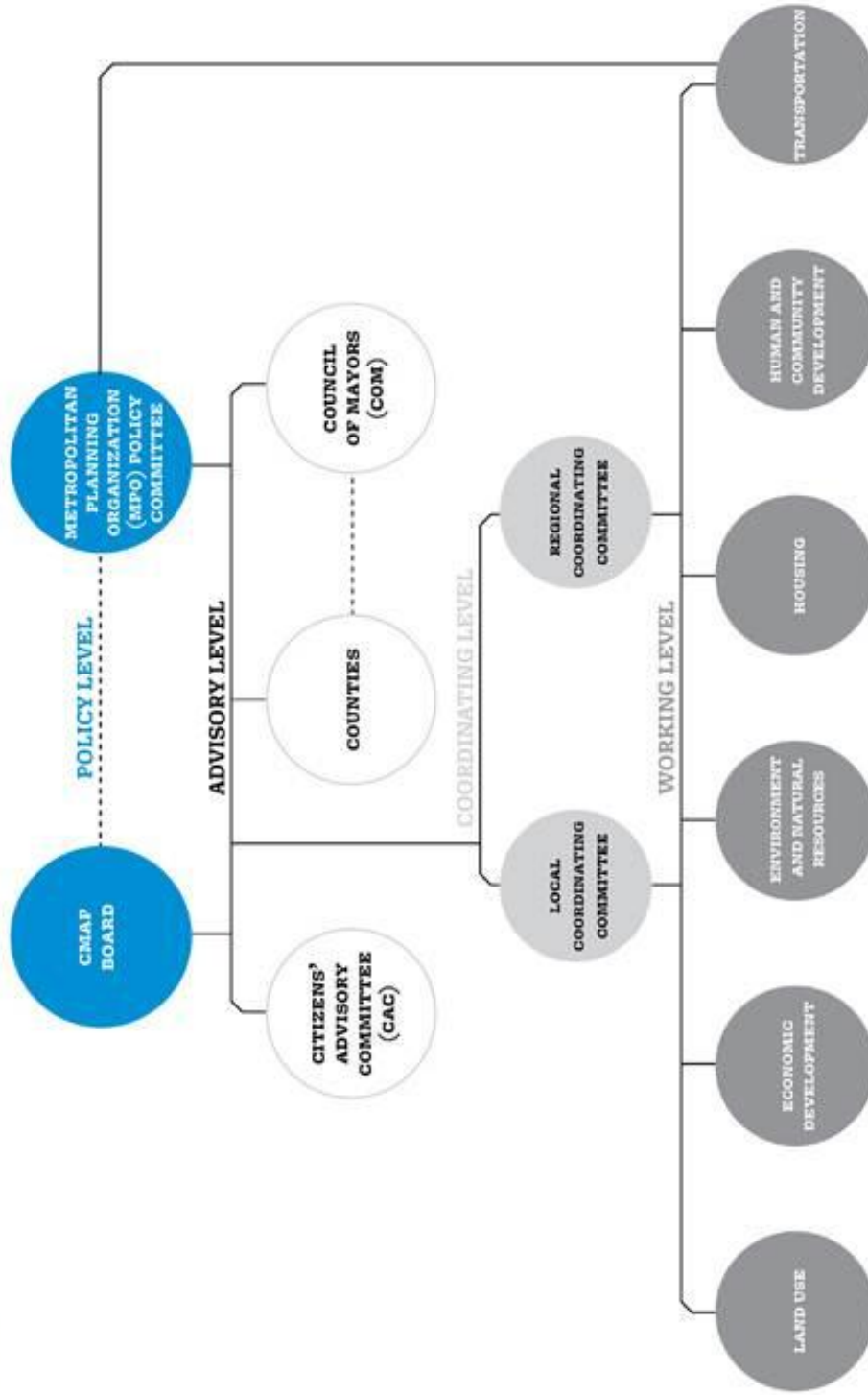
## About CMAP

The Chicago Metropolitan Agency for Planning (CMAP) is the official regional planning organization for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. CMAP developed and now leads the implementation of GO TO 2040, metropolitan Chicago's first comprehensive regional plan in more than 100 years. To address anticipated population growth of more than 2 million new residents, GO TO 2040 establishes coordinated strategies that help the region's 284 communities address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. See [www.cmap.illinois.gov](http://www.cmap.illinois.gov) for more information.

CMAP operates under authorizing legislation known as Public Act 095-0677. The CMAP Board's membership reflects the regional consensus that led to creation of CMAP, featuring balanced representation from across the counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. (The CMAP planning area also includes Aux Sable Township in Grundy County.) The board is chaired by Gerald Bennett, mayor of Palos Hills.

The agency committee structure is comprised of policy, advisory, coordinating, and working levels that play integral roles in these planning processes.





January 13, 2011





## Staff

The executive director for CMAP is Randy Blankenhorn. The FY 2012 budget reflects staffing that changes from 90.8 of the approved FY 2011 budget to 91.4 full-time positions for its core operations budget. In addition, CMAP has received two competitive Federal Grants that complement CMAP's core responsibilities. The first grant was awarded in April 2010 by the U.S. Department of Energy for the Chicago Region Initiative for Better Buildings (CRIBB), a program to provide energy-efficient retrofits to commercial and residential buildings in northeastern Illinois. The CRIBB is a three-year program funded through the American Recovery and Reinvestment Act of 2009 (Recovery Act). An additional two full-time positions have been created and filled to support the CRIBB program. The second grant was awarded in January 2011, by the U.S. Department of Housing and Urban Development (HUD) to increase the planning and implementation capacity of communities by creating a pool of resources that can be used to support local planning. An additional ten full-time positions have been created and filled with the support of the HUD grant.

In addition, internships are provided in various areas of the organization. The intern programs are coordinated with the University of Illinois, University of Chicago, Northern Illinois University and Northwestern University. CMAP administers the Phillip D. Peters Fellowship program to provide high quality work and learning experiences in regional planning for the Chicago metropolitan area to well qualified graduate students in urban and regional planning and related fields. Additionally, we have two year-long fellowships, one sponsored by Northwestern University and the other is in our communications group.

A comprehensive classification structure has been developed for CMAP staff based on levels of responsibilities. Compensation for this structure is developed on comparable market data and the Chicago-Gary-Kenosha Consumer Price Indexes (CPI). Employees are evaluated on an annual basis and may be eligible for merit increases.

A competitive benefits package is provided to the employees. The package includes a retirement program, Social Security, Medicare and health, dental and life insurances. Former state employees were offered the option to continue participation in the State Employees' Retirement System (SERS); all other eligible employees must participate in the Illinois Municipal Retirement Fund (IMRF). In FY 2011 the benefits package was 41.17% of salary; in FY 2012 the amount will increase to 43.07% of salary. The required CMAP retirement contribution to SERS for FY 2012 will increase from 27.988% to 34.19% and IMRF contribution for 2012 will decrease from 18.13% to 17.95%.

## Budget Overview

CMAP receives most of its funding from Federal and State grants. Table 1, Budget Overview for Core Activities, summarizes the core budgets for Actual FY 2010 (audited), Budgeted FY 2011 (adopted by Board in June 2010) and Proposed FY 2012 (anticipated adoption by Board in June 2011). Table 2 is the budget overview for the competitive federal grants. The competitive federal grants reflect two grants: U.S. Department of Energy for the Chicago Region Initiative for Better Buildings (CRIBB) and U.S. Department of Housing and Urban Development for the Local Technical Assistance.

**TABLE 1**

### CMAP CORE ACTIVITIES

	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>OPERATIONS</b>			
<b>Revenues</b>			
Federal	12,228,877	12,114,972	11,440,862
State	2,609,144	3,770,377	3,500,000
Other Public Agencies	80,775	84,348	28,100
Foundations and Non-Public Agencies	274,125	447,491	143,000
Local Contributions	246,502	250,000	250,000
Reimbursements	0	0	443,800
Product Sales, Fees & Interest	75,512	56,000	35,000
<b>Total Revenues</b>	<b>15,514,935</b>	<b>16,723,188</b>	<b>15,840,762</b>
<b>Expenditures</b>			
Personnel	8,950,663	9,324,816	9,698,400
Commodities	305,477	410,725	355,382
Operating Expenses	348,842	600,228	516,250
Occupancy Expenses	1,186,116	1,545,500	1,585,000
Contractual Services	3,094,105	3,752,100	3,424,900
Capital Outlay	552,438	411,000	150,000
<b>Total Expenditures</b>	<b>14,437,641</b>	<b>16,044,369</b>	<b>15,729,932</b>
<b>NON-OPERATIONS (REVENUE AND EXPENDITURES)</b>			
Pass Through Grants	3,958,073	3,215,051	2,620,374

	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
In-Kind Service	2,351,670	1,084,300	582,931

**TABLE 2**

**COMPETITIVE FEDERAL GRANTS**

	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>Revenues</b>			
U.S. Department of Energy	0	9,458,804	1,779,100
U.S. Housing and Urban Development	0	0	1,567,250
<b>Total Revenues</b>	<b>0</b>	<b>9,458,804</b>	<b>3,346,350</b>
<b>Expenditures</b>			
Personnel	0	357,804	1,590,900
Commodities	0	1,000	2,500
Operating Expenses	0	25,000	27,950
Contractual Services	0	9,055,000	1,725,000
Capital Outlay	0	20,000	0
<b>Total Expenditures</b>	<b>0</b>	<b>9,458,804</b>	<b>3,346,350</b>

Chart 1 reflects the percentage of the core operations revenue from each source and Chart 2 reflects the percentage of expenditures from each category for FY 2012. The charts do not include either the non-operations or the Competitive Federal Grants.

**CHART 1**  
**REVENUE FOR CORE ACTIVITIES**  
**PROPOSED FY 2012**

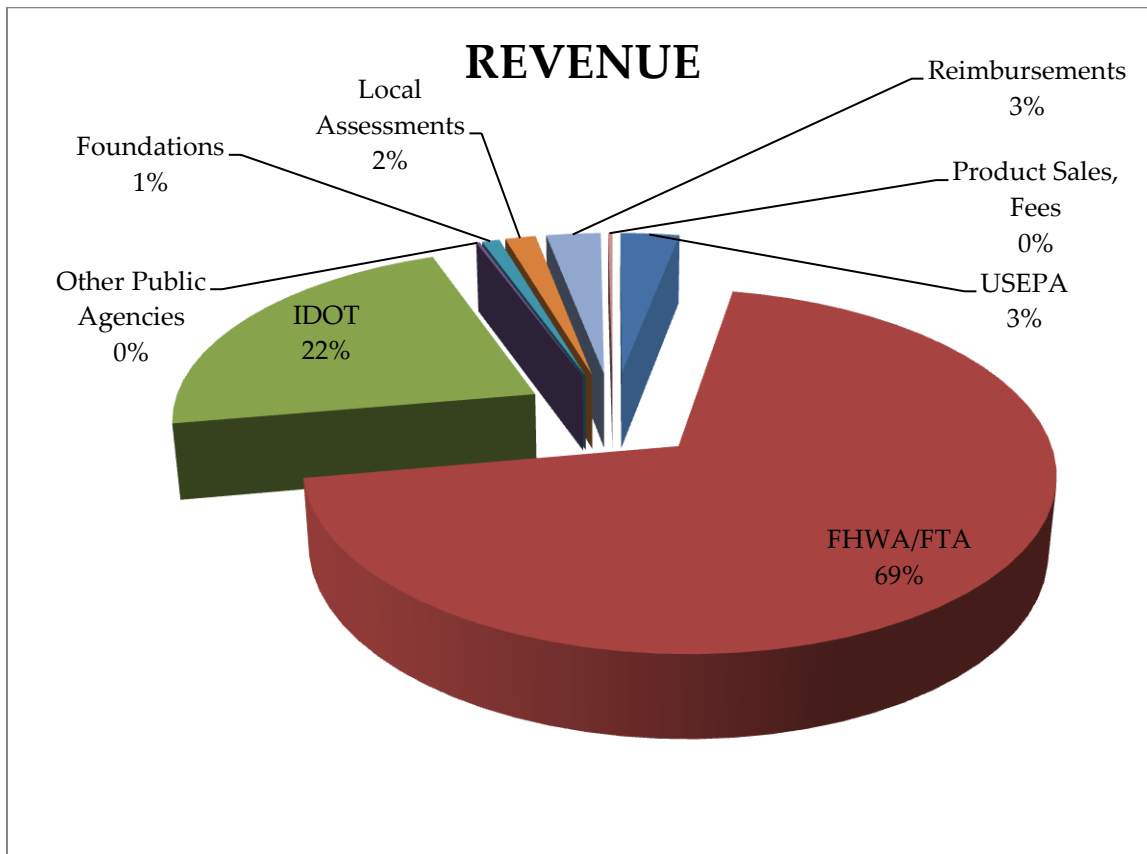
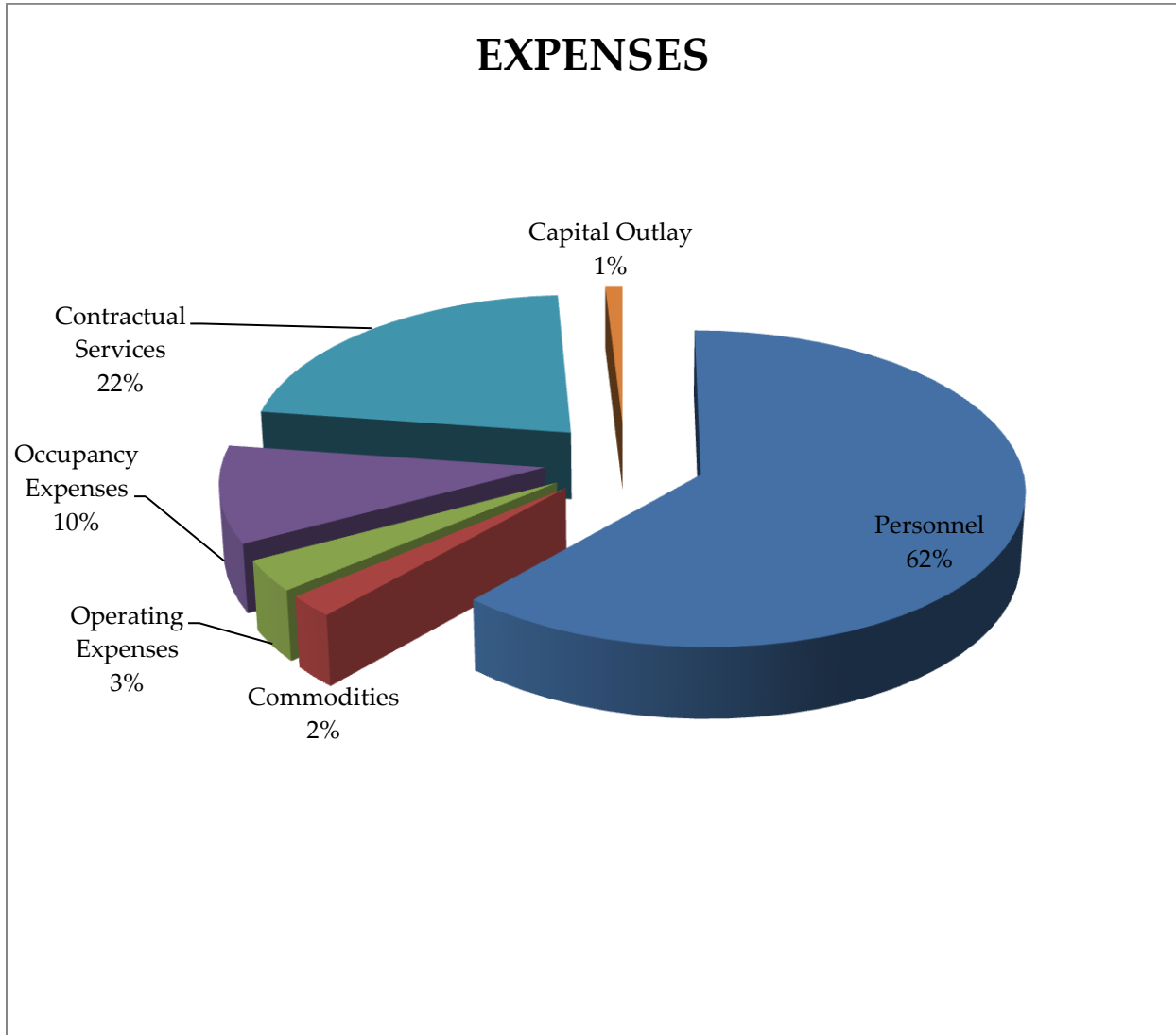


CHART 2

EXPENSES FOR CORE ACTIVITIES  
PROPOSED FOR FY 2012



## SECTION 2: BUDGET COMPONENTS

### Revenue

The primary funding for CMAP is from the Unified Work Program (UWP) for transportation planning for northeastern Illinois programs with metropolitan planning funds from the Federal Transit Administration (FTA), the Federal Highway Administration (FHWA) and state and local sources. The revenues identified for the FY 2012 UWP (Unified Work Program) funds were approved by the UWP Committee, Transportation Committee, Policy Committee and CMAP Board. Public Act 095-0677 provides funding for regional comprehensive planning across the state, of which \$3.5 million is allocated to CMAP through the Comprehensive Regional Planning Fund (CRPF). The CRPF allocation is designated as the matching funds for the federal transportation dollars, as well as supporting other planning activities. The Governor's FY 2012 state budget proposes \$3.5 million in state transportation funds in lieu of funding for the CRPF.

The UWP funds are allocated for operating activities and for contractual services. IDOT requires the operating funds be expended during the fiscal year (the 2012 UWP funds are available from July 1, 2011 to June 30, 2012) and the contract funds be expended over a three-year period (from July 1, 2011 to June 30, 2014). If the funds are not expended at the end of the time period, the funds revert to IDOT for distribution in future years for other UWP projects.

Revenue is received from U.S. Environmental Protection Agency (EPA), passed through the Illinois EPA (IEPA) for water quality management, watershed planning and other related projects. These funds are normally provided through multi-year grants. Funds not expended during the grant period revert to the funding agency.

The revenue from local assessments and the product sales, fees and interest are considered the CMAP General Fund. The general funds are for activities which cannot be supported by the grants.

The following table reflects the revenue expected to be received during the fiscal year. Some of the revenue is received prior to expenditure; such as, the foundations normally transfer funds at the time of the award even though the expenditures could be in future fiscal years. Other expenditures are on a reimbursable program; such as the federal revenue is not received until the expenditure has been made. The majority of the revenue is from reimbursement grants.

The non-operations revenue is for those funds that are passed through to other organizations (primarily federal funds) and the in-kind match provided by those organizations. Examples

would be the UWP Council of Mayors program and the IEPA projects. These projects could also have a core operation component, which supports CMAP staff and related cost.

**TABLE 3**  
**REVENUE DETAIL**  
**CMAP CORE ACTIVITIES**

	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>OPERATIONS</b>			
<b>FEDERAL</b>			
<u>U.S. Environmental Protection Agency</u>			
Grant Direct from U.S. EPA			
USEPA Lake Michigan Watershed	20,405	0	0
Grant through IEPA			
IEPA Sec 319 Fox/Des Plaines River, Phase III	48,792	0	0
IEPA Sec 319 Fox/Des Plaines River, Phase IV	51,089	68,586	7,600
IEPA, ARRA, Watershed Planning	59,011	25,250	0
IEPA Water Quality Mgt.	96,042	138,088	122,500
IEPA VLMP	80,413	35,699	58,200
IEPA Special Projects	0	337,314	292,800
<b>Total, U.S. EPA</b>	<b>335,347</b>	<b>604,937</b>	<b>481,100</b>
<u>U.S. Department of Transportation</u>			
Grant Direct from FTA			
FTA Midewin Project	102,474	68,267	0
Grant through IDOT			
UWP - Operating	10,633,915	9,811,832	9,693,826
UWP - Contracts	1,157,141	1,629,936	1,265,936
<b>Total, U.S. DOT</b>	<b>11,893,530</b>	<b>11,510,035</b>	<b>10,959,762</b>
<b>Total, Federal</b>	<b>12,228,877</b>	<b>12,114,972</b>	<b>11,440,862</b>
<b>STATE</b>			
<u>Illinois Department of Transportation</u>			
IDOT	2,414,913	3,746,000	3,500,000



	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
Local Data Collection	17,217	24,377	0
<b>Total, IDOT</b>	<b>2,432,130</b>	<b>3,770,377</b>	<b>3,500,000</b>
<u>Illinois Environmental Protection Agency</u>			
IEPA Watershed Plan & Monitoring	3,186	0	0
<b>Total, IEPA</b>	<b>3,186</b>	<b>0</b>	<b>0</b>
<u>Illinois Department of Natural Resources</u>			
IDNR Lake Biodiversity	8,828	0	0
IDNR Water Supply	165,000	0	0
<b>Total, IDNR</b>	<b>173,828</b>	<b>0</b>	<b>0</b>
<b>Total, State</b>	<b>2,609,144</b>	<b>3,770,377</b>	<b>3,500,000</b>
<b>OTHER PUBLIC AGENCIES</b>			
IIT	0	44,810	0
Argonne National Laboratory	0	0	7,900
Cook County FPD - Maple Lake ICLP, Phase 2	17,893	39,538	20,200
City of Chicago	17,882	0	0
U of IL, Green Infrastructure	45,000	0	0
<b>Total, Other Public Agencies</b>	<b>80,775</b>	<b>84,348</b>	<b>28,100</b>
<b>FOUNDATIONS AND NON-PUBLIC AGENCIES</b>			
Chicago Community Trust	274,125	447,491	143,000
<b>Total Foundations and Non-Public Agencies</b>	<b>274,125</b>	<b>447,491</b>	<b>143,000</b>
<b>LOCAL ASSESSMENTS</b>	<b>246,502</b>	<b>250,000</b>	<b>250,000</b>
<b>REIMBURSEMENTS</b>			
Indirect Charge from Competitive Federal Grants			418,800
Metropolitan Mayor's Caucus			25,000
<b>Total, Reimbursements/Fund Balance</b>	<b>-</b>	<b>-</b>	<b>443,800</b>





	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>PRODUCT SALES, FEES AND INTEREST</b>			
Publications Sales	850	1,000	1,000
ArcView Training	5,539	3,000	5,000
Interest Income	2,343	2,000	3,000
Facility Planning Area Fees	19,160	20,000	5,000
Conference and Sponsors	11,442	10,000	1,000
Miscellaneous	36,178	20,000	20,000
<b>Total, Product Sales, Fees and Interest</b>	<b>75,512</b>	<b>56,000</b>	<b>35,000</b>
<b>TOTAL REVENUES</b>			
	<b>15,514,935</b>	<b>16,723,188</b>	<b>15,840,762</b>
<b>NON-OPERATIONS</b>			
<b>PASS THROUGH</b>			
UWP Council of Mayors	1,606,116	1,211,131	1,348,174
UWP County Projects	16,586	400,000	160,000
Community Planning Program Grants	0	497,420	1,000,000
IEPA Special Projects - Pass Thru	0	0	112,200
USEPA Lake Michigan Academy	43,849	0	0
IEPA Sec 319 Fox/Des Plaines River, Phase III	1,339,151	0	0
IEPA Sec 319 Fox/Des Plaines River, Phase IV	763,122	646,500	0
IEPA, ARRA, Watershed Planning	189,249	460,000	0
<b>Total, Pass Through</b>	<b>3,958,073</b>	<b>3,215,051</b>	<b>2,620,374</b>
<b>IN-KIND SERVICE</b>			
UWP Council of Mayors	495,985	452,300	542,931
UWP County Projects	4,147	110,000	40,000
IDNR Lake Biodiversity	43,937	0	0
Lake Michigan Academy	48,794	0	0
IEPA Sec 319 Fox/Des Plaines River, Phase III	969,731	0	0
IEPA Sec 319 Fox/Des Plaines River, Phase IV	763,122	440,000	0
IEPA, ARRA, Watershed Planning	25,954	82,000	0
<b>Total, In-Kind Service</b>	<b>2,351,670</b>	<b>1,084,300</b>	<b>582,931</b>



**TABLE 4**  
**REVENUE DETAIL**  
**COMPETITIVE FEDERAL GRANT ACTIVITIES**

	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>Revenues</b>			
US Department of Energy	0	9,458,804	1,779,100
US Housing and Urban Development Dept.	0	0	1,567,250
<b>Total, Competitive Federal Grants</b>	<b>0</b>	<b>9,458,804</b>	<b>3,346,350</b>



## Budget and Work Program

The following tables reflect, line item by line item, the operations budget for FY 2012. The first table is for the core operations and the second one is for the competitive federal grants. A description of the line items is in the Appendix.

**TABLE 5**

**EXPENSE DETAIL  
CMAP CORE ACTIVITIES**

<b>CORE OPERATIONS - EXPENSES</b>			
	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>PERSONNEL</b>			
Salaries	6,281,922	6,427,924	6,582,700
Retirement	1,224,069	1,402,116	1,412,200
FICA	365,798	389,164	396,700
Medicare	88,862	93,205	95,500
Health	792,779	741,189	863,900
Dental		46,726	54,200
Vision		12,104	13,200
Life	49,035	32,388	45,000
Other Benefits	25,763	20,000	20,000
Interns	122,435	160,000	215,000
<b>Total, Personnel</b>	<b>8,950,663</b>	<b>9,324,816</b>	<b>9,698,400</b>
<b>Authorized Personnel</b>	95.50	90.81	91.39
<b>COMMODITIES</b>			
General Supplies	11,798	10,000	10,000
Publications	4,006	7,825	11,300
Data Acquisition	261,598	350,000	285,000
Office Supplies	13,750	22,900	29,082
Copy Room Supplies	14,325	20,000	20,000
<b>Total, Commodities</b>	<b>305,477</b>	<b>410,725</b>	<b>355,382</b>
<b>OPERATING EXPENSES</b>			
Workers' Compensation Insurance	22,868	25,000	25,000
Unemployment Compensation	32,311	15,000	15,000

<b>CORE OPERATIONS - EXPENSES</b>			
	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
Staff Assoc. Membership	3,623	7,550	12,800
CMAP Assoc. Membership	12,316	25,000	25,500
Postage/Postal Services	25,199	38,050	30,400
Storage	9,414	20,000	17,000
Legal/Bid Notices	7,973	8,000	2,000
Miscellaneous	10,570	14,678	13,000
Meeting Expenses	21,378	94,300	66,300
Recruitment Expenses	495	1,000	2,000
General Insurance	26,208	30,000	25,000
Legal Services	15,425	5,000	5,000
Printing Services	31,137	118,800	101,800
Bank Service Fees	5,130	5,000	5,000
Conference Registrations	14,929	19,400	22,300
Training & Education Reimbursement	21,445	37,500	29,100
Travel Expenses	88,421	135,950	119,050
<b>Total, Operating Expenses</b>	<b>348,842</b>	<b>600,228</b>	<b>516,250</b>
<b>OCCUPANCY EXPENSES</b>			
Office Maintenance	7,674	10,000	10,000
Rent	1,053,899	1,405,500	1,455,000
Telecommunications	76,447	70,000	60,000
Utilities	48,096	60,000	60,000
<b>Total, Occupancy Expenses</b>	<b>1,186,116</b>	<b>1,545,500</b>	<b>1,585,000</b>
<b>CONTRACTUAL SERVICES</b>			
Audit Services	35,270	40,000	40,000
Office Equipment Leases	8,089	8,000	1,000
Software Maintenance/Licenses	373,535	220,000	230,000
Fiscal Mgt. Maintenance/Licenses	36,841	36,000	40,000
Professional Services	782,833	508,000	463,200
Consulting Services	1,787,890	2,860,100	2,570,700
Office Equipment Maintenance	69,647	80,000	80,000
<b>Total, Contractual Services</b>	<b>3,094,105</b>	<b>3,752,100</b>	<b>3,424,900</b>
<b>CAPITAL OUTLAY</b>			
Equipment - Capital	194,171	205,500	100,000
Office Construction - Capital	356,270	135,000	0
Software - Capital	1,997	70,500	50,000



<b>CORE OPERATIONS - EXPENSES</b>			
	<b>Actual</b>	<b>Adopted</b>	<b>Proposed</b>
	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>
<b>Total, Capital Outlay</b>	<b>552,438</b>	<b>411,000</b>	<b>150,000</b>
<b>TOTAL</b>	<b>14,437,641</b>	<b>16,044,369</b>	<b>15,729,932</b>

**TABLE 6**

**EXPENSE DETAIL  
COMPETITIVE FEDERAL GRANT ACTIVITIES**

**COMPETITIVE FEDERAL GRANTS - EXPENSES**

	<b>U.S. DOE</b>	<b>U.S. HUD</b>	<b>Total</b>
	<b>FY 2012</b>		
<b>PERSONNEL</b>			
Salaries	143,500	676,000	819,500
Retirement	25,900	121,900	147,800
FICA	9,000	42,200	51,200
Medicare	2,100	9,800	11,900
Health	19,300	112,200	131,500
Dental	1,200	7,200	8,400
Vision	300	1,500	1,800
<b>Total, Personnel</b>	<b>201,300</b>	<b>970,800</b>	<b>1,172,100</b>
<b>Authorized Personnel</b>	<b>2</b>	<b>10</b>	<b>12</b>
<b>Indirect Charge</b>	<b>71,900</b>	<b>346,900</b>	<b>418,800</b>
<b>COMMODITIES</b>			
Publications	500		500
Office Supplies	1,000	1,000	2,000
<b>Total, Commodities</b>	<b>1,500</b>	<b>1,000</b>	<b>2,500</b>
<b>OPERATING EXPENSES</b>			
Postage/Postal Services	200	0	200
Printing Services	200		200
Miscellaneous		3,000	3,000
Conference Registrations	1,000	0	1,000

**COMPETITIVE FEDERAL GRANTS - EXPENSES**

	U.S. DOE	U.S. HUD	Total
	<b>FY 2012</b>		
Training & Education Reimbursement	1,000	0	1,000
Internet Wire Service		5,300	5,300
Travel Expenses	2,000	15,250	17,250
<b>Total, Operating Expenses</b>	<b>4,400</b>	<b>23,550</b>	<b>27,950</b>
<b>CONTRACTUAL SERVICES</b>			
Consulting Services	1,500,000	0	1,500,000
Grants (Pass Through)		225,000	225,000
<b>Total, Contractual Services</b>	<b>1,500,000</b>	<b>225,000</b>	<b>1,725,000</b>
<b>TOTAL</b>	<b>1,779,100</b>	<b>1,567,250</b>	<b>3,346,350</b>

Following are the program areas for FY 2012. Under each program is the work plan, then the budget detail and contract descriptions. The work plan was developed to reflect the agency's activities and outcomes for FY 2012. It is a detail of the projects, staff, products and key dates and anticipated contracts. The budget has been developed to assure that the work plan activities are supported with staff, operating costs, and consultant services.

## **LOCAL PLANNING SUPPORT**

Program Oversight: Bob Dean

GO TO 2040 supports the efforts of local governments to improve livability within their communities and to encourage a future pattern of more compact, mixed-use development that focuses growth where transportation infrastructure already exists. The plan recommends that local governments pursue opportunities for development of this type, while recognizing that the interpretation and application of these concepts will vary by community.

### **Technical Assistance Coordination**

Project Manager: Bob Dean

Team: Aleman, Saunders, Williams-Clark

Description: Continually review and improve process to evaluate and respond to requests for assistance and to proactively identify opportunities for technical assistance. Determine opportunities to use the “toolbox” of technical assistance tools, including ROI, MetroQuest, Full Circle, FutureView, and others. Staff the Technical Assistance Providers (TAP) Committee, coordinate their activities, and maintain inventory of technical assistance work. Catalog all data requests and respond appropriately to requests for planning assistance. Continually review effectiveness of overall technical assistance program, and recommend changes as needed.

Products and Key Dates:

- Monthly meetings of TAP Committee. (ongoing)
- Updated descriptions of technical assistance options and written process for reactively and proactively providing technical assistance. (October)
- Catalog all technical assistance and data requests as they are received. (ongoing)

## **AREA 1: REGIONAL TECHNICAL ASSISTANCE**

Program Manager: Andrew Williams-Clark

“Regional” technical assistance includes projects that are conducted at a regional level, rather than working with an individual community. Projects in this area have a broad, region-wide audience.

### **Online Case Study Library**

Project Manager: Lindsay Banks

Team: Heringa, Okoth, Ostrander

Description: This project will collect positive case studies from around the region of local governments advancing GO TO 2040 through plans, ordinances, and other regulations. These will be organized clearly in a searchable online format. After the initial launch of the

project, it will be continually added to with more case studies.

Products and Key Dates:

- Publicly available online library with at least 25 case studies. (July)
- Continued improvements and additions to library. (ongoing)

## **Compendium of Plans and Ordinances**

Project Manager: Andrew Williams-Clark

Team: Hallas, Heringa, interns

Description: This project will collect and analyze comprehensive plans and zoning ordinances from municipalities around the region. For ordinances, this project will not comprehensively collect every ordinance around the region, but will collect those of certain types (for example, form-based codes). It will review them for their inclusion of key planning issues and prepare standard metrics by which they can be summarized. From this, technical assistance from CMAP to local governments can be more effectively targeted. The municipal survey will also be used to supplement and confirm this information.

Products and Key Dates:

- Updated Compendium of Plans. (September)
- Proposal for types of ordinances to be included in initial Compendium. (September)
- Compendium of Ordinances for at least two ordinance types of interest. (June)
- Initiation of municipal survey. (March)

## **Model Plans, Ordinances, and Codes**

Project Manager: Andrew Williams-Clark

Team: Ahmed, Banks, Heringa, Ostrander, Saunders, Talbot, others to be determined

Description: This project will prepare model planning approaches on topics of interest to local communities and planners. These could include ordinances, other regulations, or treatment of other planning issues. The municipal survey and Compendium of Plans will be used to determine the focus of the model approaches. Based on initial review of responses to the municipal survey, requests for assistance through the LTA program, and other input, potential topics include: parking; treatment of local food in comprehensive plans and ordinances; treatment of arts and culture in local plans; performance-based codes; climate change adaptation; and sustainability plans. (Topics will be finalized before the start of FY 12.) Once models are produced, work with several communities to implement the ordinance locally (covered in more detail in the Community Technical Assistance section).

Products and Key Dates:

- Three model ordinances or other planning documents on topics of interest. (December, March, and June)



## **Planning Commissioner Workshops**

Project Manager: Jon Hallas

Team: Aleman, Banks

Description: A series of training workshops for Planning Commissioners will be provided, covering issues such as the importance of updating the comprehensive plan, consistency of local ordinances, legal issues in planning, and placing local land use decisions within a regional context. These will be coordinated with APA-IL, COGs, and other relevant groups.

Products and Key Dates:

- Three sets of Planning Commissioner workshops in fall 2011.
- Three sets of Planning Commissioner workshops in spring 2012.

## **Regional Data Sharing Technical Assistance**

Project Manager: Andrew Williams-Clark

Team: Sanders, Wu, Zhang, interns as necessary

Brief Description: This project will train stakeholders in the use of CMAP data products, inform future improvements in these products and define regional best practices for data sharing with the overall goal of advancing local governments toward more efficient data sharing. This will include training stakeholder groups to maximize impact of MetroPulse; producing a product backlog for municipal data portal development; and developing policy briefs, reports and analyses based on a continuous assessment of existing conditions in our own region and in comparison with best practices identified across regions; and conducting a pilot program to provide comprehensive technical assistance to one of the following government entities: the state, one county, one municipality or one regional transportation agency. CMAP will also engage with one or more local government partners to formalize data sharing arrangements. Other activities include participating in regional groups working to develop indicators in specific issue areas relevant to the CMAP's mission and convening a working group of local (county, municipal, and/or state departmental) government staff who work with data and are willing to share data with CMAP.

Products and Key Dates:

- Present MetroPulse webinar quarterly at minimum.
- Present 4-5 MetroPulse trainings/demonstrations to key stakeholder groups.
- Open CMAP data application program interface (API) to researchers, governments, non-profits and the general public (December 2011)
- Deliver data sharing best practices document (Spring 2012)
- Deliver Municipal Portal beta website as technical assistance pilot project (June 2012)



## **AREA 2: COMMUNITY TECHNICAL ASSISTANCE**

Program Manager: Pete Saunders

“Community” technical assistance involves working directly with a community or group of communities on a product that is customized for their use. Projects in this area have a specific audience and are geographically limited. The work plan does not identify the specific projects being pursued, but breaks down the types of work involved in each one.

### **Local Grant Program—Community Planning Program**

Project Manager: Hala Ahmed

Team: Aleman, Banks, Ostrander, Saunders

Description: This project will provide grants to local governments to support the preparation of comprehensive plans, sub-area plans and ordinance revisions to implement these plans, with a focus on linking land use and transportation. It will be highly coordinated with RTA, who offers similar grant programs; coordination with IDOT will also be sought.

Products and Key Dates:

- Recommendation of projects to be funded. (August)
- Consultant selection and initiation of each local project. (December)
- Call for projects for following year. (April)

### **Local Technical Assistance: Program Development and Management**

Project Manager: Bob Dean

Team: Aleman, Dick, Navota, Ortiz, Ostrander, Saunders, Ungerleider

Description: This involves the management of the overall program of local technical assistance projects. This includes assuring project timeliness and quality, assessing staff needs and allocating resources appropriately, and communicating the purpose and goals of the overall program. The preparation of monthly reports on project progress also falls under this project. Future calls for projects and project prioritization are included within this project as well.

Products and Key Dates:

- Completed call for projects and project prioritization. (calls for projects in August and December)
- Monthly reports on progress of ongoing and upcoming projects. (ongoing)



## **Local Technical Assistance: Project Scoping**

Project Manager: Dan Ungerleider

Team: Hernandez, Lopez, Simoncelli, K. Smith

Description: Many local technical assistance projects require significant further scoping before the most appropriate CMAP role can be determined. This work plan item includes scoping of all higher priority projects, involving meetings with project sponsors and key local stakeholders, research on relevant past activities in each community, and preparation of a proposed scope of work for CMAP's involvement in each project.

Products and Key Dates:

- Completed scoping of all currently identified higher priority projects and determination of appropriate CMAP role and timeline to move forward. (December)
- Ongoing scoping of other projects as they are submitted through new calls for projects. (ongoing)

## **Local Technical Assistance: Project Management**

Project Manager: Pete Saunders

Team: Ahmed, Dick, Ihnchak, Navota, Ortiz, Robinson, Shenbaga, Talbot, Ungerleider, Williams-Clark, Woods

Description: Each local technical assistance project will be assigned a project manager who is responsible for the timely completion of the project. This will sometimes, but not always, involve the project manager being based in the host community. Project managers are responsible for conducting a large portion of the work required on their projects, as well as identifying needs for additional project support, outreach assistance, and partner coordination (described in the following several work plan items).

Products and Key Dates:

- Completion of approximately twenty local technical assistance projects receiving direct assistance from CMAP and initiation of a similar number of additional projects. Projects will be initiated and completed on an ongoing basis, with some projects being completed in December and more in early 2012.
- Products will vary based on specific projects, but will include comprehensive plans, subarea plans, zoning ordinances, sustainability plans, special projects on particular topics such as housing or water conservation, and others.

## **Local Technical Assistance: Outreach and Communications**

Project Manager: Erin Aleman, Tom Garritano

Team: Banks, Hernandez, Lopez, Reisinger, Simoncelli, K. Smith

Description: Inclusive public engagement processes will be part of each local technical assistance project undertaken. This work plan item includes the development and implementation of a public engagement process as part of each project. Also included here

is the development of a standard template for products produced through the local technical assistance program, although details will vary by project.

Products and Key Dates:

- Written public engagement standards and templates to be used for technical assistance projects. (July)
- Final report on public engagement results for each local project. (ongoing)

### **Local Technical Assistance: Project Support**

Project Manager: Pete Saunders

Team: Banks, Dryla-Gaca, Elam, Heringa, Ihnchak, Okoth, Ostrander, Pedersen, Pfingston, Robinson, Shenbaga, Woods

Description: Completion of local technical assistance projects will rely on successful management of these projects but also appropriate support from others at CMAP. This work plan item includes data collection and analysis, mapping, research, writing, and similar activities. These activities will be determined and assigned based on the needs identified by each project manager and coordinated through the program management work plan item.

Products and Key Dates:

- Participation in local technical assistance projects as identified above. (ongoing)

### **Local Technical Assistance: Partner Coordination**

Project Manager: Bob Dean

Team: Aleman, Okoth, Ostrander, Ungerleider

Description: The involvement of partner organizations including government, nongovernmental, and philanthropic groups is a central part of CMAP's approach to local technical assistance. This work plan item includes identification of appropriate organizations to participate in local projects and coordination of the project processes to involve these organizations, as well as convening partners through working committees, technical assistance providers group, livability working group, and other formal and informal committees.

Products and Key Dates:

- Identification of appropriate partner organizations and roles for each local technical assistance project. (ongoing)

### **Plan and Ordinance Review**

Project Manager: Pete Saunders

Team: Hallas, Heringa, Pfingston

Description: CMAP will work with communities on the review of existing ordinances to understand their impacts and visualize results if they were fully implemented using tools

such as FutureView. The bulk of time in this work item will involve responding to requests to review plans or ordinances. Much of this will not involve visualization, but will be simple review.

Products and Key Dates:

- Review of local plans and ordinances on request. (ongoing)
- Review of existing ordinances for at least two communities to calculate impacts and visualize results. (June)

### Communities Putting Prevention to Work

Project Manager: Jon Hallas

Team: Heringa, Talbot

Description: CMAP will be assisting the Cook County Health Department in their Communities Putting Prevention to Work (CPPW) program, which is focused on planning for healthier communities in suburban Cook County. CMAP’s role will involve assisting with elements related to comprehensive planning and local food promotion.

Products and Key Dates:

- Sample local food comprehensive plan chapter and incorporation of local food into ongoing comprehensive plan update projects. (March)
- Participation in administrative and communication activities related to grant. (March)

**TABLE 7**

**BUDGET DETAIL  
LOCAL PLANNING SUPPORT**

<b>Local Planning Support - Budget</b>				
	Local Planning	Community	Sustainable	Total
	Support	Planning Program	Communities	
<b>PERSONNEL</b>				
Salaries	723,000		676,000	1,399,000
Retirement	135,900		121,900	257,800
FICA	46,700		42,200	88,900
Medicare	10,500		9,800	20,300
Health	100,800		112,200	213,000
Dental	6,000		7,200	13,200
Vision	1,600		1,500	3,100
Interns	40,000			40,000
<b>Total, Personnel</b>	<b>1,064,500</b>	<b>0</b>	<b>970,800</b>	<b>2,035,300</b>

<b>Local Planning Support - Budget</b>				
	Local Planning	Community	Sustainable	Total
	Support	Planning Program	Communities	
<b>Employee Months</b>	124.00		120.00	244
<b>Indirect Charge</b>	<b>366,100</b>	<b>0</b>	<b>346,900</b>	<b>713,000</b>
<b>COMMODITIES</b>				
Office Supplies	500		1,000	1,500
<b>Total, Commodities</b>	<b>500</b>	<b>0</b>	<b>1,000</b>	<b>1,500</b>
<b>OPERATING</b>				
Staff Assoc. Membership	2,000			2,000
Postage/Postal Services	700			700
Miscellaneous	800	0	3,000	3,800
Meeting Expenses	22,000			22,000
Printing Services	90,000			90,000
Conference Registrations	3,900			3,900
Training & Education Reimbursement	2,000			2,000
Internet wire service		0	5,300	5,300
Travel Stipend		0	13,250	13,250
Travel Expenses	22,000	0	2,000	24,000
<b>Total, Operating</b>	<b>143,400</b>	<b>0</b>	<b>23,550</b>	<b>166,950</b>
<b>CONTRACTUAL SERVICES</b>				
Professional Services**				
Metcalfe	8,000			8,000
Grants		1,000,000	225,000	1,225,000
Consulting Services	250,000			250,000
<b>Total, Contractual Services</b>	<b>258,000</b>	<b>1,000,000</b>	<b>225,000</b>	<b>1,483,000</b>
<b>Total, Expenses</b>	<b>1,832,500</b>	<b>1,000,000</b>	<b>1,567,250</b>	<b>4,399,750</b>
<b>REVENUE</b>				
UWP Operating - FY2012	1,266,000			1,266,000
UWP Contracts - FY 2012	140,000			140,000
Match - FY 2012	351,500			351,500
UWP Contracts - FY 2011		397,936		397,936



<b>Local Planning Support - Budget</b>				
	Local Planning	Community	Sustainable	Total
	Support	Planning Program	Communities	
Match - FY 2011		99,484		99,484
HUD			1,567,250	1,567,250
IDOT	75,000	502,580		577,580
<b>Total, Revenue</b>	<b>1,832,500</b>	<b>1,000,000</b>	<b>1,567,250</b>	<b>4,399,750</b>



**TABLE 8**

**CONSULTANT SERVICES DETAIL  
LOCAL PLANNING SUPPORT**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Interns (Metcalf)	8,000	UWP 2012 – Operating / Annual contract Interns
MetroQuest Upgrade (MetroQuest)	100,000	UWP 2012 – Contract / Sole Source, Board to approve contract
LTA Web Communications (TBD)	75,000	UWP 2012 – Contract / RFP to be issued, Board to approve contract
Full Circle Technical Upgrade (TBD)	75,000	IDOT 2012 / RFP to be issued, Board to approve contract
Community Planning Program (TBD)	1,000,000	UWP 2011 – Contract/IDOT 2011, 2012 funds / Competitive program to be developed. Board to approve awards.
LTA Assistance (TBD)	225,000	HUD / Assistance to participating municipalities and counties. Board to approve assistance.
<b>TOTAL</b>	<b>1,483,000</b>	



## **POLICY ANALYSIS AND DEVELOPMENT**

Program Oversight: Matt Maloney

GO TO 2040 addresses broad issues of governance and policy, which are equally as important as physical infrastructure to our region's future. The plan's approach in this area is to support activities that create a favorable policy environment for sustainable prosperity and regional job growth. The primary goal of this core program is to use the agency's vast data resources to generate compelling analyses in subject areas aligning with GO TO 2040. Dissemination of this analysis provides the context for strategic coordination on policy with other organizations, including administrative and/or legislative action. This core program reflects agency priorities, ranging from transportation finance to economic innovation to state and local taxation to broader land use issues including housing and natural resource policies. The main activities include research and analysis, steering GO TO 2040 priorities through the agency's committee structure, legislative analysis, and coordination by CMAP staff with other organizations.

### **CMAP and MPO Committee Support**

Team: Kopec, Leary (policy committees); Dean, Maloney (coordinating committees); Aleman, Berry, Capriccioso (advisory committees); Byrne, Dixon, Elam, Ostrander, Smith, Williams-Clark, (working committees)

Description: CMAP has committees at the policy, coordinating, advisory, and working levels that play integral roles in the agency's planning processes. CMAP provides staff support to these committees. With the adoption of GO TO 2040, committee focus has shifted from the planning process to implementation. While many implementation areas of the plan are led by CMAP, other areas require leadership from other implementers. Moving forward, CMAP's committees, primarily at the working level, should be used to ensure that CMAP can measure progress toward plan implementation on both staff work and efforts by outside implementers.

Products: Agendas, meeting minutes, and supporting materials (policy, coordinating, advisory, working levels); implement mechanism to collect and share information on GO TO 2040 implementation activities occurring throughout the region (working committee level)-quarterly

### **Transportation Policy Analysis**

Project Manager: Matt Maloney

Team: Beata

Description: CMAP will address emerging challenges and issues arising from transportation policies and planning on the national, state and local levels. Our region needs to help shape the policies and programs that will dictate the role transportation plays in our communities and seek to align our national, state, and local transportation policies with an array of issues

including climate change, housing, health, economy and sustainability. GO TO 2040 calls for a range of policy changes to state transportation finance, including increasing and indexing the motor fuel tax, changing the 55/45 split, passing legislation authorizing public private partnerships, and reforming the state's capital program funding. On the federal side, the U.S. Congress will be working over the next year towards a new federal transportation authorization bill. It will be critical to the region that CMAP have a concise policy that can feed into the development of the new transportation bill.

Products and Key Dates: Various reports or issue briefs will be produced this fiscal year-- specific topics are TBD. Topics should include analysis on: the leveraging of public private partnerships and federal transportation grants, the 55/45 split for state transportation dollars, congestion pricing, parking pricing, motor fuel tax and MFT replacements, value capture strategies, and criteria for project selection. This project will also manage CMAP's ongoing efforts with other local and national partners at reauthorization of the federal transportation bill.

## **Major Capital Projects Implementation**

Project Manager: Matt Maloney

Team: Beata, Blankenhorn, Dean, Leary, Elam, Kopec, Wies

Description: While the primary transportation emphasis of GO TO 2040 is to maintain and modernize, the plan contains a handful of fiscally constrained major capital projects that will maximize regional benefits of mobility and economic development. Five of these are new projects or extensions- the CTA Red Line South, West Loop Transportation Center, the Elgin O'Hare West Bypass, Central Lake County Corridor, and the I-294/I-57 interchange. Historically, CMAP has worked with transportation implementers to supply travel projections and other related data for making efficient planning decisions. This work will continue under the "External Data Requests" project in the Regional Information and Data Development core program. This purpose of the Major Capital Projects implementation project is for CMAP staff to coordinate with state, regional, and local agencies and groups on generating the data, information, policy analysis, and outreach to advance implementation. Level of effort for CMAP will differ across projects: some will require a supporting role, and some may require a leadership role.

Products and Key Dates: Policy Updates on projects (initial updates completed by July 2011, ongoing or as needed after that); Strategic planning document to help determine CMAP's level of involvement with major capital projects (October 2011); Internal wiki on project progress (ongoing- managed by Bozic); Active involvement on regional groups (as needed, ongoing);

## **Regional Tax Policy Task Force**

Project Manager: Matt Maloney

Team: Hollander, Baden

Description: The Regional Tax Policy Task Force was created by the CMAP Board to make recommendations on state and local tax policy matters addressed in GO TO 2040. The task force is charged with advising the CMAP Board on issues central to state and local fiscal policy, viewed through the lens of the regional economy, sustainability, equity, and the connections between tax policies and development decisions. Areas of study will include existing state and local sales tax revenue sharing, tax and land use distortions, the property tax structure, expansion of sales tax to services, and local tax capacity issues including analysis on equity.

Products and Key Dates: Task Force meets monthly through January 2012. Overall meeting schedule and scope will be reevaluated in the summer of 2011. Staff will produce products for the task force on an ongoing basis.

## **Industry Cluster Drill-Down Reports**

Project Manager: Brett Baden

Team: Byrne, Maloney, staff from Chicago Workforce Investment Council (CWIC)

Description: The GO TO 2040 recommendation on Innovation includes an implementation action to perform a 'drill down' analysis into specific industry clusters, including freight/logistics, biotech/biomed and energy, and/or advanced manufacturing. The purpose of these reports is to identify specific opportunities to support economic innovation within a strategic cluster. A thorough, comprehensive evaluation of an industry cluster will highlight opportunities to develop partnerships, strengthen programs, advocate for policy changes, align workforce training programs, and bolster other resources that will help the cluster thrive. Work on a drill down into the freight cluster began in FY2011. The freight and future drill down reports will be produced in partnership with the Chicago Workforce Investment Council (CWIC). CMAP will perform the economic and business analysis and CWIC will analyze the labor market and workforce development for each cluster.

Products and Key Dates:

### *Freight Drill Down*

- Present preliminary results to CMAP Freight Committee and CMAP Economic Development Committees (May/June 2011)
- Complete Data Analysis including trends and forecasts (September 2011)
- Final Drill-Down Report (October 2011)

- Presentation of final report to CMAP Freight Committee and CMAP Economic Development Committees (November 2011)
- Development of freight drill down pamphlet and press release (November 2011)

#### *Manufacturing Drill Down*

- CMAP and CWIC begin drill down report on the manufacturing industry (September 2011)
- Presentation of preliminary results for manufacturing cluster drill down (November 2011)
- Complete Data Analysis including trends and forecasts (March 2012)
- Final Drill-Down Report (April 2012)
- Presentation of final report to CMAP Economic Development Committee (May 2012)
- Development of pamphlet and press release (June 2012)

### **Parks and Open Space Implementation**

Project Manager: Jesse Elam

Team: Heringa, Banks

Description: The GO TO 2040 plan recommends conserving a considerable amount of additional land (150,000 acres), providing more recreational parks in park deficient areas, and doubling the mileage of greenway trails in the region. The major focus in FY12 is on cultivating relationships with partners, convening stakeholders, and supporting the activities of implementers in pursuit of these goals.

Products and Key Dates: Workshop for park districts on planning issues, including the management of “surplus properties” and land-cash donation ordinances (October 2011); small research projects not undertaken in LTA program including tree inventory data, quantification of land held by homeowner’s associations, and potential survey of park districts to collect data on cooperative agreements (December 2011); initial analysis of lands that could be converted to park use (further planning may require sub-regional work, especially collaboration between park districts (December 2011); workshop for regional green infrastructure planning (March 2012); best practices research (June 2012); four to five policy updates (ongoing).

### **Land Use and Housing Regional Analysis**

Project Manager: new associate policy analyst

Team: Baden, D. Clark, Morck, Pfingston

Description: GO TO 2040’s land use and housing section primarily focuses on providing technical assistance to local governments. This will be a major effort for the agency in FY 12 and beyond—a full description of this work can be found in the local planning assistance

core program. The purpose of this project, which is new to the work plan this year, is to expand the agency's capacity to provide compelling regional analyses on land use and housing issues with the goal of contributing to the regional discourse and influencing public policy. While the agency has a large repository of useful land use and development related data (land use inventory, development database, among others), it has not maximized the use of this data to analyze regional trends and present findings to partners. The initial deliverable of this project will be an internal strategic planning document which articulates agency priorities and future work. The target audience for this future work will include federal, state and local policymakers. Furthermore, analytic tools may assist CMAP staff in providing technical assistance to local governments. Future deliverables may include: further data collection and processing, the construction of analytic models that can analyze impacts of policy changes on land use, reports on regional land use and housing trends, issue briefs, and supplementing CMAP's state legislative agenda.

Products and Key Dates: strategic planning report for CMAP's role in land use and housing/development policy (October 2011); implementation of strategic plan (dates are tbd)

## **Legislative Monitoring**

Project Manager: Ylda Capriccioso

Team: Allen, Smith, and other relevant staff

Description: This project is responsible for monitoring legislative activities at the Illinois General Assembly during regular and veto session and actions taken by the Governor, such as vetoes, executive orders, or other relevant announcements that impact our region. Staff will maintain relationships with key staff in the House, Senate, Governor's Office, other constitutional offices and state departments to keep abreast of these activities. Staff will also maintain relationships with CMAP's partners and stakeholders to keep informed with their legislative concerns and initiatives. Staff will provide an analysis of bills of significant interest to CMAP and the status of these bills as they move through the legislative process. Staff will provide written and verbal reports on these activities regularly to executive staff, CMAP board, policy and working committees, and the CAC.

Products and Key Dates: Monthly Board Report, Final Legislative Report (June), Veto Session Report (TBD)

## **Policy & Legislative Strategy Outreach**

Project Manager: Gordon Smith

Team: Allen, Capriccioso, and other relevant staff

Description: This project is responsible for strategic development and management of the CMAP's federal, state and local government relationship and educational efforts. It will

consist of developing and implementing programs to enhance elected officials' understanding about CMAP, GO TO 2040, State and Federal priorities. The team will help facilitate effective communication between CMAP and state legislators with emphasis on legislators representing the region and will work with COGs, counties, municipalities and other partner organizations to promote CMAP priorities. Staff will provide up-to-date information concerning policy and proposed legislation. Staff will respond to inquiries by public officials and legislative members, prepare written materials, as needed, for one-on-one meetings, hearings, or briefings.

Products and Key Dates: State Agenda (November), Federal Agenda (January), Factsheets on GO TO 2040 priorities (as needed); Outreach Strategy Outline (as needed); Regional Legislative Briefings (June-July); Congressional Staff Briefings (TBD).

## Policy Updates

Project Manager: Matt Maloney

Team: Reisinger, various staff writers

Description: The “policy updates” blog was introduced in FY 11 as a new feature of the CMAP Web site. The purpose of the blog is to use available data and research to generate brief entries which analyze federal, state, and local policy issues of the day. In large part, policy blog entries should reflect staff work which is already ongoing and in varying stages of development. The policy blog will strive for a mix of 1) data analysis and commentary on socioeconomic and other trends facing northeastern Illinois and 2) information and commentary on major legislative or regulatory issues at the federal, state, or local level. Focus areas for the blog will include the regional economy, transportation, environment, and local planning issues.

Products and Key Dates: Blog postings occur on an ongoing basis, typically several per week.

**TABLE 9**

**BUDGET DETAIL  
POLICY ANALYSIS AND DEVELOPMENT**

<b>Policy Analysis and Development - Budget</b>	
<b>PERSONNEL</b>	
Salaries	999,600
Retirement	230,900
FICA	53,700
Medicare	14,500
Health	110,400

<b>Policy Analysis and Development - Budget</b>	
Dental	6,000
Vision	1,600
Interns	25,000
<b>Total, Personnel</b>	<b>1,441,700</b>
<b>Employee Months</b>	130
<b>Indirect Charge</b>	<b>506,300</b>
<b>COMMODITIES</b>	
Publications	3,000
Office Supplies	2,000
<b>Total, Commodities</b>	<b>5,000</b>
<b>OPERATING</b>	
Staff Assoc. Membership	2,000
CMAA Assoc. Membership	25,000
Postage/Postal Services	4,000
Miscellaneous	1,000
Meeting Expenses	3,500
Conference Registrations	7,000
Training & Education Reimbursement	4,000
Travel Expenses	36,000
<b>Total, Operating</b>	<b>82,500</b>
<b>CONTRACTUAL SERVICES</b>	
Consulting Services	205,000
<b>Total, Contractual Services</b>	<b>205,000</b>
<b>Total, Expenses</b>	<b>2,240,500</b>
<b>REVENUE</b>	
UWP Operating - FY2012	1,628,400
UWP Contracts - FY 2012	60,000
Match - FY 2012	422,100
UWP Contracts - FY 2011	16,000
Match - FY 2011	4,000
General Fund	35,000



<b>Policy Analysis and Development - Budget</b>	
IDOT	75,000
<b>Total, Revenue</b>	<b>2,240,500</b>





**TABLE 10**

**CONSULTANT SERVICES DETAIL  
POLICY ANALYSIS AND DEVELOPMENT**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Federal Policy Analysis (Wilkison)	35,000	General Fund / Ongoing contract
Tax Policy Task Force (TBD)	75,000	IDOT 2011 / RFP to be developed. Board to approve contract.
Innovation financing for Transportation (TBD)	75,000	UWP 2012 / RFP to be developed. Board to approve contract.
Local Governmental Liaison (DRP Consulting)	20,000	UWP 2011 – Contract / Ongoing contract
Total	205,000	

## **COMMUNICATIONS AND OUTREACH**

Program Oversight: Tom Garritano

### **Public Information**

Project Manager: Justine Reisinger

Team: Garritano, Holub, Weiskind, plus other relevant staff.

Description: CMAP must maintain a high standard of communication with stakeholders, the general public, and news media. Tools include prepared talks, story pitches, press releases, tip sheets, media advisories, and video. Outreach to external media will be coordinated internally and, whenever appropriate, externally with CMAP partners. Continual outreach will be conducted with print and electronic reporters, emphasizing regional, local, and to some extent state coverage. CMAP will routinely reach out to share content with blogs at our partner organizations or other independent sites. It is also important to emphasize minority print and electronic media. Communications staff will place special emphasis on working with Planning Assistance staff to build awareness of GO TO 2040 implementation activities (e.g., the local technical assistance program).

Products: Various electronic and print materials, as needed throughout FY 2012.

### **GO TO 2040 Communications**

Project Manager: Tom Garritano

Team: Holub, Weiskind, Reisinger, plus other relevant staff.

Description: CMAP's primary communications goal is to promote the broad implementation of GO TO 2040 regionally and locally. Our primary audiences are the local, regional, state, and federal implementers of GO TO 2040. When reaching out to a broader audience, it is generally for the purpose of raising awareness about the plan's implementation through local and regional examples of effective planning and policies that show the importance of CMAP's leadership. This includes reaching out to targeted audiences via external media, web, printed materials, infographics, and public talks. Primary topics will include the GO TO 2040 plan as a whole, implementation efforts such as the local technical assistance program, and information-sharing efforts such as MetroPulse. Communications staff will work with Local Planning Assistance and other CMAP staff to produce needed print materials, including reports, promotional documents, posters, and more.

Products: Various electronic and print materials, as needed throughout FY 2012.



## **GO TO 2040 Outreach**

Project Manager: Erin Aleman

Team: Blankenhorn, Lopez, Banks, other staff as needed

Description: Complementary to the GO TO 2040 Communications project, the primary objective of the GO TO 2040 Outreach project is to continue to engage key stakeholders and implementing agencies about GO TO 2040's policy recommendations; to ensure that these organizations are knowledgeable about the plan's recommendations; and to raise awareness and garner support for the implementation of GO TO 2040. Because CMAP has limited implementation authority, it is critical that local, state, and other decision-makers be supportive of the direction and specific recommendations of the GO TO 2040 plan. Building on a successful outreach approach that resulted in the plan's adoption, this task will continue extensive outreach to key stakeholders and a plan to sustain and increase our GO TO 2040 partners.

Products and Key Dates: GO TO 2040 presentations to all of the local technical assistance communities and 10 additional major implementers by end of FY 2012; CMAP participation in at least two high-profile conferences, panels, or events by the end of FY 2012; Continued partner outreach presentations at smaller events as appropriate.

## **Private Sector Outreach**

Project Manager: Bola Delano

Team: Rademacher, Blankenhorn

Description: This is a targeted outreach effort to encourage Chambers of Commerce, Economic Development Corporations, and Community Colleges to be involved in the implementation of GO TO 2040.

Products and Key Dates: Implement the strategy to engage this audience and work with them to implement the recommendations in GO TO 2040 (ongoing). Provide immediate technical assistance and business services as required (ongoing).

## **Graphic Design**

Project Manager: Adam Weiskind

Team: Garritano, Holub, Reisinger, plus other relevant staff.

Description: CMAP staff have an on-going need for graphic design help in preparing their materials for publication on the web and in print to support on-going agency plans, programs, and other activities. Whenever feasible, design of print materials (reports, mailers, pamphlets, brochures), website elements and page layouts, logo and identity development, display items, and maps and informational graphics should be incorporated to make CMAP priorities easily comprehensible to broader audiences, including the general public and mainstream media. When targeted more specifically to expert audiences, the goal remains to communicate concisely and clearly, with that responsibility shared by non-



communications and communications staff. Communications staff will place special emphasis on working with other staff to build awareness of GO TO 2040 implementation activities (e.g., the local technical assistance program).

Products: Various electronic and print materials, as needed throughout FY 2012.

## **Web Content and Administration**

Project Manager: Anne Holub

Team: Garritano, Tiedemann, Reisinger, Weiskind, plus other relevant staff.

Description: Implementation of the GO TO 2040 regional plan and other core CMAP functions require a strategic approach to developing content that informs and prompts specific action by regional decision makers and the stakeholders who influence them. This project is to develop, organize, and present that content for the CMAP website. In addition to content development, it includes oversight of the web consultants responsible for programming, maintaining, and securely hosting the website. The new site -- including the Moving Forward space devoted to implementing GO TO 2040 -- facilitates strategic communications. Individual non-communications staff should be responsible for "owning" specific areas of the new website, corresponding to his or her project duties and areas of expertise. For each major topic area, that person will be assisted by communications staff to continually develop and maintain content that brings people to the CMAP website and promotes implementation of GO TO 2040. Communications staff will work with other CMAP staff to produce web content necessary to promote implementation of GO TO 2040, e.g., with Planning Assistance staff responsible for subsections of Moving Forward. Promotion via social media (Facebook, Twitter) will drive visitors to highlighted content, including occasional "live Tweeting" from important events and meetings.

Products: Various web materials, as needed throughout FY 2012.

## **Future Leaders in Planning (FLIP)**

Project Manager: Andrew Williams-Clark

Team: Aleman, Banks, Lopez, Reisinger

Description: This is a development program for high school students. Selected participants will collaborate with and learn from elected officials and planners who are implementing the GO TO 2040 comprehensive regional plan. The program runs from September 2011 to March 2012 and provides ongoing leadership development, teaching them about past, present, and future regional planning issues from elected officials, community leaders and CMAP staff. Through multimedia tools, interactive activities and field trips, students go "behind the scenes" to explore our region's communities. Topics include: transportation, housing, human services, land use, economic development and the environment. In addition to learning how local governments interact to address these important regional needs, students will have opportunities to engage with other students to think about the ways

planning could be improved and/or changed. Students will present their resolutions at the end of the sessions to the CMAP Board.

Products and Key Dates: Recruitment guide with application (March 2011); program curriculum (July 2011); student selection & notification (June 2011); site selection for Final Project (August 2011); secure partner commitments (September 2011); monthly meetings and activities (September 2011 – April 2012); Final Project (May 2012).

**TABLE 11**  
**BUDGET DETAIL**  
**COMMUNICATIONS AND OUTREACH**

<b>Communications and Outreach</b>			
	Communications	FLIP	Total
	Outreach		
<b>PERSONNEL</b>			
Salaries	645,100		645,100
Retirement	116,400		116,400
FICA	38,600		38,600
Medicare	9,400		9,400
Health	90,800		90,800
Dental	6,600		6,600
Vision	1,300		1,300
Interns	30,000		30,000
<b>Total, Personnel</b>	<b>938,200</b>	<b>0</b>	<b>938,200</b>
<b>Employee Months</b>	107		107
<b>Indirect Charge</b>	<b>324,600</b>		<b>324,600</b>
<b>COMMODITIES</b>			
Publications	1,000		1,000
Office Supplies	1,000	1,600	2,600
<b>Total, Commodities</b>	<b>2,000</b>	<b>1,600</b>	<b>3,600</b>
<b>OPERATING</b>			
Staff Assoc. Membership	900	0	900
Postage/Postal Services	2,000	300	2,300



<b>Communications and Outreach</b>			
	Communications	FLIP	Total
	Outreach		
Miscellaneous	1,900	2,400	4,300
Meeting Expenses	30,000	5,000	35,000
Printing Services	10,000	700	10,700
Conference Registrations	500	0	500
Training & Education Reimbursement	3,000	0	3,000
Travel Expenses	9,000	5,000	14,000
<b>Total, Operating</b>	<b>57,300</b>	<b>13,400</b>	<b>70,700</b>
<b>CONTRACTUAL SERVICES</b>			
Professional Services	20,000		20,000
Consulting Services	215,000		215,000
<b>Total, Contractual Services</b>	<b>235,000</b>	<b>0</b>	<b>235,000</b>
<b>Total, Expenses</b>	<b>1,557,100</b>	<b>15,000</b>	<b>1,572,100</b>
<b>REVENUE</b>			
UWP Operating - FY2012	1,133,680	3,680	1,137,360
UWP Contracts - FY 2012	32,000		32,000
Match - FY 2012	291,420	920	292,340
General Fund		10,400	10,400
IDOT	100,000		100,000
<b>Total, Revenue</b>	<b>1,557,100</b>	<b>15,000</b>	<b>1,572,100</b>

**TABLE 12**

**CONSULTANT SERVICES DETAIL  
COMMUNICATIONS AND OUTREACH**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Web Development and Maintenance (ThirdWave)	75,000	UWP 2012 – Operating / Ongoing contract
Design Integration Services (TBD)	140,000	UWP 2012 – Contract/IDOT 2012 / RFP to be developed. Board to approve contract
Translation Services (TBD)	20,000	UWP 2012 – Operating / Various services
<b>Total</b>	<b>235,000</b>	

## **REGIONAL INFORMATION AND DATA DEVELOPMENT**

Program Oversight: Kermit Wies

This program is based on CMAP's Strategic Plan for Advanced Model Development and the agency's longstanding commitment to providing regional forecasts and planning evaluations for transportation, land use and environmental planning. The major tasks include: Advanced Urban Model Development, Travel and Activity Survey Work Program, Standard Travel and Emissions Modeling, Regional Analysis Inventories, External Data and Analysis Requests, Green Infrastructure Vision, Innovation Data Scoping and GO TO 2040 Indicator Tracking. These are data development and analysis projects that are consistent with CMAP's role as the authoritative source for data and methods used for regional analysis. The program provides data and technical support to several ongoing regional planning and policy initiatives and includes new projects to track Innovation data and GO TO 2040 Indicators. The program benefits CMAP staff and partners who rely on current and reliable data resources to conduct planning analyses.

### **Advanced Urban Model Development**

Project Manager: Kermit Wies

Team: Heither, Bozic, Clark, Stratton, new assistant analyst, consultant support.

Description: Development of modeling tools that analyze the expanded array of recommended policy and planning strategies included in GO TO 2040. These improved tools are described in the CMAP's Strategic Plan for Advanced Modeling (2010) which includes a schedule for pursuing development of stand-alone activity-based model components that can be put into immediate production and integrated over time. FY11 included development of a commodity based freight model and a personal value-of-time highway pricing model. FY12 will refine the pricing model to include transit. CMAP collaboration on related advanced modeling efforts underway at the Federal level is included here. A substantial hardware cluster is required to handle the computational demands of advanced models. This will require an initial focused effort on the part of IT staff to install and configure; afterward, the additional maintenance will be routine.

Products and Key Dates: Internal case studies analyzing selected Freight and Pricing strategies appearing in GO TO 2040 (January). Develop new Transit Pricing Analysis tool in order to analyze GO TO 2040 recommendations to modernize the transit system, (June).

## **Travel and Activity Survey Program**

Project Manager: Kermit Wies

Team: Lopez, Weiskind, Stratton, new analyst, consultant support

Description: Continue design and execution of surveys that retrieve information in response to the expanded array of recommended policy and planning strategies included in GO TO 2040. These surveys are described in the CMAP's Strategic Plan for Advanced Modeling (2010) and include surveys needed for advanced modeling practice but also have independent utility as stand-alone data resources. FY12 continues design and implementation of a Latino Household Travel Survey to supplement to 2007 Travel Tracker Survey. Three distinctive attributes of this effort require special attention to agency resource allocations. 1) a private survey research firm is needed to conduct the survey, 2) a customized outreach effort is required for active engagement in the Latino community 3) a special survey design is required both to control costs and to overcome low-response among hard-to-reach demographics.

Products and Key Dates: The Latino household survey is expected to be complete by May 2012.

## **Standard Travel and Emissions Modeling**

Project Manager: Craig Heither

Team: Wies, Bozic, Clark, Patronsky

Description: Maintenance and enhancement of existing MPO travel demand models. Major tasks are to implement MOVES model for use in air quality conformity and update model parameters based on 2010 Census. Maintenance of standard-practice travel demand models is required to meet regulatory requirements associated with plan and program development and air quality conformity determination. Ongoing maintenance of regional travel demand models is a regular function of the MPO. The project benefits MPO partners seeking to implement major capital projects and the Transportation Improvement Program. IT resources being deployed under Advanced Urban Model Development will streamline and improve the standard travel model environment as well. Additional data and consultation resources will be required to ensure a smooth transition to the MOVES emission modeling environment.

Products and Key Dates: Relevant standard travel model updates should occur within 3 months following release of appropriate Census products. MOVES implementation should be prioritized for completion at least 6 months before regulatory deadlines requiring its use. Air Quality Conformity is typically performed twice per year in coordination with updates to the TIP.





## **Regional Analysis Inventories**

Project Manager: David Clark

Team: Heither, Bozic, Stratton, Morck, Pedersen, Dryla-Gaca, Drennan, 2 interns (transportation inventory)

Description: Development and maintenance of specialized datasets used in CMAP technical analyses including socioeconomic, land-use and transportation inventories. These data resources originate with CMAP and are specially designed and maintained to support CMAP evaluations. Ongoing maintenance of regional data resources is a regular function of regional planning agencies. CMAP staff analysts and consultants charged with evaluating regional planning proposals benefit from this work. These data resources are also regularly supplied to academic researchers for case studies and methodological research. Acquisition of raw data resources remains a priority including county assessor, employment security and Census data as well as aerial photography.

Products and Key Dates: Ongoing work includes updating socioeconomic inventories based on 2010 Census results, maintaining the land use inventory, development database and transportation system inventory to support network standard and advanced modeling along with other regional analyses.

## **External Data and Analysis Requests**

Project Manager: Jon Hallas

Team: Bozic, Clark, Rodriguez other staff expertise as needed.

Description: Provide data support and conduct ad-hoc analyses and evaluations to CMAP Partners and the public. Major tasks are to respond to external information requests, prepare demand projections for project implementers, support major capital project evaluations and evaluate potential Developments of Regional Importance. CMAP is the authoritative source of regional planning data. In limited cases, staff expertise will be made available to conduct or assist with analysis and evaluation. CMAP staff, partners and the general public benefit from timely and consistent response to requests for urban planning information. In most cases, work is limited to processing information that is already available in the course of other CMAP programs such as travel demand modeling or socioeconomic forecasting. In limited cases, more sophisticated analyses are required to support GO TO 2040 Implementation or evaluate Developments of Regional Importance.

Products and Key Dates: Work will continue through FY12.



## **Green Infrastructure Vision**

Project Manager: Jesse Elam

Team: consultant support

Description: Refine Green Infrastructure Vision (GIV) data resources to provide more detail to local development and infrastructure planning. Delineate GIV open space corridors and ground water protection areas. This work directly supports implementation of GO TO 2040 policy recommendations. CMAP partners and local agencies seeking to promote regional environmental sustainability will benefit from improved data resources.

Products and Key Dates: Tasks and final report to be completed by end of FY12.

## **Innovation Data Scoping**

Project Manager: Brett Baden

Team: Byrne. Chicagoland Chamber of Commerce and World Business Chicago are also partners on this effort.

Description: The GO TO 2040 recommendation on Innovation includes two implementation actions to “collect data relative to innovative business starts and closures in the region,” and to “collect and analyze data related to innovation outcomes.” Collecting and analyzing business starts and innovation data will help CMAP fulfill GO TO 2040’s vision of CMAP playing a “vital role as a central repository for the collection of data related to innovation.” The generation of a business starts database will also provide essential information on small/starter firm business development policy. In FY2011 CMAP formed a coalition between CMAP, the Chicagoland Chamber of Commerce, and World Business Chicago to finance and develop innovation measures. CMAP also researched how to track business starts and closures as part of the freight drill down analysis. In FY2012, CMAP will develop the business starts database research in FY2011 and begin performing analyses of this data. CMAP will also work with its coalition partners to generate an “innovation index” of regional innovation statistics that can be included in the Human Capital Information Portal and/or on the MetroPulse website.

Products and Key Dates:

- Scoping memo for innovation data collection (June 2010)
- Description of business starts data to be presented to CMAP Economic Development Committee (July 2011)
- Discussion and analysis of business starts data to be included in CMAP Freight drill down (September 2011)
- Draft Innovation Data index presented to CMAP Economic Development Committee (December 2011)
- Innovation index reports generated (quarterly)



## GO TO 2040 Indicator Tracking

Project Manager: Craig Heither

Team: Bozic, Heither, Clark, Dryla-Gaca, Morck, Pedersen, Drennan new analyst

Description: Content monitoring and quality control of MetroPulse Indicators specifically identified as indicators of progress toward achieving GO TO 2040 targets. Major tasks include identifying GO TO 2040 Indicators within MetroPulse, developing protocols for updating indicators, evaluating indicator quality, and analyzing implementation progress. A central function of the MetroPulse product is to track GO TO 2040 Indicator progress toward implementation. Partners and public seeking information specifically focused on GO TO 2040 indicators will benefit.

Products and Key Dates: Develop inventory and accounting procedures by January 2012 including an assessment of new data needs and availability. Remainder of FY12 devoted to updating affected MetroPulse Indicators and producing the MetroPulse biennial report called for in GO TO 2040.

**TABLE 13**

### BUDGET DETAIL REGIONAL INFORMATION AND DATA DEVELOPMENT

Regional Information and Data Development - Budget	
<b>PERSONNEL</b>	
Salaries	680,300
Retirement	153,100
FICA	41,700
Medicare	9,900
Health	113,600
Dental	6,200
Vision	1,500
Interns	20,000
<b>Total, Personnel</b>	<b>1,026,300</b>
<b>Employee Months</b>	<b>128</b>
<b>Indirect Charge</b>	<b>359,700</b>
<b>COMMODITIES</b>	
Publications	2,000
Data Acquisition	0
Office Supplies	1,000

<b>Regional Information and Data Development - Budget</b>	
<b>Total, Commodities</b>	<b>3,000</b>
<b>OPERATING</b>	
Staff Assoc. Membership	2,000
Postage/Postal Services	900
Meeting Expenses	4,000
Conference Registrations	2,000
Training & Education Reimbursement	4,000
Travel Expenses	8,000
<b>Total, Operating</b>	<b>20,900</b>
<b>CONTRACTUAL SERVICES</b>	
Consulting Services	875,000
<b>Total, Contractual Services</b>	<b>875,000</b>
<b>Total, Expenses</b>	<b>2,284,900</b>
<b>REVENUE</b>	
UWP Operating - FY2012	1,121,600
UWP Contracts - FY 2012	180,000
Match - FY 2012	325,400
UWP Contracts - FY 2011	240,000
Match - FY 2011	60,000
UWP Contracts - FY 2010	120,000
Match - FY 2010	30,000
Argonne	7,900
IDOT	200,000
<b>Total, Revenue</b>	<b>2,284,900</b>

**TABLE 14**

**CONSULTANT SERVICES DETAIL  
REGIONAL INFORMATION AND DATA DEVELOPMENT**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE</b>
Model Development (TBD)	500,000	UWP 2010, 2011 and 2012 – Contract and IDOT (2012) / RFP to be developed. Board to approve contract.

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE</b>
Green Infrastructure Vision (TBD)	150,000	IDOT (2011) / RFP issued. Board to approve contract, 6/11
Travel Survey (TBD)	200,000	UWP 2011– Contract / RFP to be developed. Board to approve contract.
Travel and Emissions Model Update (TBD)	25,000	UWP 2012 – Contract / RFP to be developed. Board to approve contract.
<b>TOTAL</b>	<b>875,000</b>	



## **DATA SHARING AND WAREHOUSING**

**Program Oversight:** Greg Sanders

This program is based on CMAP's Implementation Strategy for Data Sharing and Warehousing that includes a five year plan developed following the successful launch of MetroPulseChicago.org. The MetroPulse website now serves as the anchor of a data sharing and warehousing program that will serve a wide variety of data needs for local and regional planners. CMAP's data sharing and warehousing program serves as a resource for transportation and land use planning in our region and underlies CMAP's role as the authoritative source for regional data and analysis. This program provides support to CMAP's ongoing data exchange and dissemination activities. An important goal of this program is to promote MetroPulse use in local and regional planning as an intuitive and easy-to-use data resource. It also reflects CMAP's longstanding commitment to data sharing as outlined in the GO TO 2040 plan. MetroPulse includes locally-specific data products for county and municipal planners, but is comprehensive and regional in its scope. CMAP staff, planners at the state, county and municipal levels, and other stakeholders will benefit from CMAP's comprehensive online data program. The products range from general-purpose resources such as the existing MetroPulse application, to more specific tools such as the Regional Transportation Archive, TIP visualization and Workforce Development portal.

### **MetroPulse Maintenance**

Project Manager: Greg Sanders

Team: Zhang, Wu, Krell, new analyst, interns, contract support

Description: Maintain existing MetroPulse product consistent with Implementation Strategy for Data Sharing and Warehousing at CMAP. MetroPulse is the new hallmark of CMAP's commitment to serve as the authoritative source for urban planning data in the region. MetroPulse's multi-year development stage culminated with the November 2010 launch of the first such site in this region. CMAP staff, partners and public users of urban datasets will benefit.

Products and Key Dates: Major tasks are to establish failover for MetroPulse servers (February); enter into long-term contracts with crucial support vendors (October); strengthen CMAP's testing and error alert capacity; track system usage more closely (December); begin sending email alerts to update users about MetroPulse progress (December); add new search capabilities in the website (March); create application for user profiles (March); add new geographic levels to the system and improve the management application that controls MetroPulse content (July).

## **Internal Data Library Management**

Project Manager: Xiaohong Zhang

Team: Clark, new analyst, ETL interns

Description: Manage and maintain CMAP data library. This project relies heavily on the availability of public and proprietary datasets. Successful acquisition of many data sources requires special coordination with procurement staff.

Products and Key Dates: Acquire and catalog new data and archive obsolete datasets (ongoing)  
Establish protocols for meta-data and attribution (January). Enforce proprietary dissemination and license agreements (ongoing). Import and process newly-released Census data (December); establish data integration between CMAP web domain and internal data libraries (December); deploy data visualization server(s) in internal CMAP network and build staff capacity for data visualization (May) Documentation of data library management practices (June).

## **Regional Transportation Data Archive**

Project Manager: Bozic

Team: Sanders, Frank, Schmidt, Wu, Zhang, contract support

Description: Design and implement a Web-based data exchange medium for archived transportation data. This is intended to consolidate the archive-related objectives of our region's ITS program with the objective to offer partner agencies a Web-based data exchange medium for archived transportation data. A demonstration application developed during FY11 includes highway volumes and speeds as well as incident data. Priorities for continued development include: Launch beta version of Regional Transportation Archive website; enlist stakeholder group(s) to identify and prioritize changes to the beta website; modify API as needed to meet stakeholders recommendations and CMAP imperatives; release version 1.0 website; assemble website documentation (technical and end-user documentation); conduct end-user training in website usage. The staff will also provide regional support for the development of a real-time traveler information system and other ITS infrastructure initiatives expected to be developed by partner agencies. Significant data storage space will be needed as the transportation archive grows with time and features.

Products and Key Dates: Launch beta version (October); Launch public version, (March); Develop scope of work and procure professional services for expanded functionality (May).

## **Human Capital Information Portal**

Project Manager: Annie Byrne

Team: Baden, A. Williams-Clark

Description: Both the innovation and workforce development chapters of *GO TO 2040* include implementation actions (to be led by CMAP) for improving data and information systems. The Human Capital Information Portal (HCIP) will be an extension of the MetroPulse website and will provide detailed data and information to support economic development, education, and workforce development program administrators, researchers, policymakers, and policy advocates. The HCIP will also provide useful information to local governments and other human capital stakeholders. The HCIP will serve as a data clearinghouse, analytic tool, and as a platform for the dissemination of analysis of the region's workforce, industrial clusters, and innovation.

Products and Key Dates: Finalize contract for design/web development (July 2011). Develop and confirm user stories to be designed for the HCIP (March 2011). Complete collection and processing of prioritized data and information for initial launch (December 2011). Collect and process additional data and information for future integration (ongoing). Final design deliverables due (September 2011). Final web development deliverable due (February 2012).

## **Municipal and other Data Portals**

Project Manager: Sanders

Team: Williams-Clark, new analyst, interns, LTA support,

Brief Description: Maintain and enhance Web and mobile data systems for dissemination and visualization of municipal, county, regional, state and federal data. This includes the effort to develop and implement municipal data portals; maintain and improve the Regional Indicators website; and implement the WEAVE visualization engine.

Products and Key Dates: Modify the MetroPulse API to support sub-regional data outputs-- limited to a single municipality or small groups of municipalities (for example, COGs) (December); meet with potential stakeholders to identify and prioritize features for the portal; procure website design for the Municipal Portal site including basic work flow/navigation ( December). WEAVE tool installed (December), Municipal data portal template (December); at least 6 municipal data portals (June).



**TABLE 15**  
**BUDGET DETAIL**  
**DATA SHARING AND WAREHOUSING**

<b>Data Sharing and Warehousing - Budget</b>	
<b>PERSONNEL</b>	
Salaries	557,900
Retirement	115,200
FICA	33,900
Medicare	8,100
Health	74,100
Dental	4,900
Vision	1,100
Interns	40,000
<b>Total, Personnel</b>	<b>835,200</b>
<b>Employee Months</b>	<b>88</b>
<b>Indirect Charge</b>	<b>284,200</b>
<b>COMMODITIES</b>	
Publications	1,500
Data Acquisition	285,000
<b>Total, Commodities</b>	<b>286,500</b>
<b>OPERATING</b>	
Staff Assoc. Membership	900
Postage/Postal Services	200
Conference Registrations	1,000
Training & Education Reimbursement	6,000
Travel Expenses	2,000
<b>Total, Operating</b>	<b>10,100</b>
<b>CONTRACTUAL SERVICES</b>	
Professional Services	
Consulting Services	758,000
<b>Total, Contractual Services</b>	<b>758,000</b>
<b>Total, Expenses</b>	<b>2,174,000</b>

<b>Data Sharing and Warehousing - Budget</b>	
<b>REVENUE</b>	
UWP Operating - FY2012	1,132,800
UWP Contracts - FY 2012	320,000
Match - FY 2012	363,200
CCT	143,000
IDOT	215,000
<b>Total, Revenue</b>	<b>2,174,000</b>

**TABLE 16**

**CONSULTANT SERVICES DETAIL  
DATA SHARING AND WAREHOUSING**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE</b>
Regional Transportation Data Archive (TBD)	250,000	UWP 2012– Contract and IDOT 2012 / RFP to be developed. Board to approve contract.
Regional Indicator Design (TBD)	200,000	UWP 2012– Contract / RFP to be developed. Board to approve contract.
Human Capital Information Portal (TBD)	60,000	IDOT 2011 / RFP to be developed. Board to approve contract
Enhance Dynamic web pages (Great Arc Technologies, Inc.)	15,000	IDOT 2011/ Contract ongoing
IPhone Application (Azavea)	10,000	IDOT 2011/Contract ongoing
Municipal Portal Pilot (TBD)	60,000	IDOT 2012 / RFP to be developed. Board to approve contract
Information Builders technical assistance (IB)	20,000	IDOT 2011 / Sole source.
MetroPulse Development (TBD)	143,000	CCT / RFP to be developed. Board to approve contract.
<b>TOTAL</b>	<b>758,000</b>	

## **TRANSPORTATION IMPROVEMENT PROGRAM (TIP)**

Program Oversight: Patricia Berry

This program develops the region's TIP. The CMAP Board and MPO Policy Committee track the use of local, state, and federal transportation funds through the Transportation Improvement Program (TIP). The purpose of the TIP is to establish a short-term transportation program to reflect the long-range transportation goals identified in GO TO 2040. Federal, state, and local policies and regulations are analyzed to assure CMAP's TIP addresses regional priorities identified through GO TO 2040 and satisfies regulations. The region is required by federal law to develop and maintain a fiscally constrained TIP which, together with the fiscally constrained major capital projects in GO TO 2040, is conformed to the State's Implementation Plan. That plan demonstrates how the region will attain the national ambient air quality standards. In addition to the regional priorities, fiscal issues, and air quality considerations, public involvement and other regulatory elements must be addressed in the TIP.

### **TIP Development and Administration**

Project Manager: Holly Ostidick

Team: Berry, Dixon, Dobbs, Ferguson, Johnson, Kos, Patronskey, Schaad, Wu

Description: Work with local, county, state and national partners to assure a regional perspective is considered for transportation maintenance, modernization and expansion investments. Use Active Program Management to ensure that transportation projects proceed in a timely manner, and all available funding is used efficiently. Ensure all federal requirements are met including fiscal constraint, public involvement, data accuracy, documentation and reporting. Provide management and guidance for the Council of Mayors (COM) and PL program. Ensure communication between CMAP and municipal officials. Maintain current resources, including summary, analysis and visualization tools, for use by local elected officials, staff and the public. Maintain ongoing communication with state and federal agencies to ensure that the region is in compliance with state and federal requirements, is aware of changes to requirements, and that these agencies understand the programming needs of the region. Address recommendations in federal quadrennial review.

Products and Key Dates: TIP with updates and amendments (ongoing – committee approvals required approximately nine times per year); TIP documentation including map, fiscal marks, general public brochures and web pages (ongoing); active program management reports and recommendations (ongoing); obligation report (February 2012); expenditure reports (ongoing); fiscal marks (updated as needed); reports for use by local elected officials on CMAP activities (ongoing). Consultation with state and federal agencies (ongoing – meetings approximately six times per year; in conjunction with conformity consultation)

## **TIP Database Management**

Project Manager: Ross Patronskey

Team: Berry, Dixon, Dobbs, Kos, Ostidick, Pietrowiak

Description: Work to maintain and enhance the usability and usefulness of the TIP to implementers and the public. Implementers continually adjust their programs based on available funding, shifting priorities in response to economic development, environmental issues, housing and land use decisions. The database must be accessible to implementing agencies and interested CMAP partners.

The TIP must operate in a trouble-free manner since it is updated on a continual basis. It also must maintain a high degree of accuracy for the information it contains. There is a need to include appropriate data, which changes over time, to analyze projects in a manner useful to project programmers and staff. The TIP database needs to be capable of producing standard reports along with being able to generate custom reports, both tabular and graphic along with more in-depth analyses. As additional needs are identified the database will be modified.

Products: TIP database enhancement to accommodate direct geospatial project entry (“Phase III”) (June 2012); TIP database maintenance and training materials to improve data validation and ease of implementer use (ongoing); Program Management reports (ongoing); Geocoding of TIP projects and associated outputs (shapefile and maps); Export of TIP data for use in public maps, analytic maps, dashboard presentations and other TIP analyses; visualization products.

## **TIP Analysis**

Project Manager: Doug Ferguson

Team: Berry, Bozic, Dobbs, Kos, Maloney, Murtha, Patronskey

Description: Work with implementers, CMAP policy analysts and interested external parties to ensure appropriate data is available to analyze projects and the overall TIP to assess whether and how they help move the region toward the vision laid out in GO TO 2040. Analyze the transportation program to ensure its land use connection, preservation and improvement of environmental resources, and the sustainability of economic prosperity. TIP changes, acted on at each meeting of the CMAP Transportation Committee, and semi-annual TIP conformity amendments should be analyzed to assist the approving committees and the public in ascertaining their impact on the region’s overall mobility.

Products: Analytic tools (October 2011, ongoing improvements after that); Analysis of overall TIP (ongoing); Analysis of TIP revisions (approximately nine times per year)

## **CMAQ Program Development and Administration**

Project Manager: Doug Ferguson

Team: Berry, Dobbs, Ostlick, Patronsky, Pietrowiak, Schaad

Description: The CMAQ Program involves the solicitation and selection of surface transportation projects for the Congestion Mitigation and Air Quality Improvement (CMAQ) Program for northeastern Illinois. Once CMAQ project proposals have been submitted they are evaluated for potential air quality and congestion reduction benefits. Four focus groups provide input relating projects and systems of project proposals to the recommendations of GO TO 2040 and local plans. Using the proposals' cost/benefit rankings, focus group input and other factors such as project readiness and sponsor capacity, a proposed program is vetted through the committee structure for approval by the MPO Policy Committee and CMAP Board.

Once programmed, CMAP staff manages the program to ensure timely and efficient expenditure of funds. To facilitate this, a specialized database has been developed and maintained over the years.

In response to federal guidance, beginning in 2008, a post-implementation evaluation of emission benefits was initiated. This effort involved data collection for four types of CMAQ projects – traffic flow improvement, signal interconnect, bicycle facility and pedestrian facility. A second round of data collection is obtaining “after” data for traffic flow improvement and signal interconnect projects.

Products and Key Dates: Update to CMAQ programming process, including revised forms and instructions (as needed, October – December 2011); quarterly status reports, supplementary evaluations for cost/scope change requests; FY 2016 program development (beginning January 2012) including pre-application and post award workshops; a FY 2016 Proposal Book (March 2012); and FY 2016 Proposal Rankings (June 2011); There will also be a semi-annual review of project status (May 2012).

## **Conformity of Plans and Program**

Project Manager: Ross Patronsky

Team: Berry, Bozic, Heither, Rodriguez, Wies

Description: Northeastern Illinois has historically not attained national ambient air quality standards for certain pollutants. It is anticipated that it will be classified as a non-attainment area for the 8-hour ozone standard to be adopted in June, 2011. In addition, while the region meets prior ozone standards and the fine particulate matter (PM<sub>2.5</sub>) standards, federal regulations require steps to ensure that the standards continue to be met.

To meet the air quality requirements, the region must implement a transportation program which will help reduce levels of these pollutants or maintain the existing low levels. As part of the transportation planning and programming process, the impact of proposed transportation activities on the region's air quality is evaluated. This evaluation,

called a conformity analysis, is submitted to the Illinois Environmental Protection Agency and U.S. Environmental Protection Agency for their review before a long-range regional transportation plan or Transportation Improvement Program (TIP) is approved or amended. The conformity analysis must demonstrate that the emissions resulting from the plan and TIP meet the requirements of (“conform with”) the regulations governing air quality.

Products: Provide support to Illinois EPA as they develop and update various State Implementation Plans (as needed); semi-annual Conformity Determinations and documentation (October 2011 and March 2012); findings and interagency agreements from consultation meetings (as needed – typically four to six times per year); implementation of MOVES model (June 2012).

**TABLE 17**

**BUDGET DETAIL  
TRANSPORTATION IMPROVEMENT PROGRAM (TIP)**

<b>TIP - Budget</b>	
<b>PERSONNEL</b>	
Salaries	787,000
Retirement	205,200
FICA	48,300
Medicare	11,400
Health	88,900
Dental	6,400
Vision	1,400
<b>Total, Personnel</b>	<b>1,148,600</b>
<b>Employee Months</b>	121.00
<b>Indirect Charge</b>	<b>410,500</b>
<b>COMMODITIES</b>	
Publications	1,000
Office Supplies	582
<b>Total, Commodities</b>	<b>1,582</b>
<b>OPERATING</b>	
Staff Assoc. Membership	1,500
Postage/Postal Services	500
Meeting Expenses	500

<b>TIP - Budget</b>	
Conference Registrations	2,000
Training & Education Reimbursement	900
Travel Expenses	11,000
<b>Total, Operating</b>	<b>16,400</b>
<b>CONTRACTUAL SERVICES</b>	
Software Maintenance (TIP)	20,000
<b>Total, Contractual Services</b>	<b>20,000</b>
<b>Total, Expenses</b>	<b>1,597,082</b>
<b>REVENUE</b>	
UWP Operating - FY2012	1,277,666
Match - FY 2012	319,416
<b>Total, Revenue</b>	<b>1,597,082</b>



**TABLE 18**

**CONSULTANT SERVICES DETAIL  
TRANSPORTATION IMPROVEMENT PROGRAM (TIP)**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Software Maintenance (Topiary)	20,000	UWP 2012 – Operating / Contract ongoing
<b>Total</b>	<b>20,000</b>	





## **CONGESTION MANAGEMENT PROCESS**

Program Oversight: Don Kopec

This program addresses both the best practices and regulatory requirements for effective management of the region's transportation system. Core CMAP responsibilities for the Congestion Management Process include monitoring and evaluating the performance of the multi-modal transportation system; identifying the causes of congestion; identifying and evaluating congestion management strategies, and providing information supporting action to relieve congestion. *MetroPulse* and other regional resources will be relied upon to provide information to carry out the elements of the process. A key element of the Congestion Management Process is to develop and provide data in support of regional programming decisions, and transparency for those seeking to understand the programming process. The intent is to provide information in support of our partner agencies and for public information. The management and operational strategies developed will utilize the Regional Transportation Operations Coalition (RTOC), an institutional forum to address regional multi-jurisdictional transportation operations. Specific strategies for managing congestion will focus on intelligent transportation systems, congestion pricing, freight planning, and bicycle and pedestrian planning issues, some of which will be addressed cooperatively through RTOC.

### **Performance Monitoring**

Project Manager: Todd Schmidt

Team: Frank, Nicholas, Rice, Murtha

Description: This project supports regional transportation system data collection and analysis in support of the Congestion Management Process. The project also provides data input for regional transportation indicators included in *MetroPulse* along with additional summary indicators and Regional Transportation Archive Data used in transportation systems operations. In addition, data in support of programming decisions by regional partners will also be compiled and maintained. Congestion management performance monitoring also includes evaluations utilizing the accumulated information to address particular performance problems in depth.

Products and Key Dates:

*Regional Indicators* data will be updated. Data will be collected, compiled and analyzed to prepare updated regional indicators for *MetroPulse*. There are over two dozen transportation indicators, about half of which are appropriate for annual updates. The transportation indicators to be updated this year are: 1) planning time index; 2) travel time index; 3) congested hours; 4) congestion scans of 2011 conditions; 5) transit passenger miles traveled per vehicle revenue hour – by agency and mode; 6) unlinked passenger trips per capita – by agency; 7) on-time data – by agency including Amtrak; 8) intercity destinations – by mode and distance; 9) ADA transition plan compliance; 10) average number of vehicles by household size; 11) communities with Safe Routes to Schools plans and/or



programs; 12) motor vehicle safety; 13) percent of work trips by mode; and, 14) percent of regional trails plan completed (throughout the year)

## **Data Evaluation for Programming Decisions**

Project Manager: Tom Murtha

Team: Frank, Nicholas, Rice, Schmidt, Patronsky, Ferguson

Description: GO TO 2040 calls for improved decision making models for evaluating potential transportation investments. A key feature of the Congestion Management Process is a data collection and monitoring system. In the past few years there have been significant advancements in the acquisition and manipulation of data. The Regional Data Archive and the participation of the region's transportation operations decision makers in the Regional Transportation Operations Coalition highlight this change. This change calls for a re-examination of what data is actually available and how it may be utilized in support of programming decisions. This analysis will be conducted in conjunction with the input of both the TIP and Technical Analysis personnel.

Products and Key Dates: An interim report detailing the scope of the project (August 2011). A preliminary list of data items covering desired information (October 2011). A report detailing what information is ideally desired to support programming decisions; what information is currently available; and, how this information should be collected and made available to transportation project programmers (June 2012).

## **Congestion Management Strategy**

Project Manager: Tom Murtha

Team: Frank, Nicholas, Rodriguez, Schmidt

Description: The project provides the primary management of the Congestion Management Process. The Congestion Management Process will identify and evaluate appropriate implementation strategies to address regional congestion.

The administration of the Regional Transportation Operations Coalition (RTOC), an institutional forum and structure where regional operations personnel confer across jurisdictional boundaries to improve transportation system performance is included as part of the process.

Products and Key Dates: RTOC Meetings or teleconferences, at least quarterly (September, December, March, June);

CMAP will continue to work on operational studies of potential congestion pricing studies, leading toward congestion management pilot projects. During FY11, support was provided for the Tollway's investigation of implementing congestion pricing on I-90. Assuming the Tollway continues in this effort, additional support will be provided. CMAP will also work to provide data and information to local, regional, and state agencies and

elected officials to help them in the evaluation of such regional congestion pricing projects. In the event that the Tollway defers work toward the implementation of congestion pricing on I-90, a comprehensive, system-wide evaluation of the potential for congestion pricing will be conducted (June 2012). The report will address where congestion pricing could effectively implemented; the type of congestion pricing most appropriate; technical and administrative and corollary issues to be addressed; and, others as identified.

The Regional Intelligent Transportation System (ITS) Architecture will be maintained and updated as needed (June 2012). Work will begin on an update to the Regional Intelligent Transportation System (ITS) Deployment Plan, with an expected completion data in FY2013.

## **Freight Planning**

Project Manager: Tom Murtha (interim)

Team: Senior Freight Planner, Murtha, Rice, Nicholas, Rodriguez

Description: In cooperation with our partners, this project identifies, evaluates, and implements, as appropriate, strategies to address regional freight needs. The project also addresses the impact of freight on regional communities. Issues addressed include both rail freight issues, including the CREATE program, and trucking operations issues. These activities are conducted with the support of a stakeholder group, the CMAP Freight Committee.

Products and Key Dates: A report identifying what CMAP's role should be regarding planning for Freight. Support of CREATE through our involvement with the project programming process, and working with implementing agencies to identify funding sources. A report on implementation of CREATE will be updated on an on-going basis. CMAP will also monitor implementation of the program to determine appropriate development and implementation of the next phase of rail improvements identified in the 2010 "Freight System Planning Recommendations Project," as appropriate.

CMAP will continue its work to catalog and update the region's truck routes and intermodal connectors. CMAP will also continue to address delivery times and parking restrictions, all to reduce peak-period truck movements. CMAP staff will provide quarterly updates of these activities to the Freight Committee.

## **Bicycle and Pedestrian Transportation Planning**

Project Manager: John O'Neal

Team: Murtha

Description: In cooperation with our partners, this project identifies, evaluates, and implements strategies to facilitate walking and bicycling in the region, including access to transit. The project also addresses public right-of-way accessibility for people with disabilities and the safety of walkers and cyclists. The project concentrates on providing technical information

to partner agencies and local communities through such activities as our *Soles and Spokes Workshops* and our unique *Soles and Spokes Blog*.

Products and Key Dates: Address an expected forty requests by partner agencies for bicycle and pedestrian planning information (thirty reports per year plus ten additional low-level responses); update bikeway information system (June, 2012); provide technical planning information in support of walking and cycling through the *Soles and Spokes Blog* (2-3 blog entries per week); Two to three *Soles and Spokes Workshops* focusing on issues such as opportunities for transit oriented development, accessibility for people with disabilities and bikeway design (by June, 2012); annual update of bike-ped crash data (March, 2012); community briefing papers and web-based resources providing information on technical aspects of bicycle and pedestrian planning. Focus for 2012 for such information will be on the walkability and transit aspects of Transit Oriented Development (by January, 2012); data and analysis in support of improved bike-ped project programming to support congestion mitigation, taking into account Transit Oriented Development (June, 2012).

**TABLE 19**

**BUDGET DETAIL  
CONGESTION MANAGEMENT PROCESS**

<b>Congestion Management Process - Budget</b>	
<b>PERSONNEL</b>	
Salaries	599,600
Retirement	130,500
FICA	36,500
Medicare	8,700
Health	99,200
Dental	6,800
Vision	1,400
Interns	20,000
<b>Total, Personnel</b>	<b>902,700</b>
<b>Employee Months</b>	102.00
<b>Indirect Charge</b>	<b>315,500</b>
<b>COMMODITIES</b>	
Publications	1,000
Office Supplies	1,000
<b>Total, Commodities</b>	<b>2,000</b>

<b>Congestion Management Process - Budget</b>	
<b>OPERATING</b>	
Staff Assoc. Membership	2,000
Postage/Postal Services	200
Meeting Expenses	500
Conference Registrations	1,500
Training & Education Reimbursement	500
Travel Expenses	16,200
<b>Total, Operating</b>	<b>20,900</b>
<b>CONTRACTUAL SERVICES</b>	
Software Maintenance	10,000
<b>Total, Contractual Services</b>	<b>10,000</b>
<b>Total, Expenses</b>	<b>1,251,100</b>
<b>REVENUE</b>	
UWP Operating - FY2012	1,000,880
Match - FY 2012	250,220
<b>Total, Revenue</b>	<b>1,251,100</b>



**TABLE 20**

**CONSULTANT SERVICES DETAIL  
CONGESTION MANAGEMENT PROCESS**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Software for Traffic Counter	\$10,000	UWP 2012 – Operating / Contract ongoing
<b>TOTAL</b>	<b>\$10,000</b>	



## **WATER RESOURCE PLANNING**

Program Oversight: Tim Loftus

The Water Resource Planning program features two areas of emphasis: 1) the agency's water quality planning activities, directed by CMAP's role as the delegated authority for Areawide Water Quality Planning, and 2) regional water supply planning activities that support implementation of *Water 2050 / GO TO 2040* recommendations.

Water quality planning activities are informed by the Clean Water Act (CWA) and derived guidance documents and typically involve watershed plan development and some degree of post-plan support. Activities also include formal review of Facility Planning Area (FPA) amendment applications that lead to a CMAP staff recommendation made to the Illinois Environmental Protection Agency (IEPA). Facility Planning Area application review and recommendations are shared with the CMAP Wastewater Committee who also makes a recommendation to IEPA. The Volunteer Lake Monitoring Program is another water quality oriented program that has been carried out by CMAP and its predecessor agency for many years. Activities can also include administrative and technical support for CWA Section 319 funded implementation grants awarded to various "stakeholders" throughout the region.

With the publication of *Water 2050* in March 2010, CMAP continues its role as the lead agency and regional voice for water supply planning issues and thus, agency activity follows through on the state and regional investment in planning for a growing population faced with constrained water supplies. Both *Water 2050* and the Areawide Water Quality Management Plan serve as functional elements of the regional comprehensive plan, *GO TO 2040*.

### **AREA 1: WATER QUALITY MANAGEMENT PLANNING**

#### **Facilities Planning Area (FPA) Review Process**

Project Manager: Dawn Thompson

Team: Elberts, Loftus

Description: A facility planning area is defined as "a centralized sewer service area to be considered for possible wastewater treatment facilities within a 20-year planning period." CMAP is the state designated water-quality planning agency for the seven-county region, with responsibility for reviewing wastewater permits and facility plan amendment proposals to ensure consistency with the federally approved Illinois Water Quality Management Plan (of which the Areawide Water Quality Plan is a component). CMAP's Wastewater Committee considers the amendment application review conducted by staff and staff recommendation, and makes a recommendation to the Illinois EPA. Illinois EPA maintains final decision-making authority for amendments to the plan. Staff will also provide information, via an outreach and education effort, related to water quality plan implementation.

Products and Key Dates: Reviews as needed; outreach/education presentations to regional stakeholders (e.g. COGs, counties, sanitary districts).

## **Watershed Planning**

Project Manager: Tim Loftus

Team: Ahmed, Elam, Elberts, Hudson, Talbot, Thompson

Description A: Three watershed plans are under development within the Fox River Basin:

Sleepy Hollow / Silver Creek Watershed in the Upper Fox River Basin and Blackberry Creek and Ferson-Otter Creek Watershed in the Lower Fox River Basin. In addition to addressing the components of a watershed-based plan as outlined by USEPA, new plans will consider lakes management and newer regional planning criteria that includes groundwater protection, projecting a 'vision' for watershed land use, setting target pollution-load reductions for the watershed, and assessing municipal/county ordinances for water quality protection using a 'yardstick' such as the Water Quality Score Card developed by the USEPA or a similar guidance document. The three planning processes include a local lead (i.e. a local stakeholder with watershed-wide legitimacy) to co-facilitate planning, provide a local voice for stakeholder meeting organization, and conduct outreach using a variety of media. Planning also involves coordination with the Fox River Study Group, Fox River Ecosystem Partnership (FREP), and Illinois State Water Survey.

Products and Key Dates: Near-monthly stakeholder meetings, quarterly progress reports due to Illinois EPA, pollutant-load model output, watershed specific outreach products, upgraded FREP website for Fox River subwatersheds, watershed resource inventories and final draft plans produced by December 31, 2011.

Description B: Additional watershed planning activity is anticipated to commence January 1, 2012, contingent on new CWA funding issued through Illinois EPA and associated with federal fiscal year 2012. Funding is estimated to be sufficient for two or three new plans with their location to be determined.

Products and Key Dates: To be determined in late 2011.

## **Volunteer Lake Monitoring Program (VLMP)**

Project Manager: Holly Hudson

Description: The Illinois Lake Management Program Act (P.A. 86-939) gave rise to the Volunteer Lake Monitoring Program (VLMP). Guidance was developed in 1992 pursuant to P.A. 86-939 and is found in the Illinois Lake Management Program Act, Administrative Framework Plan; a report made to the Illinois General Assembly by the Illinois Environmental Protection Agency in cooperation with other state agencies. CMAP staff coordinates Illinois EPA's VLMP for the seven county region (excluding Lake County since



2010), including over 50 volunteers at approximately 40 lakes. Staff provides additional lake management planning technical assistance to support the core program activities.

Products and Key Dates: Quarterly progress reports due to Illinois EPA, data review and management (ongoing), technical assistance (ongoing), audits of Tier 3 volunteers (July-August 2011), lake maps and monitoring site coordinates for new lakes in the program (November 2011), 2011 monitoring data QA/QC and editing in Illinois EPA's lakes database (December 2011), assistance with annual report preparation (as requested by Illinois EPA), distribution of Secchi monitoring forms to continuing volunteers (April 2012), volunteer training (May 2012) and follow up visits (as needed).

## **Maple Lake Phase 2 Rehabilitation and Protection Program**

Project Manager: Holly Hudson

Team: Elberts

Description: Technical advisor to the Forest Preserve District of Cook County for an Illinois Clean Lakes Program Phase 2 rehabilitation and protection program at Maple Lake.

Products and Key Dates: Quarterly progress reports due to FPD of Cook County and Illinois EPA, technical assistance regarding, a) aquatic plant community rehabilitation, b) nuisance aquatic plant management plan implementation (ongoing as needed), c) water quality monitoring (monthly through October 2011). Data management is ongoing. The project ends with a final report due to the FPD of Cook County by December 31, 2011.

## **AREA 2: REGIONAL WATER SUPPLY PLANNING**

### ***Water 2050: Implementation***

Project Manager: Tim Loftus

Team: Ahmed, Capriccioso, Elberts, Hudson, Schneemann, Talbot, Thompson

Description: Having established a leadership role during the past five years in regional water supply planning, CMAP has a vested interest in ensuring that regional activity remains coordinated, collaborative, and productive. *Water 2050* features over 240 recommendations with 50 recommendations aimed at CMAP for implementation. Project activity will seize CMAP's opportunities to implement plan recommendations while supporting several counties and public water suppliers in their efforts to implement the plan. CMAP will also serve as the regional conservation coordinator to support county government and public water suppliers as they move to implement recommendations designed for them. A CMAP staff person will be identified to participate in and support the Northwest Water Planning Alliance. The alliance is a new subregional group constituted by Intergovernmental Agreement, an outcome of Water 2050 and has requested CMAP's participation. CMAP will also support IDNR's Lake



Michigan Management Section in their efforts to meet the conservation program provisions of the Great Lakes Compact. Additionally, the diverse needs associated with maintaining water demand/supply balance require an active forum for discussion and iterative planning. CMAP will facilitate these discussions with an advisory council, track plan implementation progress and explore a recognition program in collaboration with others, and prepare for an updated plan in 2015.

Products and Key Dates:

- As the regional conservation and efficiency coordinator, provide technical assistance, outreach, education, training, and program integration along with Illinois-Indiana Sea Grant and University of Illinois – Extension. Staff will engage the region’s 300 plus municipal/public water suppliers through a variety of means:
  - Website development as primary source of information, with a focus on CMAP offerings related to education, outreach, training, technical assistance, and program integration with Illinois-Indiana Sea Grant and the University of Illinois – Extension.
  - Host a water-rate setting workshop and other workshops related to the Great Lakes Restoration Initiative grant being managed by staff.
  - Presentations / discussions with elected officials and others.
  - Develop a *Water 2050* plan implementation tracking system.
  - Initiate a *Water 2050* pledge/recognition program for municipalities (e.g. “Water Counts”).
  - Product deliverables (e.g. a library of water-bill inserts, white paper(s)).
  - WaterSense program promotion/support.
- Convene a *Water 2050* Advisory Council and through bimonthly meetings, provide a structure for coordination and collaboration on regional plan implementation efforts, opportunities, and needs.

**TABLE 21**

**BUDGET DETAIL  
WATER RESOURCE PLANNING**

<b>Water Resource Planning - Budget</b>							
Project	Water Planning	Maple Lake	Fox River IV	VLMP	Water Quality	Other Projects	Total
<b>Personnel</b>							
Salaries	155,500	10,000	3,300	28,700	59,500	153,300	410,300
Retirement	28,100	1,800	600	5,200	10,700	27,600	74,000
FICA	9,700	600	200	1,800	3,700	9,600	25,600
Medicare	2,300	100	0	400	900	2,200	5,900
Health	17,700	1,500	500	4,200	8,300	18,700	50,900
Dental	1,000	100	0	300	400	1,000	2,800
Vision	300	0	0	100	100	300	800
<b>Total, Personnel</b>	<b>214,600</b>	<b>14,100</b>	<b>4,600</b>	<b>40,700</b>	<b>83,600</b>	<b>212,700</b>	<b>570,300</b>
<b>Employee Months</b>	29.55	1.5	0.6	4.3	12.3	27.0	75.20
<b>Indirect Charge</b>	<b>76,700</b>	<b>5,000</b>	<b>1,600</b>	<b>14,500</b>	<b>29,900</b>	<b>76,000</b>	<b>203,700</b>
<b>COMMODITIES</b>							
Publications				0	300		300
Office Supplies	300		100	100	300		800
<b>Total, Commodities</b>	<b>300</b>	<b>0</b>	<b>100</b>	<b>100</b>	<b>600</b>	<b>0</b>	<b>1,100</b>
<b>OPERATING</b>							
Staff Assoc. Membership	500	0		0	500		1,000
Postage/Postal Services	200	200	100	100	0	0	600
Legal/Bid Notices					2,000		2,000
Miscellaneous		400		1,500			1,900
Meeting Expenses	300			0	0	0	300
Printing Services			100				100
Conference Registrations	500	0		0	1,700	1,200	3,400
Training & Education Reimbursement	0			0	1,200	500	1,700
Travel Expenses	4000	500	100	1,300	300	2,400	8,600
<b>Total, Operating</b>	<b>5,500</b>	<b>1,100</b>	<b>300</b>	<b>2,900</b>	<b>5,700</b>	<b>4,100</b>	<b>19,600</b>
<b>CONTRACTUAL</b>							

Water Resource Planning - Budget							
Project	Water Planning	Maple Lake	Fox River IV	VLMP	Water Quality	Other Projects	Total
<b>SERVICES</b>							
Consulting Services							
UI, Urbana-Champagne	50,000						50,000
Engineering support		0	1,000		2,700		3,700
<b>Total, Contractual Services</b>	<b>50,000</b>	<b>0</b>	<b>1,000</b>	<b>0</b>	<b>2,700</b>	<b>0</b>	<b>53,700</b>
<b>PASS THROUGH GRANTS</b>							
FREP						3,000	3,000
Conservation Foundation						54,000	54,000
Environmental Defenders						55,200	55,200
<b>Total, Pass Through</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>112,200</b>	<b>112,200</b>
<b>TOTAL GRANT</b>	<b>347,100</b>	<b>20,200</b>	<b>7,600</b>	<b>58,200</b>	<b>122,500</b>	<b>405,000</b>	<b>960,600</b>

<b>REVENUE</b>							
Cook Co. Maple Lake		20,200					20,200
Fox River IV			7,600				7,600
IEPA Projects				58,200	122,500	292,800	473,500
IEPA Pass Through						112,200	112,200
IDOT	347,100	-					347,100
<b>Total, Revenue</b>	<b>347,100</b>	<b>20,200</b>	<b>7,600</b>	<b>58,200</b>	<b>122,500</b>	<b>405,000</b>	<b>960,600</b>



**TABLE 22**

**CONSULTANT SERVICES DETAIL  
WATER RESOURCE PLANNING**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Economist (UI Urbana-Champagne)	50,000	IDOT 2011 / Contract ongoing
Engineering Support (Various)	3,700	IEPA / Contract ongoing
<b>TOTAL</b>	<b>53,700</b>	



## **CHICAGO REGION INITIATIVE FOR BETTER BUILDINGS**

Program Oversight: Daniel Olson

On April 21, 2010, the U.S. Department of Energy (DOE) announced that CMAP would be awarded a Retrofit Ramp-Up stimulus initiative grant for \$25 million to initiate a three-year energy retrofit program. This program was a competitive solicitation process that is part of the American Recovery and Reinvestment Act (ARRA) through the Energy Efficiency and Community Block Grant (EECBG) program administered by DOE. This project is a regional collaboration led by the Chicago Metropolitan Agency for Planning (CMAP) -- in partnership with the City of Chicago and the City of Rockford, and support from suburban and regional stakeholders. The Chicago Region Initiative for Better Buildings (CRIBB), formerly known as the Chicago Region Retrofit Ramp-Up (CR3), is working to transform the market to carry out energy-efficient retrofits across the residential, commercial, and industrial building sectors in northeastern Illinois. The project is significant in its potential to reduce the region's large energy footprint and serves as a model for inter-jurisdictional collaboration.

### **Retrofit Steering Committee Support**

Team: Olson, Plagman

Description: Provides staff support to CRIBB Retrofit Steering Committee, which includes CMAP and other stakeholders including the City of Chicago, utility companies and representatives from the private and non-profit sectors working within the energy efficiency sector.

Products and Key Dates: Update and solicit policy guidance on key CRIBB decisions; participate in ongoing monthly meetings.

### **Program Development and Implementation**

Team: Olson, Plagman, Byrne, Dowdle, McGrath

Description: The majority of effort during the first year (FY11) of CRIBB involved strategic planning and competitive procurement activities (through RFP development, issuance, and bid selection) administered by CMAP. The CRIBB Retrofit Steering Committee provided strategic guidance in this process and helped set goals and objectives, define methods, create objective deliverables, and set milestones within the context of each specific procurement process. In October 2010, CMAP contracted with CNT Energy to serve as the implementation agency and continue program development, develop a comprehensive implementation plan, and facilitate oversight and reporting requirements of present and future sub-recipients of CRIBB grant funds.

In FY12, CRIBB is transitioning quickly from program development to full-scale implementation. The primary CRIBB initiatives include: increasing access to information, capital, and workforce. More information about the program as well as their associated

program objectives can be found on our website: <http://www.cmap.illinois.gov/energy>.  
Products and Key Dates: Customer segmentation/market research and brand adoption (in place by 6/2011), quarterly retrofit and spending targets associated with financing programs (ongoing, through FY12), functional workforce intermediary (ongoing, launch by 7/2011)

## **Program Management**

Team: Olson, Plagman, Byrne, Dowdle, McGrath

Description: CMAP serves as the lead agency managing the CRIBB grant. CMAP continues to have ultimate responsibility for tasks including, but not limited to: grant execution, reporting and compliance to DOE, draw downs, payouts & finances, program development and strategic planning, competitive procurement processes, development of project selection criteria for high impact marketing efforts, participation in the Retrofit Steering Committee and CNT Energy, and compliance with all federal regulations in accordance with the ARRA EECBG program. With the hiring of CNT Energy as the implementation agency, many of the above tasks will be the agency's responsibility and/or automated through computer-based procedures over the coming year, with the CMAP Project Manager having final responsibility for review and submission to DOE.

The implementation plan developed by CNT Energy in FY11 will continue to be followed and updated throughout FY12. CNT Energy will also be responsible for daily management of CRIBB program implementation. They will continue to report directly to CMAP and under the advisement of the Steering Committee, be responsible for tasks including but not limited to: finalizing program development and strategic planning, continuing project management and oversight of all grant sub-recipients, project reporting, compliance and monitoring of sub-recipients, and compliance with all federal regulations in accordance with the ARRA EECBG program.

Products and Key Dates: CRIBB Program Hard Launch; including Information System and Brand release, multiple finance programs in place and open for business (6/2011); ARRA and DOE monthly (retrofit count) and quarterly (detailed financial and job reports) reporting due (7/2011, 10/2011, 1/2012, 4/2012); Sub-recipient site visits (twice yearly)

## **Program Evaluation**

Team: Olson, EE Project Coordinator, Dowdle

Description: CRIBB will regularly evaluate program progress in coordination with CNT Energy and the CRIBB Retrofit Steering Committee. Evaluation will examine project impact in the region on a regular basis. The objective of the CRIBB evaluation plan will be to document:

- Number of customers assisted by the information center.

- Number of audits conducted to measure pre and post-retrofit energy consumption, including by sector.
- Total retrofits in process and completed, and financing tools utilized, in total and by sector.
- Total number of workers trained and number of workers employed.
- Total amount of contractors engaged in the Workforce Intermediary

During FY12, monthly evaluation reports containing these progress numbers will be prepared by CMAP as obtained from sub-grantees and shared with the Retrofit Steering Committee. All reports will be aligned and in compliance with ARRA reporting requirements.

Products and Key Dates: Reporting to DOE (monthly and quarterly; 2012), progress reports from CNT Energy to CMAP and CRIBB Retrofit Steering Committee (quarterly).

**TABLE 23**

**BUDGET DETAIL  
CHICAGO REGIONAL INITIATIVE FOR BETTER BUILDINGS**

<b>Chicago Regional Initiative for Better Buildings - Budget</b>	
<b>PERSONNEL</b>	
Salaries	143,500
Retirement	25,900
FICA	9,000
Medicare	2,100
Health	19,300
Dental	1,200
Vision	300
<b>Total, Personnel</b>	<b>201,300</b>
<b>Employee Months</b>	<b>26.00</b>
<b>Indirect Charge</b>	<b>71,900</b>
<b>COMMODITIES</b>	
Publications	500
Office Supplies	1,000
<b>Total, Commodities</b>	<b>1,500</b>
<b>OPERATING</b>	



<b>Chicago Regional Initiative for Better Buildings - Budget</b>	
Postage/Postal Services	200
Printing Services	200
Conference Registrations	1,000
Training & Education Reimbursement	1,000
Travel Expenses	2,000
<b>Total, Operating</b>	<b>4,400</b>
<b>CONTRACTUAL SERVICES</b>	
Consulting Services	
Implementation	400,000
Information Systems	500,000
Financial Tools	500,000
Workforce	100,000
<b>Total, Contractual Services</b>	<b>1,500,000</b>
<b>Total, Expenses</b>	<b>1,779,100</b>
<b>REVENUE</b>	
DOE	<b>1,779,100</b>



**TABLE 24**

**CONSULTANT SERVICES DETAIL  
CHICAGO REGIONAL INITIATIVE FOR BETTER BUILDINGS**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Implementation Agency (CNT Energy)	400,000	DOE / Contract ongoing
Information Systems (Efficiency 2.0)	500,000	DOE / Contract ongoing
Access to Financial Tools (MPC, Village of Oak Park, City of Chicago)	500,000	DOE / Contracts ongoing
Access to Workforce (Centers for New Horizons)	100,000	DOE / Contracts ongoing
<b>TOTAL</b>	<b>1,500,000</b>	



## **INFORMATION TECHNOLOGY MANAGEMENT**

Program Oversight: Matt Rogus

This program provides for the design, acquisition, deployment and management of computing and telecommunications resources at CMAP. This program also facilitates the electronic exchange of raw data within and between CMAP and other agencies and organizations.

### **Internal Hardware and Software Management**

Project Manager: Matt Rogus

Team: DuBernat, Stromberg, Tiedemann, contract support

Description: CMAP's daily operation depends on a robust and functional computer network for data analysis, work program documentation and employee communications. This project consists of daily management and monitoring of internal computer network performance. It includes the acquisition, licensing, installation and maintenance of all software applications, as well as server hardware systems and other related equipment. It also provides limited user-support to CMAP employees.

Resources: Server and workstation hardware, data storage, desktop software applications.

Products: Agency data products, documentation, and employee communications.

### **Web Infrastructure Management**

Project Manager: Lance Tiedemann

Team: Garritano, Holub, Reisinger, Sanders, Stromberg, Rogus, contracted support

Description: CMAP currently relies heavily on Web-based communication to carry its planning and policy messages. Internally, document management has reached critical mass requiring a structured content management system. Web-based data services are still in the development stages, but will become increasingly central to agency deployment of technical analysis content. This project consists of daily management and monitoring of internet and Web services at CMAP. It includes technical administration of CMAP's production Web services including the main Web site and the agency SharePoint intranet.

Resources: Web servers and software applications

Products: CMAP Website, SharePoint Intranet, Web data servers

### **Office Systems Management**

Project Manager: Penny Dubernat

Team: Brown, Kelley, Rivera

Description: Staff productivity depends on robust systems for managing office operations. This project includes technical support of office support systems including telephone, mobile communication, fax, copiers, web conferencing, audio-visual, etc.



Resources: Software applications, telephone system, copiers and printers  
Products: Telephones, internet services, computer peripherals, copiers and printers.

## **User Support**

Project Manager: Ben Stromberg

Team: Brown, Kelley, Rivera, intern

Description: Serve as training and instructional resource for internal users. Serve as technical intermediary in resolving IT related problems encountered by CMAP staff.

Products: Documentation of training and instructional resources. Documentation of IT related problems encountered by CMAP staff.

## **Commercial Datasets Management**

Project Manager: Penny Dubernat

Team: Zhang, D. Clark, Rogus

Description: Many CMAP projects (e.g. land use inventory, regional indicators, freight planning, economic development) rely on proprietary data sources that CMAP purchases. In many cases, these data are compiled from public sources and the proprietary value-added is in their ease of use and quality control. The primary purpose of managing commercial dataset acquisition under a single project is to monitor and document the current use, ongoing need, and contractual obligations of proprietary datasets. While most commercial datasets are associated with a particular staff member who possesses appropriate subject matter expertise, the commercial dataset project manager is responsible for compiling usage statistics, managing procurement and renewals, and monitoring expenditures.

Products: Documentation of commercial data set use and procurement.

**TABLE 25**  
**BUDGET DETAIL**  
**INFORMATION TECHNOLOGY MANAGEMENT**

<b>Information Technology Management</b>	
<b>PERSONNEL</b>	
Salaries	247,600
Retirement	68,600
FICA	15,500
Medicare	3,600
Health	23,700
Dental	1,900
Vision	500
Interns	15,000
<b>Total, Personnel</b>	<b>376,400</b>
<b>Employee Months</b>	
	44.00
<b>Indirect Charge</b>	
	<b>129,200</b>
<b>COMMODITIES</b>	
Publications	1,000
Office Supplies	600
<b>Total, Commodities</b>	<b>1,600</b>
<b>OPERATING</b>	
Storage	12,000
Postage/Postal Services	1,000
Training & Education Reimbursement	6,000
Travel Expenses	1,000
<b>Total, Operating</b>	<b>20,000</b>
<b>CONTRACTUAL SERVICES</b>	
Software Maintenance/Licenses	200,000
Professional Services	420,200
Consulting Services	214,000
<b>Total, Contractual Services</b>	<b>834,200</b>
<b>CAPITAL OUTLAY</b>	

Equipment - Capital	100,000
Software - Capital	50,000
<b>Total, Capital Outlay</b>	<b>150,000</b>
<b>Total, Expenses</b>	<b>1,511,400</b>
<b>REVENUE</b>	
UWP Operating - FY2012	1,129,120
Match - FY 2012	282,280
UWP Contracts - FY2011	80,000
Match - FY 2011	20,000
<b>Total, Revenue</b>	<b>1,511,400</b>

**TABLE 26**

**CONSULTANT SERVICES DETAIL  
INFORMATION TECHNOLOGY MANAGEMENT**

<b>PROPOSED SUBCONTRACTS</b>	<b>ESTIMATED AMOUNT</b>	<b>FUNDING SOURCE/STATUS</b>
Software Maintenance/License (various)	200,000	UWP 2012 – Operating / Ongoing
IT Consulting Service Support (Falkor)	420,200	UWP 2012 – Operating / Ongoing
SharePoint Support (TBD)	54,000	UWP 2012 – Operating / RFP to be developed. Board to award contract
IFAS Server Support (Sungard)	60,000	UWP 2012 – Operating / Sole Source. Board to award contract
MetroPulse Web Support (TBD)	100,000	UWP 2011 – Contracts / RFP to be developed. Board to award contract.
<b>TOTAL</b>	<b>834,200</b>	

## **FINANCE AND ADMINISTRATION**

Program Oversight: Dolores Dowdle

This program provides for the design, implementation and management of finance and human resources at CMAP. This program also provides the administrative support to the CMAP operations. Activities will continue to fully implement and improve the financial software system (IFAS). The costs for administration are distributed to the projects based on a percentage of direct personnel costs. The projected indirect cost for FY 2011 is 40.73% and for FY 2012 is 35.74%.

### **Finance and Accounting**

Project Manager: Lorrie Kovac

Team: Becerra, Doan, Sears, Preer

Description: Support for accounts payable, accounts receivable, payroll, and other required activities for financial management of CMAP. Responsible for annual audit of financial records.

Resources: IFAS financial software system

Products: Issuance of payroll and vendor checks; monthly expenditure reports; monthly revenue reports; monthly reimbursement requests of funders; annual financial statement.

### **Budget**

Project Manager: Dolores Dowdle

Team: Management

Description: Preparation of annual CMAP budget. Monitor expenditures and revenues during the fiscal year to determine if any revisions are required.

Products: Annual CMAP budget (May); semiannual revisions of budget (January)

### **Grant and Contracts**

Project Manager: Margaret McGrath

Description: Manage all procurements; assuring Request for Proposals comply with policy and are clear and consistent; participate in procurement selection; prepare contracts; oversee grants to CMAP.

### **Human Resources**

Project Manager: Dorianne Preer

Team: Holland-Hatcher, King

Description: Responsible for human resource activities for CMAP; includes recruitment, benefit management, salary administration, performance program and policy development



## Administration

Project Managers: Dolores Dowdle, Doriene Preer

Team: Ambriz, Brown, Kelley, J. Krell, Silberhorn, Rivera

Description: Provide administrative support for CMAP

**TABLE 27**

### **BUDGET DETAIL FINANCE AND MANAGEMENT**

<b>Finance and Administration - Budget</b>	
<b>PERSONNEL</b>	
Salaries	932,300
Retirement	182,400
FICA	56,200
Medicare	13,500
Health	111,500
Dental	6,600
Vision	2,000
Life	45,000
Other Benefits	20,000
Interns	25,000
<b>Total, Personnel</b>	<b>1,394,500</b>
<b>Employee Months</b>	178.0
<b>COMMODITIES</b>	
General Supplies	10,000
Publications	500
Office Supplies	20,000
Copy Room Supplies	20,000
<b>Total, Commodities</b>	<b>50,500</b>
<b>OPERATING EXPENSES</b>	
Workers' Compensation Insurance	25,000
Unemployment Compensation	15,000
Staff Assoc. Membership	500
CMAP Assoc. Membership	500
Postage/Postal Services	20,000





<b>Finance and Administration - Budget</b>	
Storage	5,000
Miscellaneous	5,000
Meeting Expenses	500
Recruitment Expenses	2,000
General Insurance	25,000
Legal Services	5,000
Printing Services	1,000
Bank Service Fees	5,000
Conference Registrations	1,000
Training & Education Reimbursement	1,000
Travel Expenses	1,000
<b>Total, Operating Expenses</b>	<b>112,500</b>
<b>OCCUPANCY EXPENSES</b>	
Office Maintenance	10,000
Rent	1,450,000
Telecommunications	60,000
Utilities	60,000
Sears Tower Parking	5,000
<b>Total, Occupancy Expenses</b>	<b>1,585,000</b>
<b>CONTRACTUAL SERVICES</b>	
Professional Services (Fiscal System support)	15,000
Audit Services	40,000
Office Equipment Leases	1,000
Fiscal Mgt. Maintenance/Licenses	40,000
Office Equipment Maintenance	80,000
<b>Total, Contractual Services</b>	<b>176,000</b>
<b>Total, Expenses</b>	<b>3,318,500</b>



# APPENDIX: Category and Line Item Definitions

## OBJECT CODE CATEGORIES

### PERSONNEL OBJECT CODES

Regular Salaries – includes expenditures to all permanent CMAP employees paid on a bi-weekly basis for the entire budget year. This includes both full time and permanent part time employees.

Medicare – ER Contribution – includes all payments made to the IRS by CMAP for the employer share of Medicare taxes related to payroll costs paid.

FICA – ER Contribution – includes all payments made to the IRS by CMAP for the employer share of FICA taxes related to payroll costs paid.

Retirement – ER Contribution – includes all payments made to the Illinois Municipal Retirement System Fund (IMRF) and the State Employee Retirement System Fund (SERS) for the employer share of pension costs. These payments are a percentage of salary costs for all regular employees covered under the pension plan.

Life Insurance – ER Contribution – includes the employer share of life insurance benefits paid for all regular employees.

Medical/Dental/Vision – ER Contribution – includes the employer share of medical, dental and vision insurance benefits paid for all regular employees.

Other Benefits – ER Contribution – includes any other miscellaneous employer paid costs related to employee benefits provided. An example of this type of costs would be administrative fees paid to the financial services company that monitors the ICMA accounts or the firm that process the employee flexible spending accounts

### COMMODITIES OBJECT CODES

Commodities are supplies, materials and articles which are consumed during their use or are materially altered when used. These items have a unit cost under \$3,000.00, a limited life and are not subject to depreciation. Commodities are materials and supplies purchased by CMAP for use by CMAP employees.

General Supplies – includes supplies used in the break room and at various coffee stations throughout the CMAP office. This includes coffee, tea, soda, sugar/sugar substitutes, paper supplies, and cleaning supplies.

Publications – includes the costs of books, subscriptions, journals, newspapers, etc.



Software – Small Value – purchase of computer software that has a unit cost of under \$3,000 in value.

Equipment – Small Value – includes office machines, furnishings and equipment with a unit cost under \$3,000; such as, adding machines, printers, calculators, computers, etc.

Data Acquisition – this object code is used for the acquisition of data sets used by CMAP staff in the completion of the work.

Office Supplies – includes supplies and materials necessary for the general operation of the CMAP office; such as, pens, pencils, folders, files, adding machine paper and ribbons. These would be items ordered by the Administrative Assistance from the office supply catalogs.

Copy Room Supplies – includes the purchase of paper, toner, ink used in the operations of the copy room and the related copy machines.

#### PROFESSIONAL SERVICES OBJECT CODES

Contractual services are expenditures for services performed by non-employees which are required by a division or the board in the execution of its assigned function. Contractual services are further broken down into three sections: Professional Services; General Operating; and Rent/Utilities. These are described below in detail

Professional services are expenditures for services performed by non-employees which are required by CMAP to carry out its function. Included under this category of object codes will be consulting contracts, professional services, audit services, etc.

Office Equipment Maintenance object code refers to those contractual services which tend to preserve or restore the original value of real or personal property, but which do not increase the original value. This includes any parts or materials used by the vendor in the course of the repair or maintenance activity.

Audit Services – includes charges for the performance of the annual CMAP audit.

Office Equipment Leases – includes the rental of office and data processing equipment used in the CMAP offices.

Software Maintenance/Licenses – includes payments for software maintenance and the purchase of licenses for software used by CMAP.

Fiscal Management Maintenance/Licenses – includes payments for the maintenance and licenses related to the use of the fiscal management software used by CMAP.

Professional Services – this object code will be used for contracts with various vendors who provide professional services to CMAP and are located in the CMAP offices

Consulting Services – this object code will be used for contracts entered into with vendors to provide consulting services to CMAP staff.

Office Equipment Maintenance – includes service charges associated with the repair and maintenance of office equipment and machinery used by CMAP.

Web-based Software Licenses – this object code is used for the purchases and renewal of licenses of web-based software used by CMAP staff.

#### GENERAL OPERATING OBJECT CODES

General operating expenses include payments for services provided to CMAP in the normal operations of a business. These include postage, meeting expenses, memberships, conferences, etc. Employee travel reimbursements are also under this category of expenditure including both in-region and out-of-region travel and related training expenses. These object codes are not to be used for the purchase of tangible items. Direct purchases of tangible items should be charged to the proper commodity or capital object code.

Workers' Compensation Insurance – this object code is for premiums and/or related workers' compensation expenses..

Unemployment Compensation – this object code is for premiums and/or claims for the payment of unemployment related costs as billed by the State of Illinois.

Staff Association Memberships – includes payments for dues and memberships to professional organizations by individual CMAP staff members. This is limited to a maximum of \$250 per year at the discretion of the employee's deputy executive director.

CMAP Association Memberships – includes the payment of dues and memberships to professional organizations for the agency, these are not individual memberships.

Postage/Postal Services – includes stamps, stamped envelopes, stamped postal cards, postage meter settings, postal permit deposits, and charges for couriers such as FedEx, UPS, etc.

Storage – includes payment of monthly fees for the use of off-site facilities for the storage of CMAP materials and documents and remote IT servers.

Moving Expenses – includes the payment of fees incurred for the moving of CMAP materials and equipment from one location to another.

Legal/Bid Notices – include costs related to the posting of required legal and/or bid notices.

Miscellaneous – this object code will be used for various operating costs incurred that do not meet the definition of any other operating cost object code. .

Meeting Expenses – this object code will be used for expenses incurred to conduct various meeting held by CMAP.

Recruitment Expenses – includes the costs related to the recruitment of CMAP staff; such as, posting of employment ads, job fair costs, etc.

General Insurance – this object code is for premiums and/or related liability insurance expenses paid by CMAP.

Legal Services – includes payments to attorneys or law firms for legal services rendered to CMAP.

Printing Services – includes printing services, microfilm services, photographic services and survey maps prepared by non-employees.

Bank Service Fees – this object code will be used to record service fees paid related to CMAP's checking accounts and merchant service fees charged by credit card companies for the collection of payments made to CMAP.

Conference Registrations – this object code will be used for the payment of registration fees for attendance at conferences by CMAP staff and board members.

Training and Education Reimbursement – this includes payments made to employees for tuition reimbursement or non-credit classes taken at the direction of their deputy director. Related covered expenses such as books and/or fees would also be paid from this object code.

Travel Expenses – includes all expenses related to both in and out of region travel by CMAP staff and board members; such as, hotel, mileage, car rental, per diem, gas, tolls, parking, etc. Amounts requested for reimbursement must be in compliance with the CMAP travel policy.

#### RENT/OFFICE MAINTENANCE OBJECT CODES

Rent/office maintenance expenses include payment of utility costs, office lease, telephone charges, monthly parking fees related to the leases and office maintenance provided by the building operations. This would include all costs paid by CMAP to occupy the physical office space.

Office Maintenance – includes all office maintenance costs billed to CMAP by the landlord. This would include replacement of light bulbs, repair work completed, employee access cards, office construction/remodeling performed by the landlord, etc.

Rent – includes the monthly rental fee for the office space occupied in the Sears Tower.

Telecommunications – includes all payments made to vendors for telecommunication monthly charges; such as payments made to Version, A T & T, etc.

Utilities – includes all payments made to vendors for the various utility costs; such as, electricity, heat, water, etc.

## CAPITAL OBJECT CODES

Capital expenses include payments for the acquisition, replacement or substantial increase in value of assets which are not expendable in first use, with a life expectancy exceeding one year, subject to depreciation and with a unit cost greater than \$3,000.00. Capital object codes should be charged with any freight or delivery costs incidental to delivering these items to CMAP.



**CHICAGO METROPOLITAN  
AGENCY FOR PLANNING**

ANNUAL FINANCIAL REPORT  
FOR THE YEAR ENDED JUNE 30, 2011

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# CHICAGO METROPOLITAN AGENCY FOR PLANNING

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## INDEPENDENT AUDITORS' REPORT

To the Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning  
233 South Wacker, Suite 800  
Chicago, Illinois 60606

We have audited the accompanying financial statements of the business-type activities of the Chicago Metropolitan Agency for Planning as of and for the year ended June 30, 2011, which are identified as the basic financial statements in the table of contents. These financial statements are the responsibility of the Agency's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities of Chicago Metropolitan Agency for Planning as of June 30, 2011, and the changes in its financial position and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.


In accordance with *Government Auditing Standards*, we have also issued our report dated November 3, 2011 on our consideration of the Chicago Metropolitan Agency for Planning's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The required supplementary information as listed in the table of contents is not a required part of the basic financial statements, but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning

Our audit was made for the purpose of forming an opinion on the financial statements that collectively comprise the Chicago Metropolitan Agency for Planning's basic financial statements. The supplementary information as listed in the table of contents is presented for purposes of additional analysis and is not a required part of the financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis, as required by U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, is also not a required part of the basic financial statements of the Chicago Metropolitan Agency for Planning. The supplementary information and schedule of expenditures of federal awards have been subjected to the auditing procedures applied in the audit of the financial statements and, in our opinion, are fairly stated in all material respects in relation to the basic financial statements taken as a whole.

The other information as listed in the table of contents has not been subjected to auditing procedures applied in the audit of the basic financial statements and, accordingly, we express no opinion on it.

  
Oak Brook, Illinois  
November 3, 2011

# **Chicago Metropolitan Agency for Planning Management's Discussion and Analysis (Unaudited) June 30, 2011**

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## **Background**

The Chicago Metropolitan Agency for Planning (CMAP) was created in 2005 as the comprehensive regional planning organization for the northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will. Through the Regional Planning Act (Public Act 094-510) in 2005, there was a merger of the Northeastern Illinois Planning Commission (NIPC) and the Chicago Area Transportation Study (CATS) to create the new Regional Planning Board, which was renamed as CMAP in 2006. The merger was completed at the end of fiscal year 2007.

By state and federal law, CMAP is responsible for producing the region's official, integrated plan for land use and transportation. The agency projects that metropolitan Chicago will gain 2.8 million new residents and 1.8 million jobs in the next three decades. CMAP developed and now leads the implementation of *GO TO 2040*, metropolitan Chicago's first comprehensive regional plan in more than 100 years. To address the anticipated population growth, *GO TO 2040* was adopted on October 13, 2010 to establish coordinated strategies that help the region's 284 communities address transportation, housing, economic development, open space, the environment, and other quality-of-life issues. See [www.cmap.illinois.gov](http://www.cmap.illinois.gov) and [www.goto2040.org](http://www.goto2040.org) for more information.

CMAP has published an annual report highlighting the accomplishments for fiscal year 2011. A copy of the CMAP annual report can be obtained at [www.cmap.illinois.gov](http://www.cmap.illinois.gov).

## **Management's Discussion and Analysis**

This section of CMAP's financial statements presents management's discussion and analysis (MD&A) of the financial activities of CMAP during the fiscal year ended June 30, 2011. Please read it in conjunction with the basic financial statements, including the accompanying notes to financial statements, which follow this section.

## **Financial Highlights**

The fiscal year 2011 expenses focused on facilitating the aggressive implementation of *GO TO 2040*. In addition to MetroPulse, CMAP Local Technical Assistance (LTA) program funded by the U.S. Department of Housing and Urban Development (HUD), and formation of the Energy Impact Illinois (EI2) alliance for building retrofits with funding from the U.S. Department of Energy (DOE), the agency staff is partnering with stakeholder organizations and individuals on a wide range of planning strategies set forth in the region's new comprehensive plan.

## **Government-wide Financial Statements**

The two main components to the government-wide financial statements are: (1) the statement of net assets and (2) the statement of revenues, expenses and changes in net assets. These are the two major statements that are analyzed in terms of obtaining a broad overview of the finances, value and annual operations of CMAP.

Generally, governmental-wide statements can present two different components: governmental activities, which are operations primarily supported by tax revenues, and business-type activities, which are those activities that are self-funded. All the operations of CMAP are considered to be business-type activities.

## **Fund Financial Statements**

A fund is a grouping of related accounts that is used to maintain control over resources that have been segregated for specific activities or objectives. CMAP uses fund accounting to ensure and demonstrate compliance with finance related legal requirements. CMAP is unique to many governments since it is an entity with only one fund, proprietary in nature.

## **Notes to the financial statements**

The notes to the financial statements provide additional information that is essential to a full understanding of the data provided in the entity-wide and fund financial statements.

**Chicago Metropolitan Agency for Planning  
Management's Discussion and Analysis (Unaudited)  
June 30, 2011**

**Other information**

In addition to the basic financial statements and accompanying notes, this report also presents certain required supplementary information.

**Government-wide Financial Analysis**

Net assets may serve over time as a useful indicator of the entity's financial position. The following tables highlight the increase in net assets of the entity from \$1,706,900 for June 30, 2010 to \$2,695,365 as of June 30, 2011 (an increase of \$988,465 or 58%).

<b>Table 1 Condensed Statement of Net Assets (in thousands)</b>		
	<b>Business-type Activities</b>	
	2010	2011
Current and other assets	\$5,316	\$14,635
Capital assets	959	1,191
Total assets	<u>\$6,275</u>	<u>\$15,826</u>
Other liabilities	\$4,568	\$13,131
Total liabilities	<u>\$4,568</u>	<u>\$13,131</u>
Net assets		
Invested in capital assets	\$959	\$1,191
Restricted for grant projects	-	650
Unrestricted	748	854
Total net assets	<u>\$1,707</u>	<u>\$2,695</u>

The statement of net assets is a snapshot as of the end of the fiscal year, reporting information on all of CMAP's assets and liabilities, with the difference between the two reported as net assets. The net assets may serve over time as a useful indicator of whether the financial position of an organization is improving or deteriorating. The assets of CMAP exceeded liabilities by \$2,695,365 as of June 30, 2011, as compared to net assets of \$1,706,900 as of June 30, 2010 an increase of \$988,465 or 58%. The largest component of net assets reflects CMAP's capital assets. Restricted net assets represent those grant projects that have provided advance funds for restricted purposes.

NIPC entered into a new office lease in the fiscal year ended June 30, 2006. As an incentive to enter into the lease, NIPC was granted rent abatements for certain months throughout the term of the lease, including the first twelve months of the lease, two months in FY 08, three months in FY 09, and three months in FY 10. The benefit of these abatements is being recognized evenly over the life of the lease. Consequently, a liability is reported ("rent abatement") for the portion of the abatements received since the beginning of the lease that will be recognized over the remaining lease term. As part of the enabling legislation, CMAP assumed all of NIPC obligations and is now responsible for the office lease.



**Chicago Metropolitan Agency for Planning  
Management's Discussion and Analysis (Unaudited)  
June 30, 2011**

The largest component of the assets is cash and accounts receivable, which account for 91% of the total assets. The largest components of the total liabilities are accounts payable, which had a balance of \$1,053,440 and \$10,705,113 at June 30, 2010 and 2011, respectively, and the value of the rent abatement of \$1,639,415 and \$1,468,681 on June 30, 2010 and 2011, respectively.

<b>Table 2 Changes in Net Assets (in thousands)</b>				
	<b>2010</b>	<b>% of Total</b>	<b>2011</b>	<b>% of Total</b>
Operating revenues				
Grant revenue				
Federal	\$14,881	73%	\$27,347	85%
State	2,609	13%	3,500	11%
Other	2,708	13%	1,203	4%
Contributions	247	1%	261	1%
Miscellaneous	57	0%	35	0%
Total Operating revenues	<u>\$20,502</u>	100%	<u>\$32,346</u>	100%
Operating expenses				
Personnel services	\$8,951	43%	9,266	30%
Operating expenses	1,692	8%	1,840	6%
Commodities	349	2%	477	2%
In-kind expenses	2,352	11%	812	3%
Contractual services	3,094	15%	16,656	53%
Subcontractor expense	3,801	18%	1,940	6%
Depreciation expense	395	2%	334	1%
Capital expense	0	0%	12	0%
Miscellaneous	21	0%	22	0%
Total operating expenses	<u>\$20,655</u>	100%	<u>\$31,359</u>	100%
Non-operating income				
Interest	\$2	100%	\$3	100%
Total Non-operating income	<u>\$2</u>	100%	<u>\$3</u>	100%
Increase (decrease) in net assets	(\$151)		\$988	

# **Chicago Metropolitan Agency for Planning Management's Discussion and Analysis (Unaudited) June 30, 2011**

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The largest component of operating revenues is federal grants. For its core operating activities, federal grants are passed to CMAP through the appropriate state agency—primarily Illinois Department of Transportation and Illinois Environmental Protection Agency. In FY 11, CMAP received federal funding for the special grant programs for the LTA program directly from the U.S. Department of Housing and Urban Development and for the EI2 alliance directly from the U.S. Department of Energy. The federal and state grants of \$17,490,148 and \$30,846,694 at June 30, 2010 and 2011, respectively, increased by \$13,356,546, or 76%.

In 2007, the Regional Planning Act was amended and included the creation of the Comprehensive Regional Planning Fund (CRPF). The CRPF distributes 70% of its annual General Revenue Fund allocation to CMAP. The CRPF is used for matching grant funds and other comprehensive regional planning purposes. For FY 11, the CRPF was not funded and the Illinois Department of Transportation provided monies to match the U. S. Department of Transportation grants.

The operating expenses of \$20,654,809 and \$ 31,360,129 at June 30, 2010 and 2011, respectively, increased by \$10,705,320 or 52%.

## **Capital Assets**

The capital assets are the furniture, office equipment, leasehold improvements and software owned by CMAP. The capital assets of \$959,116 and \$1,190,984 at June 30, 2010 and 2011, respectively, increased by \$231,868, or 24%. Further capital asset information can be found in Note 3 of the notes to the financial statements.

## **Summary and Future Considerations**

In 2007, CMAP initiated the development of the Regional Comprehensive Plan, now known as the *GO TO 2040* plan. The plan will guide growth and investment for Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will Counties for the rest of this century. In addition to land use and transportation, *GO TO 2040* also addresses the full range of quality-of-life issues, including the natural environment, economic development, housing, and human services such as education, health care and other social services. The *GO TO 2040* Plan was adopted on October 13, 2010. After the adoption of the Plan, CMAP has focused on implementing the Plan recommendations.

## **Requests for Information**

The financial report is designed to provide a general overview of the financial operations of the Chicago Metropolitan Agency for Planning. Questions concerning any of the information in this report or requests for additional information should be sent to the Deputy Executive Director for Finance and Administration, Chicago Metropolitan Agency for Planning, 233 South Wacker Drive, 8<sup>th</sup> Floor, Chicago, Illinois 60606.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## STATEMENT OF NET ASSETS

JUNE 30, 2011

	Business-type Activities
<b>Assets</b>	
Cash and cash equivalents	\$ 2,870,700
Receivables	11,602,516
Prepaid expenses	162,333
Capital assets, net of accumulated depreciation	<u>1,190,984</u>
<b>Total assets</b>	<u>15,826,533</u>
<b>Liabilities</b>	
Accounts payable	10,705,113
Accrued payroll	560,983
Accrued payroll liabilities	396,391
Rent abatement	<u>1,468,681</u>
<b>Total liabilities</b>	<u>13,131,168</u>
<b>Net Assets</b>	
Invested in capital assets	1,190,984
Restricted for grant projects	650,191
Unrestricted	<u>854,190</u>
<b>Total net assets</b>	<u>\$ 2,695,365</u>

See accompanying notes to financial statements.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSTS FOR THE YEAR ENDED JUNE 30, 2011

	Business-type Activities
Operating revenues:	
Grant revenue:	
Federal	\$ 27,346,821
State	3,499,873
Other	1,203,355
Contributions	261,114
Miscellaneous	<u>34,775</u>
<b>Total operating revenues</b>	<u>32,345,938</u>
Operating expenses:	
Personnel services	9,265,805
Operating expenses	1,840,309
Commodities	476,934
In-kind expenses	811,950
Contractual services	16,656,486
Subcontractor expense	1,940,386
Depreciation expense	334,324
Capital expense	11,764
Miscellaneous	<u>22,171</u>
<b>Total operating expenses</b>	<u>31,360,129</u>
<b>Operating income</b>	<u>985,809</u>
Nonoperating revenue:	
Interest income	<u>2,656</u>
<b>Total nonoperating revenue</b>	<u>2,656</u>
Change in net assets	988,465
Net assets, beginning of the year	<u>1,706,900</u>
Net assets, end of the year	<u>\$ 2,695,365</u>

See accompanying notes to financial statements.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## STATEMENT OF CASH FLOWS FOR THE YEAR ENDED JUNE 30, 2011

	Business-type Activities
Cash flows from operating activities:	
Received from other local governments	\$ 295,889
Received from operating grants	22,681,928
Paid to suppliers for goods and services	(12,517,507)
Paid to employees for services	<u>(9,134,954)</u>
Net cash flows from operating activities	<u>1,325,356</u>
Cash flows from investing activities:	
Investment income	<u>2,656</u>
Cash flows from capital and related financing activities:	
Acquisition of capital assets	<u>(566,192)</u>
<b>Net change in cash and cash equivalents</b>	761,820
<b>Cash and cash equivalents, beginning of the year</b>	<u>2,108,880</u>
<b>Cash and cash equivalents, end of the year</b>	<u>\$ 2,870,700</u>
Reconciliation of operating income to net cash flows from operating activities:	
Operating income	\$ 985,809
Adjustments to reconcile operating loss to net cash flows from operating activities:	
Noncash activity:	
Depreciation expense	334,324
Changes in:	
Receivables	(8,556,171)
Prepaid expenses	(1,943)
Accounts payable	8,603,220
Accrued payroll	114,597
Compensated absences payable	16,254
Deferred rent credit	<u>(170,734)</u>
<b>Net cash flows from operating activities</b>	<u>\$ 1,325,356</u>
Noncash operating activities:	
Contribution of subcontractor services	<u>\$ 811,950</u>

See accompanying notes to financial statements.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### **NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

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On August 8, 2005, Illinois state legislature approved the Regional Planning Act to create a Regional Planning Board, also known as the Chicago Metropolitan Agency for Planning (the Agency). The Act called for the merger of the functions of the Chicago Area Transportation Study ("CATS"), the region's federally designated metropolitan planning organization, and the Northeastern Illinois Planning Commission (NIPC). Effective July 1, 2007, these entities were merged to form the Agency. These financial statements for the Agency reflect this broadened organization. No assets, liabilities and net assets from CATS were acquired or combined as a result of the merger. Before the merger, CATS was supported entirely by the Illinois Department of Transportation. All assets, liabilities and net assets from NIPC were assumed by CMAP during the merger.

#### **Measurement Focus, Basis of Accounting and Financial Statement Presentation**

The accompanying financial statements report information on all the activities of the Agency. The accounts of the Agency are organized and operated on the basis of funds. A fund is an independent fiscal and accounting entity with a self-balancing set of accounts. Fund accounting segregates funds according to their intended purpose, and is used to aid management in demonstrating compliance with finance-related legal and contractual provisions. The Agency utilizes a single proprietary fund (enterprise fund) to account for its operations.

Proprietary funds are accounted for on the flow of economic resources measurement focus, and use the accrual basis of accounting. Under this method, revenues are recorded when earned, and expenses are recorded at the time liabilities are incurred. The Agency accounts for operating expenses by project activity and cost category. Indirect expenses are allocated to projects based on a percentage of direct payroll (Note 4). The Agency applies all applicable FASB pronouncements issued before November 30, 1989 in accounting and reporting for its proprietary operations, to the extent that those standards do not contradict the guidance of the Government Accounting Standards Board. Proprietary funds include the following fund type:

Enterprise Fund – Used to account for those operations that are financed and operated in a manner similar to private business, or where the Board has decided that the intent is that the determination of revenues earned, costs incurred and/or net income is necessary for management accountability.

Net assets are classified into three components: invested in capital assets, net of related debt; restricted; and unrestricted. These classifications are defined as follows:

Invested in Capital Assets, Net of Related Debt – This component of net assets consists of capital assets, including restricted capital assets, net of accumulated depreciation, and reduced by outstanding balances of any bonds, mortgages, notes, or other borrowing that are attributable to the acquisition, construction, or improvement of those assets.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES – (CONTINUED)

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Restricted – This component of net assets consists of constraints placed on net asset use through external constraints imposed by creditors (such as through debt covenants), grantors, contributors, or laws or regulations of other governments, or constraints imposed by law through constitutional provisions or enabling legislation.

Unrestricted – This component of net assets consists of net assets that do not meet the definition of restricted or invested in capital assets, net of related debt.

#### **Estimates**

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

#### **Cash and Cash Equivalents**

For purposes of the statements of cash flows, the Agency considers all highly liquid investments, including bank money market accounts and Illinois Funds accounts, to be cash equivalents.

#### **Federal and State Agency Grant Revenues**

Project funds authorized under federal and state agency grants are requisitioned from such agencies, either on an advance basis, or for reimbursement of eligible costs incurred, up to maximum amounts of established under each grant. Revenues are generally recognized as eligible costs or requirements are incurred or met. A local matching contribution is required for many federal and state grants. The Agency requests, and has been successful in the past in obtaining, contributions from local government agencies to provide for the local matching portion of the grants. Such contributions are generally recognized as revenue when received. Grants receivable represent amounts earned under grant agreements but not yet received. The balance in accounts receivable at June 30, 2011 includes \$11,598,414 of grants receivable.

#### **Accounts Receivable**

Accounts receivable, which primarily represent amounts due from other federal, state and local governments in the form of grant payments, totaled \$11,602,516 at June 30, 2011. Accounts receivable are stated at the amount billed to the customer. The Agency does not charge interest or late fees on amounts past due. At June 30, 2011, there were no accounts past due over 90 days. The Agency has determined that an allowance for doubtful accounts is not necessary at June 30, 2011, based on management's evaluation of the aged accounts receivable. This evaluation of the collectibility of accounts receivable is based on past experience, known and inherent risks in the accounts, adverse situations that may affect the borrower's ability to repay, and current economic conditions. Accounts deemed uncollectible are charged to expense.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES – (CONTINUED)

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#### Capital Assets

Capital assets, which consist of office equipment, furniture and fixtures, and leasehold improvements with an initial cost of greater than \$3,000 and a useful life greater than one year, are reported in the government-wide financial statements. Capital assets are capitalized at cost or estimated fair value if donated. Major additions are capitalized, while replacements, maintenance and repairs which do not improve or extend the lives of the respective assets are expensed in the period incurred. Interest incurred during the construction phase of proprietary fund fixed assets is reflected in the capitalized value of the asset constructed.

Depreciation has been provided on the straight-line method over the estimated useful lives of the assets, as follows:

Furniture and fixtures	5 – 15 years
Office equipment	3 – 6 years
Software	3 years

Leasehold improvements had been amortized using the straight-line method over the term of the related leases.

#### Compensated Absences Payable

The Agency accrues for vesting and accumulating unused sick leave and vacation time. Sick leave is earned at a rate of 1 day per month for full-time employees, and a pro-rated amount for regular part-time staff based on the percentage of time worked. There is no limit on the overall amount of sick leave that can be accrued. Upon termination, the sick leave accrued balance will be credited towards pension service, in accordance with the guidelines of the Illinois Municipal Retirement Fund and the State Employees Retirement System. Vacation is earned by full-time employees at a rate of 1 day per month for the first three years, 1.33 days per month for the next three years, and 1.66 days per month thereafter. Up to 30 days of unused vacation can be carried forward. Vacation must be used within 18 months of when it is earned, unless approved by the Executive Director. Compensated absences payable at June 30, 2011 were \$396,391.

#### Deferred Rent Credit

The Agency has recognized a liability for the rent abatements received in the current year under the office lease, and will recognize the benefit of the current and future rent abatement over the life of the lease.

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### NOTE 2 – STEWARDSHIP, COMPLIANCE AND ACCOUNTABILITY

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#### Budget

The Executive Director presents an annual operating budget, first to the Finance Committee, and later to the full Board of Directors. The Board approves the budget prior to the beginning of the fiscal year. The Executive Committee serves as the audit and finance committee for the Board and approves revisions to the annual budget. At a minimum the Executive Committee considers revisions when reviewing the six-month financial report. The budget is adopted on a basis consistent with accounting principles generally accepted in the United States of America, except that the Agency budgets for capital outlay expenses and does not budget for depreciation and amortization. The various funding sources have different beginning and ending dates funding the activities. The budget was approved on June 9, 2010. For the year ended June 30, 2011, expenses exceeded budget by \$1,841,054. This excess was funded by available net assets.



# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

### NOTE 3 – DETAILED NOTES ON ALL FUNDS

#### **Deposits**

At June 30, 2011, the carrying amount of the Agency's cash and cash equivalents was \$2,870,700. These balances are comprised of \$247,675 of deposits with financial institutions, \$2,622,725 of deposits with Illinois funds and \$300 of cash on hand.

Illinois Funds is an investment pool managed by the State of Illinois, Office of the Treasurer, which allows governments within the State to pool their funds for investment purposes. Illinois Funds is not registered with the SEC as an investment company, but does operate in a manner consistent with Rule 2a7 of the Investment Company Act of 1940. Investments in Illinois Funds are valued at Illinois Funds' share price, which is the price the investment could be sold.

*Custodial Credit Risk.* For deposits, this is the risk that, in the event of a bank failure, a government will not be able to recover its deposits. At June 30, 2011, the Agency had a bank balance with local financial institutions of \$282,155, which is fully insured by the FDIC. The Illinois Funds is a money market fund created in 1975 by the Illinois General Assembly to provide custodians of public funds with an alternate investment vehicle which enables them to earn a competitive rate of return on fully collateralized investments, while maintaining immediate access to invested funds. Because these investments are fully insured or collateralized, there is no exposure to custodial credit risk.

#### **Capital Assets**

Capital asset activity for the year ended June 30, 2011, is as follows:

	<i>Beginning Balance</i>	<i>Increases</i>	<i>Decreases</i>	<i>Balance</i>
Capital assets being depreciated:				
Furniture	\$ 904,269	-	\$ -	\$ 904,269
Office equipment	841,921	321,706	-	1,163,627
Leasehold improvements	356,270	224,446	-	580,716
Software	<u>347,527</u>	<u>20,040</u>	-	<u>367,567</u>
Total capital assets being depreciated	<u>2,449,987</u>	<u>566,192</u>	-	<u>3,016,179</u>
Less accumulated depreciation for:				
Furniture	677,595	22,669	-	700,264
Office equipment	592,619	201,395	-	794,014
Leasehold improvements	17,814	46,849	-	64,663
Software	<u>202,843</u>	<u>63,411</u>	-	<u>266,254</u>
Total accumulated depreciation	<u>1,490,871</u>	<u>334,324</u>	-	<u>1,825,195</u>
Total capital assets, net	<u>\$ 959,116</u>	<u>\$ 231,868</u>	<u>\$ -</u>	<u>\$ 1,190,984</u>

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### NOTE 3 – DETAILED NOTES ON ALL FUNDS – (CONTINUED)

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#### ***Operating Lease Commitments***

The Agency conducts its operations in facilities rented under a noncancelable operation lease entered into September 1, 2005. The lease period extends through August 31, 2020. Under the Agency's agreement with the landlord, the landlord abated the rent for the first twelve months of the term of the lease and months 23, 24, 37, 38, 39, 49, 50, and 51. The Agency will recognize the benefit of the rent abatements over the life of the lease. The following schedule reflects the Agency's gross commitment for the future minimum annual rental payments. The schedule of future minimum lease payments shown below does not reflect the proportionate share of any increase in expenses or taxes for those years.

<b><i>Year Ending June 30, 2011</i></b>	<b><i>Agency Payments</i></b>
2012	1,397,756
2013	1,445,357
2014	1,475,649
2015	1,501,614
2016	1,527,578
2017- 2021	6,642,585
Total	<u>\$ 13,990,539</u>

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### NOTE 4 – OTHER INFORMATION

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#### ***Illinois Municipal Retirement Fund ("IMRF")***

The Agency's defined benefit pension plan, Illinois Municipal Retirement (IMRF), provides retirement, disability, annual cost of living adjustments and death benefits to plan members and beneficiaries. IMRF is an agent multiple employer pension plan that acts as a common investment and administrative agent for local governments in Illinois. The Illinois Pension Code establishes the benefit provisions of the plan that can only be amended by the Illinois General Assembly. IMRF issues a financial report that includes financial statements and required supplementary information. The report may be obtained at [www.imrf.org/pubs/pubs\\_homepage.htm](http://www.imrf.org/pubs/pubs_homepage.htm) or by writing to the Illinois Municipal Retirement Fund, 2211 York Road, Suite 500, Oak Brook, Illinois 60523.

Employees participating in IMRF are required to contribute 4.50 percent of their annual covered salary. The member rate is established by state statute. The Agency is required to contribute at an actuarially determined rate. The employer rate for calendar year 2010 was 20.37 percent of payroll. The employer contribution requirements are established and may be amended by the IMRF Board of Trustees. IMRF's unfunded actuarial accrued liability is being amortized as a level percentage of payroll on a closed bases (overfunded liability amortized on open basis). The amortization period at December 31, 2008 was 10 years.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### NOTE 4 – OTHER INFORMATION – (CONTINUED)

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For December 31, 2010, 2009, and 2008, the Agency's annual pension cost of \$949,090; \$636,129; and \$734,105, respectively, was equal to the Agency's required and actual contributions. The required contribution was determined as part of the December 31, 2008, actuarial valuation using the entry age normal actuarial cost method. The actuarial assumptions included (a) 7.50% investment rate of return (net of administrative expenses), (b) projected salary increases of 4.00% a year, attributable to inflation, (c) additional projected salary increases ranging from 0.4% to 10% per year depending on age and service, attributable to seniority/merit, and (d) post-retirement benefit increases of 3% annually. The actuarial value of IMRF assets was determined using techniques that smooth the effects of short-term volatility in the market value of investments over a five-year period with a 20% corridor.

As of December 31, 2010, the most recent actuarial valuation date, the Regular plan was 46.86 percent funded. The actuarial accrued liability for benefits was \$6,330,158 and the actuarial value of assets was \$2,966,575, resulting in an underfunded actuarial accrued liability (UAAL) of \$3,363,583. The covered payroll (annual payroll of active employees covered by the plan) was \$4,659,256 and the ratio of the UALL to the covered payroll was 72 percent.

The schedule of funding progress, presented as RSI following the notes to the financial statements, presents multiyear trend information, about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liability for benefits.

#### ***State Employees' Retirement System ("SERS")***

As of September, 2008, employees who were eligible to participate in the State Employees' Retirement System (SERS) under Chicago Area Transportation Study (CATS) were allowed to participate in SERS, which is a pension trust fund in the State of Illinois reporting entity. CATS merged with the Northeastern Illinois Planning Committee (NIPC) to create the current Chicago Metropolitan Agency for Planning (CMAP). SERS is a single-employer defined benefit public employee retirement system (PERS) in which State employees participate, except those covered by the State Universities, Teachers', General Assembly, and Judges' Retirement Systems. The financial position and results of operations of the SERS for fiscal year 2010 are included in the State of Illinois' Comprehensive Annual Financial Report (CAFR) for the year ended June 30, 2010. The SERS issues a separate CAFR that may be obtained by writing to the SERS, 2101 South Veterans Parkway, Springfield, Illinois, 62794-9255.

A summary of SERS benefit provisions, changes in benefit provisions, employee eligibility requirements including eligibility for vesting, and the authority under which benefit provisions are established are included as an integral part of the SERS' CAFR. Also included is a discussion of employer and employee obligations to contribute and the authority under which those obligations are established.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO FINANCIAL STATEMENTS JUNE 30, 2011

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### **NOTE 4 – OTHER INFORMATION – (CONTINUED)**

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Employees participating in SERS are required to contribute 4.00 percent of their annual covered salary. The member rate is established by state statute. The Agency pays employer retirement contributions based upon an actuarial determined percentage of their payrolls. For fiscal year 2011, the employer contribution rate was 27.988%. Effective for pay periods beginning after December 31, 1991, the State opted to pay the employee portion of retirement for most State agencies (including the Agency) with employees covered by the State Employees' and Teachers' Retirement Systems. However, effective with the fiscal year 2004 budget, the State opted to stop paying the portion of the retirement for many State agencies (including the Agency) for certain classes of employees covered by the State Employees' and Teachers' Retirement Systems. The pickup, when applicable, is subject to sufficient annual appropriations and those employees covered may vary across employee groups and State agencies. For the year ended June 30, 2011, salaries totaling \$1,423,877 were paid that required employer contributions of \$399,879, which was equal to the Agency's actual contribution.

#### ***Risk Management***

The Agency is exposed to various risks of loss related to torts; theft of, damage to and destruction of assets; errors and omissions; injuries to employees; illness of employees and natural disasters. Those risks are covered by commercial insurance purchased from independent third parties. Settled claims from these risks have not exceeded commercial insurance coverage for the past three fiscal years.

#### ***Principal Deferred Compensation Plan***

The Agency offers its employees a deferred compensation plan created in accordance with Internal Revenue Code Section 457. The plan, available to all employees of the Agency, permits them to defer a portion of their salary until future years. Participation in the plan is optional. The deferred compensation is not available to employees until termination, retirement, death or unforeseeable emergency. A third party administrator manages the plan. The Agency experienced a transfer of plan administrators from ICMA to Principal in December of 2010. The assets of the Principal deferred compensation plan were placed in trust accounts with the plan administrator, for the exclusive benefit of participants and their beneficiaries, and are not considered assets of the Agency.

#### ***Indirect Cost***

To facilitate equitable distribution of common purpose costs that benefit more than one direct cost objective, the Agency has established an agency-wide indirect cost allocation plan. Rates are based on a percentage of direct wages.

#### ***Contingencies***

The Agency has received significant financial assistance from federal and state agencies. The disbursement of funds received under these programs generally requires compliance with terms and conditions specified in the grant agreements, and may be subject to audit by the grantor agencies. Any disallowed claims resulting from such audits could become a liability of the Agency. The Agency is not aware of any disallowed claims.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

ILLINOIS MUNICIPAL RETIREMENT FUND  
 REQUIRED SUPPLEMENTARY INFORMATION  
 SCHEDULE OF EMPLOYER'S CONTRIBUTIONS AND ANALYSIS OF FUNDING PROGRESS  
 JUNE 30, 2011

Actuarial Valuation Date	Annual Pension Cost (APC)	Percentage of APC Contributed	Net Pension Obligation			
12/31/2010	\$ 949,090	100%	\$ -			
12/31/2009	636,129	100%	-			
12/31/2008	734,105	100%	-			

Actuarial Valuation Date	Actuarial Value of Assets	Actuarial Accrued Liability (AAL) - Entry Age	Unfunded AAL (UAAL)	Funded Ratio	Covered Payroll	UAAL as a Percentage of Covered Payroll
12/31/2010	\$ 2,966,575	\$ 6,330,158	\$ 3,363,583	46.86%	\$ 4,659,256	72.19%
12/31/2009	1,824,462	5,686,918	3,862,456	32.08%	4,908,407	78.69%
12/31/2008	793,972	4,821,010	4,027,038	16.47%	4,326,589	93.08%
12/31/2007	2,122,735	4,023,886	1,901,151	52.75%	4,933,248	38.54%
12/31/2006	3,134,172	4,366,139	1,231,967	71.78%	2,578,591	47.78%
12/31/2005	3,200,939	4,540,094	1,339,155	70.50%	2,179,916	61.43%

On a market value basis, the actuarial value of assets as of December 31, 2010 is \$3,665,019. On a market basis, the funded ratio would be 57.90%.

See independent auditors' report.

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## CHICAGO METROPOLITAN AGENCY FOR PLANNING

### SCHEDULE OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS NON GAAP BUDGETARY BASIS - BUDGET AND ACTUAL FOR THE YEAR ENDED JUNE 30, 2011

	Original and Final Budget	Actual
<b>Revenues:</b>		
Grants	\$ 31,188,881	\$ 31,238,099
Contributions	250,000	261,114
Product sales, fees, and interest income	48,914	37,431
In-kind contributions	<u>811,951</u>	<u>811,950</u>
<b>Total revenues</b>	<u>32,299,746</u>	<u>32,348,594</u>
<b>Expenses:</b>		
Personnel services	9,682,620	9,265,805
Operating expenses	492,224	492,328
Commodities	437,725	504,302
Occupancy expense	1,524,703	1,525,282
Contractual services	13,304,520	16,656,486
Capital Outlay	577,954	566,192
Non-Operating Expenses	100,000	-
In-kind services	1,084,300	811,950
Pass through grants	<u>2,717,631</u>	<u>1,940,386</u>
<b>Total expenses</b>	<u>29,921,677</u>	<u>31,762,731</u>
Change in budgetary net assets	<u>\$ 2,378,069</u>	585,863
Net assets, beginning of the year		<u>1,706,900</u>
Budgetary net assets, end of the year		2,292,763
Budget - GAAP Reconciliation		
GAAP operating expenses:		
Depreciation and amortization		<u>(163,590)</u>
GAAP capital assets:		
Capital outlay		<u>566,192</u>
<b>Net increase in net assets - budget to GAAP</b>		<u>402,602</u>
Net assets, end of the year		<u>\$ 2,695,365</u>

## CHICAGO METROPOLITAN AGENCY FOR PLANNING

### SCHEDULE OF GRANT RECEIPTS, EXPENSES AND BALANCES FOR THE YEAR ENDED JUNE 30, 2011

Grant. No.	Grantor	Grant Period		Total Project Amount	Grant Amount
		From	To		
S615	Cook Co. Forest PD	7/1/2003	12/31/2011	\$ 173,840	\$ 173,840
S674	IEPA	7/24/2006	6/30/2010	3,350,254	2,000,000
S691	IDOT	7/1/2007	6/30/2011	3,906,800	3,255,800
S694	IDOT	7/23/2007	open	110,000	110,000
S702	IDOT	7/1/2008	6/30/2011	1,828,823	1,353,975
S703	Chicago Community Trust	7/8/2008	4/1/2011	1,065,000	1,065,000
S705	FTA	7/1/2008	3/31/2011	256,600	256,600
S706	IEPA	8/21/2008	12/31/2011	2,302,677	1,247,622
S712	IEPA	5/18/2009	8/1/2011	791,245	672,996
S715	IDOT	7/1/2009	6/30/2010	12,387,048	12,387,048
S716	IDOT	7/1/2009	6/30/2012	1,763,535	1,666,828
S717	IDOT	7/1/2009	6/30/2010	1,663,431	1,211,131
S718	UNIV OF IL CHICAGO	6/9/2009	10/31/2010	45,000	45,000
S719	IEPA	1/14/2010	12/31/2011	948,968	948,968
S720	IL INSTITUTE OF TECH	11/19/2009	5/18/2011	45,000	45,000
S721	DOE	5/19/2010	5/18/2013	25,000,000	25,000,000
S722	IDOT	5/6/2010	6/30/2012	600,000	480,000
S725	IDOT	7/1/2010	6/30/2011	12,164,790	12,164,790
S726	IDOT	7/1/2010	6/30/2012	1,594,920	1,457,420
S727	IDOT	8/19/2010	8/18/2012	885,558	885,558
S728	IDOT	7/1/2010	6/30/2011	1,513,914	1,211,131
S730	Argonne/DOE	4/1/2011	8/31/2011	18,703	18,703
S732	HUD	1/15/2011	1/14/2014	8,730,850	4,250,000
S710	Woods Funds of Chicago	1/9/2009	open	4,000	4,000
S711	Harris Bank	4/22/2009	open	7,500	7,500



GRANT RECEIPTS					EXPENSES				Status
Prior FY 11 Receipts	FY 11 Receipts	Receivable 6/30/2011	Refund	Remaining Grant 6/30/2011	Prior FY 11 Expenses	FY 11 Expenses	Grant Balance 6/30/2011		
\$ 110,547	\$ 26,889	\$ 8,624	\$ -	\$ 27,779	\$ 117,507	\$ 28,553	\$ 27,779		
1,693,652	306,348	-	-	-	2,000,000	-	-	Closed	
2,749,634	497,149	-	9,017	-	2,886,300	369,500	-	Closed	
86,630	21,457	1,913	-	-	93,138	16,862	-	Closed	
1,252,285	82,678	-	-	19,013	1,297,482	37,480	19,013	Closed	
816,125	223,875	-	-	25,000	586,670	453,330	25,000	Closed	
81,297	165,324	-	-	9,979	119,750	126,871	9,979	Closed	
528,125	429,777	15,257	-	274,463	835,933	137,226	274,463		
143,250	396,838	122,872	-	10,036	248,260	414,700	10,036		
10,300,818	1,773,745	-	-	312,485	12,074,563	-	312,485	Closed	
-	915,476	288,867	-	462,485	16,586	1,187,757	462,485		
967,756	219,421	-	-	23,954	1,187,177	-	23,954	Closed	
19,358	25,642	-	-	-	45,000	-	-	Closed	
22,082	457,040	108,208	-	361,638	89,099	498,231	361,638		
-	29,554	3,400	-	12,046	-	32,954	12,046	Closed	
-	4,202,161	9,309,508	-	11,488,332	-	13,511,668	11,488,332		
-	9,577	-	-	470,423	-	9,577	470,423		
-	10,720,745	1,291,680	-	152,366	-	12,012,424	152,366	Closed	
-	3,362	30,841	-	1,423,217	-	34,203	1,423,217		
-	885,558	-	-	-	-	235,367	650,191		
-	919,902	256,402	-	34,827	-	1,176,304	34,827	Closed	
-	-	6,647	-	12,056	-	6,940	11,763		
-	274,137	154,196	-	3,821,667	-	428,333	3,821,667		
4,000	-	-	-	-	3,184	816	-	Closed	
7,500	-	-	-	-	2,885	4,615	-	Closed	

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## COMPUTATION OF FRINGE BENEFIT RATE AND STATEMENT OF FRINGE BENEFITS FOR THE YEAR ENDED JUNE 30, 2011

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### Computation of Fringe Benefit Rate:

Total fringe benefits	\$ 2,773,319	=	<u>42.44%</u>
Total salaries	\$ 6,534,604		

### Statement of Fringe Benefits:

Medicare	\$ 89,590
FICA	371,507
IMRF	954,054
SERS	399,879
Life Insurance	38,689
Medical/Dental/Vision	846,856
Workers' compensation	21,723
Unemployment compensation	20,394
Other benefits	<u>30,627</u>
	<u>\$ 2,773,319</u>

CHICAGO METROPOLITAN AGENCY FOR PLANNING

COMPUTATION OF INDIRECT COST RATE  
FOR THE YEAR ENDED JUNE 30, 2011

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**Total Indirect Costs:**

Management and administrative salaries and leave	\$	1,353,405
Other indirect costs		<u>1,815,355</u>
	\$	<u>3,168,760</u>

**Total Base Costs:**

Direct salaries, leave and fringe benefits	\$	<u>7,954,518</u>
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**Indirect Cost Rate:**

Total indirect costs	\$	<u>3,168,760</u>	=	<u>39.84%</u>
Total base costs	\$	7,954,518		

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## SCHEDULE OF OTHER INDIRECT COSTS FOR THE YEAR ENDED JUNE 30, 2011

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Breakroom supplies	\$	12,169
Software - small value		1,033
Equipment - small value		1,074
Data acquisition		23
Office supplies		20,546
Copy room supplies		16,392
Furniture - small value		2,825
Audit services		38,364
Office equipment leases		1,260
Software maintenance/licenses		309
Fiscal Mgt. maintenance/licenses		36,841
Professional Services		25,156
Office equipment maintenance		87,988
Staff association memberships		320
CMAP association memberships		195
Postage/postal services		19,729
Storage		4,046
Miscellaneous		456
Meeting expenses		1,000
Recruitment expenses		3,041
General insurance		26,736
Legal services		3,486
Printing services		252
Bank service fees		3,101
Conference registrations		278
Training and education reimbursement		350
Travel expenses		204
Office maintenance		13,048
Rent		1,380,881
Telecommunications		52,345
Utilities		57,049
Sears Tower parking		4,860
		<hr/>
	\$	<u>1,815,355</u>

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## DESCRIPTION OF GRANTS FOR THE YEAR ENDED JUNE 30, 2011

<u>CMAP No.</u>	<u>through Agency</u>	<u>Grant Number</u>	<u>Description</u>
<b><u>Cook County Forest Preserve District</u></b>			
S-615		22009	Maple Lake Phase 2 Implementation
<b><u>Illinois Department of Transportation</u></b>			
S-694		P35-029-07	Local Crash Data Collection
S-727		MPO CMAP/CRP 11-12/11BOB43	Livable Communities Technical Assistance Go To 2040
<b><u>Illinois Institute of Technology</u></b>			
S-720		DTFH61-10-C-00009	Development and Application of the TRANSIMS Toolbox for Transportation Operations Management
<b><u>United States Department of Energy</u></b>			
S-721		DE-EE0003561	Chicago Region Retrofit Ramp-Up (CR3)
<b><u>United States Environmental Protection Agency</u></b>			
S-706	IEPA	3190806	Fox River Watershed Restoration & Education
S-712	IEPA	6040905	Watershed Planning and Monitoring
S-719	IEPA	604101	Water Quality Management Planning
<b><u>United States Department of Housing and Urban Development</u></b>			
S-732	HUD	ILRIP00013-10	Sustainable Communities
<b><u>United States Department of Transportation</u></b>			
S-691	IDOT	MPO/CMAP 08-09 Competitive Program	FY 2008 Unified Work Program - Contracts
S-702	IDOT	MPO CMAP Regional Council of Mayors PL 09	FY 2009 Council of Mayors
S-705	FTA	IL-20-X001-00	Midewin National Tallgrass Prairie Public
S-716	IDOT	MPO/CMAP PL10 DuPage Lake Competitive Program	FY2010 Unified Work Program Contracts
S-722	IDOT	MPO-CMAP Cook DuPage Corridor Study	Cook/DuPage Technical Studies Grant

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## DESCRIPTION OF GRANTS FOR THE YEAR ENDED JUNE 30, 2011

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<u>CMAP No.</u>	<u>through Agency</u>	<u>Grant Number</u>	<u>Description</u>
<b><u>United States Department of Transportation con't.</u></b>			
S-725	IDOT	MPO CMAP 3C Core UWP	FY2011 Unified Work Program
S-726	IDOT	MPO CMAP 3C 11BOB19	Fy2011 Unified Work Program Contracts
S-728	IDOT	MPO CMAP RCOM	FY2011 Council of Mayors
<b><u>The Chicago Community Trust</u></b>			
S-703		C2008-01135	Community Development
<b><u>Woods Fund of Chicago</u></b>			
S-710		GO TO 2040	Planning for Public Outreach & Education
<b><u>Harris Bank</u></b>			
S-711		GO TO 2040	Invent 2040 Workshops Development



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INDEPENDENT AUDITORS' 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

To the Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning  
233 South Wacker, Suite 800  
Chicago, Illinois 60606

We have audited the financial statements of the business-type activities of the Chicago Metropolitan Agency for Planning (CMAP) as of and for the year ended June 30, 2011, which collectively comprise CMAP's basic financial statements and have issued our report thereon dated November 3, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Internal Control Over Financial Reporting**

In planning and performing our audit, we considered CMAP's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of CMAP's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of CMAP's internal control over financial reporting.

Our consideration of the internal control over financial reporting was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over financial reporting that might be significant deficiencies or material weaknesses; and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. However, as described in the accompanying schedule of findings and questioned costs, we identified a deficiency in internal control over financial reporting that we consider to be a material weakness.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statement will not be prevented, or detected and corrected on a timely basis. We consider the deficiency described in the accompanying schedule of findings and questioned costs to be a material weakness. This material weakness is item 2011-1.

Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether CMAP's basic financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

CMAP's response to the findings identified in our audit is described in the accompanying schedule of findings and questioned costs. We did not audit CMAP's response and, accordingly, we express no opinion on it.

This report is intended solely for the information and use of CMAP's management, others within the entity, federal awarding agencies and pass-through entities and is not intended to be, and should not be, used by anyone other than these specified parties.

*Baker Tilly Viechow Krause, LLP*

Oak Brook, Illinois  
November 3, 2011





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INDEPENDENT AUDITORS' REPORT ON COMPLIANCE WITH REQUIREMENTS THAT COULD HAVE A DIRECT AND MATERIAL AFFECT ON EACH MAJOR PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133

To the Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning  
233 South Wacker, Suite 800  
Chicago, Illinois 60606

**Compliance**

We have audited the compliance of Chicago Metropolitan Agency for Planning (CMAP) with the types of compliance requirements described in the *U. S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement* that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2011. CMAP's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of CMAP's management. Our responsibility is to express an opinion on CMAP's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and *OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about CMAP's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on CMAP's compliance with those requirements.

In our opinion, CMAP complied, in all material respects, with the requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2011.

**Internal Control Over Compliance**

The management of CMAP is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered CMAP's internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of CMAP's internal control over compliance.

Honorable Chairman and Board Members  
Chicago Metropolitan Agency for Planning

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

This report is intended solely for the information and use of CMAP's management, others within the entity, the federal awarding agencies and pass-through entities and is not intended to be, and should not be, used by anyone other than these specified parties.

*Baker Tilly Vintner Krause, LLP*  
Oak Brook, Illinois  
November 3, 2011

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED JUNE 30, 2011

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Federal Expenditures
<b>U.S. Environmental Protection Agency:</b>			
Pass-through programs from:			
Illinois Environmental Protection Agency:			
Nonpoint Source Implementation Grants:			
Fox River Watershed Planning, Restoration, and Protection - Phase 4	66.460	3190806	\$ <u>137,226</u>
Water Quality Management Planning:			
ARRA - Watershed Planning and Monitoring	66.454	6040905 ((604(b))	414,700
Water Quality Management Planning - '10	66.454	604101 (604(b))	<u>498,231</u>
<b>Total CFDA #66.454</b>			<b>912,931 *</b>
<b>Total U.S. Environmental Protection Agency</b>			<b><u>1,050,157</u></b>
 <b>U.S. Department of Energy</b>			
Direct Programs:			
ARRA - Energy Efficiency and Conservation Block Grant Program (EECBG)			
Energy Retrofit Ramp-Up (CR3)	81.128	DE-EE0003561/000	<u>13,511,668</u>
<b>Total U.S. Department of Energy</b>			<b><u>13,511,668 *</u></b>
 <b>U.S. Department of Housing and Urban Development</b>			
Direct Programs:			
Sustainable Communities	14.703	ILRIP00013-10	<u>428,333</u>
<b>Total U.S. Department of Housing and Urban Development</b>			<b><u>428,333</u></b>
 <b>U.S. Department of Transportation:</b>			
Direct Programs:			
Federal Transit Administration			
Paul S. Sarbanes Transit in the Parts			
Midewin National Tallgrass Prairie Study	20.520	IL-20-X001-00	<u>126,871</u>

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED JUNE 30, 2011

Federal Grantor/Pass-through Grantor/Program Title	Federal CFDA Number	Agency or Pass-through Number	Federal Expenditures
Pass-through programs from:			
Highway Planning and Construction			
Illinois Department of Transportation:			
Council of Mayors	20.205	MPO/CMAP PL09	\$ 37,480
Council of Mayors	20.205	MPO CMAP RCOM	1,176,304
Unified Work Program for Planning and Programming Transportation Planning Activities	20.205	MPO/CMAP 3C Core UWP	8,519,904
Unified Work Program Consulting Services	20.205	MPO/CMAP 08-09	369,500
Unified Work Program Consulting Services	20.205	MPO/CMAP DuPage, Lake 10-11	992,982
Unified Work Program Consulting Services	20.205	MPO/CMAP 3C 11BOB19	5,830
Illinois Institute of Technology			
Highway Planning and Construction			
TRANSIMS Toolbox for Transportation			
Operations Management	20.205	DTFH61-10-C- 00009	32,954
<b>Total CFDA # 20.205</b>			<b>11,134,954</b>
Illinois Department of Transportation:			
Metropolitan Transportation Planning			
Unified Work Program for Planning and Programming Transportation			
Planning Activities	20.505	MPO/CMAP MPO CMAP 3C Core UWP	1,090,035
Unified Work Program Consulting Services	20.205	MPO/CMAP 3C 11BOB19	26,915
Technical Studies Grant	20.505	Cook/DuPage Corridor Study	9,577
<b>Total CFDA # 20.505</b>			<b>1,126,528</b>
<b>Pass-through programs subtotal</b>			<b>12,261,482</b>
<b>Total U.S. Department of Transportation</b>			<b>12,388,353</b>
<b>Total federal awards</b>			<b>\$ 27,378,511</b>

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS JUNE 30, 2011

### 1. **Basis of Presentation**

The accompanying schedule of expenditures of federal awards includes the federal grant activity and pass-through grant activity of Chicago Metropolitan Agency for Planning, and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*.

### 2. **Subrecipients**

For the year ended June 30, 2011, Chicago Metropolitan Agency for Planning provided the federal awards to subrecipients as follows:

<i>Program Title</i>	<i>Federal CFDA Number</i>	<i>Amount Provided to Subrecipients</i>
Highway Planning and Construction: Council of Mayors United Work Program Consulting Services	20.205	\$ 1,213,785 213,882
Nonpoint Source Implementation Grants: Watershed Based Plan Upgrades	66.460	87,751
Water Quality Management Planning: Fox River Watershed Planning, Restoration, and Protection – Phase 4	66.454	388,476
Metropolitan Transportation Planning: United Work Program Consulting Services Technical Studies Grant	20.505	26,915 9,577

### 3. **Nonmonetary Assistance**

Chicago Metropolitan Agency for Planning neither received nor disbursed federal awards in the form of nonmonetary assistance during the fiscal year ended June 30, 2011.

### 4. **Insurance and Loans or Loan Guarantees**

During the year ended June 30, 2011, Chicago Metropolitan Agency for Planning received no insurance, loans, loan guarantees or other federal assistance for the purpose of administering federal programs.

### 5. **Oversight Agency**

The U.S. Environmental Protection Agency has been designated as the Agency's oversight agency for the single audit.

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## SCHEDULE OF FINDINGS AND QUESTIONED COSTS JUNE 30, 2011

### I. Summary of Audit Results

#### *FINANCIAL STATEMENTS*

Type of auditors' report issued: Unqualified

Internal control over financial reporting:

- > Material weakness(es) identified?        X      yes              no
- > Significant deficiencies identified?                yes      X      none reported

Noncompliance material to basic financial statements noted?

          yes      X      no

#### *FEDERAL AWARDS*

Internal control over major programs:

- > Material weakness(es) identified?                yes      X      no
- > Significant deficiencies identified?                yes      X      none reported

Type of auditor's report issued on compliance for major programs: unqualified

Any audit findings disclosed that are required to be reported in accordance with section 510(a) of Circular A-133?

          yes      X      no

Auditee qualified as low-risk auditee?

          yes      X      no

Identification of major federal programs:

#### CFDA Numbers

#### Name of Federal Program or Cluster

81.128

Energy Efficiency and Conservation Block Grant Program (EECBG)

66.454

Water Quality Management Planning

Dollar threshold used to distinguish between type A and type B programs:

\$821,355

# CHICAGO METROPOLITAN AGENCY FOR PLANNING

## SCHEDULE OF FINDINGS AND QUESTIONED COSTS JUNE 30, 2011

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### II. Financial Statement Findings

#### *Finding 2011-1: Internal Control over Financial Reporting*

**Criteria:** The Agency must have functioning internal controls over external financial reporting.

**Condition:** Currently, the Agency relies upon its auditors to prepare its external financial statements and there is no secondary approval of the Schedule of Expenditures for Federal Awards prepared by the Agency.

**Context:** The auditor prepared the financial statements for the year ending June 30, 2011 and there is no secondary approval of the Schedule of Expenditures for Federal Awards prepared by the Agency.

**Effect:** External financial statements would not have been presented in accordance with GAAP and the Schedule of Expenditures for Federal Awards could have been misstated without secondary approval.

**Cause:** This finding was caused by insufficient internal controls over the external financial reporting process.

**Recommendation:** We recommend that management evaluate its internal controls over the financial reporting process and determine if it is feasible for management to implement additional internal controls in this area.

**Management Response:** As stated by Baker Tilly Virchow Krause, LLP, this high level of internal control over financial reporting is a difficult task for governments, especially since most governments operate with only enough staff to process monthly transactions and reports, and often rely on their auditors to prepare certain year end entries and financial reporting. This continues to describe CMAP. As stated in last year's audit, Management understands the importance of financial statement preparation. However, due to time and resources, it will continue to rely upon its auditors to prepare its yearly financial statements. CMAP will implement secondary approval of its Schedule of Expenditures for Federal Awards for fiscal year 2012.

### III. Federal Findings and Questioned Costs

None

### IV. Summary Schedule of Prior Audit Findings

None

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