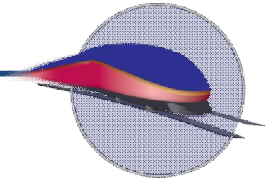


High Speed Intercity Passenger Rail (HSIPR) Program



Application Form

Planning

Applicants for Planning funds are required to submit this Application Form and other documents as outlined in Section E of this application. Please complete this document and provide any supporting documentation electronically. Supporting documentation should be logically and descriptively labeled. For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your project, please indicate “N/A.” If you have questions about the HSIPR program or this application, please contact FRA at HSIPR@dot.gov.

A. Point of Contact and Project Information

(Must be consistent with information provided on applicant’s SF 424)

(1) Submitting Agency: Illinois Department of Transportation		Submitting Agency Authorized Representative Name and Title: Mr. George Weber; Bureau Chief, Railroads		
Street Address / City: JRTC, Suite 6-600, 100 W. Randolph Street	City: Chicago	State: IL	Zip Code: 60601	Telephone Number: (312) 793-4222 Email: george.weber@illinois.gov
Application Point of Contact (POC) Name and Title (If different): Same		Application POC Telephone: Same Application POC Email: Same		
(2) Name(s) of additional States applying (if applicable): Missouri				
(3) Planning Project Name (Please provide a clear, concise, and descriptive name, example “Capital City to Hill Valley Corridor Service Development Plan”): Chicago-St. Louis 220 mph HSR Express Alternatives Analysis and Environmental Impact Statement				

(4) Describe the corridor service(s) that is (are) the subject of the Planning Project, including corridor name, endpoints, major intermediate cities, and other characteristics (upload a map if applicable):

The Chicago-St. Louis 220 mph HSR express route would provide a very high-speed link between the two cities. The actual route would be determined through the conduct of an alternatives analysis, as further discussed in this application. Preliminary planning suggests that there are multiple route alternatives between these two endpoint cities. Each alternative includes the feasibility of providing suburban stops in both the Chicago and St. Louis metropolitan areas. The 220 mph service would complement the previously funded 110 mph HSR improvements now being designed and constructed on the Union Pacific (UP) Chicago-St. Louis Corridor.

(5) Planning Project Abstract (In 3 - 5 sentences, please describe your proposed planning project):

The funds sought under this program would be used to create an investment-grade business plan for a 220 mph HSR route. The plan would include a market study, ridership forecasting, a suggested implementation strategy, as well as a full comparison of the route alternatives between Chicago and St. Louis. This plan would determine which route: is the most efficient; would have the lowest capital and operating costs; and, would generate the highest ridership. Finally, the plan would also include a Tier One Environmental Impact Study (EIS) and a phasing strategy. The phasing strategy would be based on the results of the business plan and the Tier One EIS.

- (6) 6a. Total Cost of Planning Project (2010 dollars): \$ 10.4 million**
 - Amount Requested from HSIPR Program: \$ 8.32 million
 - Non-Federal Match Amount: \$ 2.08 million

6b. Indicate the source, amount, and percentage of matching funds:

Non-FRA Funding Sources	New or Existing Funding Source?	Status of Funding ¹	Type of Funds	Dollar Amount *Should total Non-Federal Amount in above 6a.	% of Total Project Cost	Describe any uploaded supporting documentation to help FRA verify funding source
State match from Illinois Jobs Now! Capital Plan	New	Committed	Capital	\$2.08 million	20%	http://www.illinois.gov.com/upload/New647.pdf
	New	Committed				
	New	Committed				
	New	Committed				

(7) Which of the following planning activities are proposed to be funded under the HSIPR Program? NOTE: Eligible planning projects for these funds include either 1) State Rail Plans or 2) Passenger Rail Corridor Investment Plans.

¹ Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g. legislative referendum) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state Capital Investment Program (CIP) or appropriation. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted, (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted CIP that has yet to be committed in their near future. Funds will be classified as budgeted where available funding cannot be committed until the grant is executed, or due to the local practices outside of the project sponsor's control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed nor budgeted. Examples include proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's CIP.

Applicants seeking to develop a passenger rail corridor investment plan must apply for any necessary work to develop *both* a service development plan and corridor-wide environmental documentation. If the applicant has already completed one of these documents or a component thereof, FRA must have accepted that document as meeting the minimum requirements outlined in Section 2.4.1 of the FY2010 Planning NOFA.

- State Rail Plans
- Service Development Planning and “Service” or “Tier 1” NEPA
- Service Development Planning only (“Service” or “Tier 1” NEPA already complete)
- “Service” or “Tier 1” NEPA only (Service Development Planning already complete)

(8) 8a. Describe the service attributes of the Program/Project for which you are planning (check all that apply):

- | | |
|---|--|
| <input type="checkbox"/> Additional Service Frequencies | <input type="checkbox"/> Improved On-Time performance on Existing Route |
| <input checked="" type="checkbox"/> New Service | <input type="checkbox"/> Increased Average Speeds/Shorter Trip Times |
| <input type="checkbox"/> Service Quality Improvements | <input checked="" type="checkbox"/> Other (<i>Please Describe</i>): Additional capacity and greater mode choice between the two endpoints and along the selected corridor. |

8b. Please provide an overview of the characteristics of the Program/Project for which you are planning, including a description of the types of improvements under consideration, and if applicable, the intercity passenger rail proposal:

The primary goal of the project is to provide safe, electrified, 220 mph maximum HSR trains operating on dedicated tracks, with the HSR right of way adjacent to existing or former rail corridors (wherever possible). Key elements of the plan include: 1) widening of existing rights-of-way; 2) construction of new tracks; 3) relocation of existing freight tracks (where necessary); 4) grade-separating the tracks (including those of paralleling active rail lines); and, 5) improving station area infrastructure (separation of HSR and conventional trains up to the station approach; more favorable geometry for station approach trackage, etc.) over the length of the proposed high-speed rail line. Track would be shared with slower, traditional rail lines only in congested metro areas, etc. Overhead wire clearance on shared tracks would have to be such that it did not restrict existing uses/traffic flows. New yard/shop facilities and locations for intermediate substations and passenger stations would be among the land needs/uses associated with the 220 mph rail line.

(9) What are the anticipated start and end dates for this Planning Project? (mm/yyyy)

Start Date: 10/2010 **End Date:** 10/2012

B. Statement of Work

BACKGROUND

Briefly describe the events that lead to the need for the planning project and the underlying issue that the project will address (less than ½ page).

Illinois has been a strong supporter of intercity passenger rail. This includes growing support for Amtrak, active participation in the Midwest Regional Rail Initiative since its beginnings in the mid-1990s and concrete actions to implement high-speed rail between Chicago and St. Louis. These actions culminated in the receipt of a FRA Grant earlier this year to implement 110 mph high-speed rail service along the UPRR corridor. The next step in Illinois's intercity passenger rail vision is to develop a corridor investment plan for a 220 mph Chicago to St. Louis service.

Existing highway and air travel options are subject to increasing congestion, are less energy efficient and directly contribute to air pollution. A 220 mph Chicago to St. Louis high-speed rail corridor represents a sustainable transportation option that minimizes impacts to the environment, encourages compact land development around rail stations and helps Illinois manage its pressing issues with greenhouse gas reductions, traffic and airport congestion and energy dependency.

The transportation system in Illinois is one of the state's key economic assets that provides Illinois with a competitive economic advantage and also affects the quality of life of all Illinois residents. A 220 mph Chicago to St. Louis high speed rail corridor will create thousands of jobs and save millions of dollars annually in travel time, vehicle accidents and energy costs. In this way, Illinois can continue to address the growing mobility needs of its residents and workers, enhance the state economy, preserve the environment and enhance the quality of life.

GENERAL OBJECTIVE

Provide a general description of the planning work to be accomplished through this grant, including project work effort, project study area, and other parties involved. Describe the end-state of the project, and the outcomes that will be achieved as a result of this project.

The objective of this grant is to develop a passenger rail investment plan for a 220 mph Chicago to St. Louis high-speed rail corridor. This corridor investment plan will include the development of a Service Development Plan and a Corridor-wide (Tier 1) Environmental Impact Statement (EIS). The desired outcome is to provide decision-makers with the technical and financial information regarding this corridor to determine what transportation investments make sense. This would include answers to the following questions:

- 1) What is the rationale (purpose and need) for the Chicago-St. Louis corridor improvements?
- 2) What alternatives (routings, station stops, speeds and service levels, intermodal connections, etc.) should be considered?
- 3) What are the benefits (ridership, travel time savings, job creation, environmental and energy benefits, community livability and quality of life) and costs (capital, operating, maintenance and administrative) associated with these alternatives?
- 4) What are the risks associated with each alternative?
- 5) What are the environmental impacts and minimization and mitigation of these impacts?
- 6) What alternative best addresses the purpose and need, in light of the benefits, costs, risks and environmental impacts?
- 7) What is the financial feasibility of this alternative in light of ridership, revenue, capital and operating expenses, and federal, state, local and private sector funding strategies?

- 8) How should the project be phased and what are the service plans (frequencies, timetables, station locations, intermodal connections and train consists) and capital investment needs (infrastructure, rolling stock and facilities improvements) for each phase?
- 9) What should our approach be for overall program management, including project management, quality, cost and budget control, and financing and organizational plans?

A map attached to this application shows the general study area, bounded by Chicago on the north and St. Louis on the south. The ultimate goal of this project is to define a preferred alternative, complete the Tier 1 EIS, receive a Record of Decision (ROD), prepare a Service Development Plan and be positioned to enter the implementation phase, including engineering and construction. It is proposed that the FRA, with IDOT, will lead the Tier 1 EIS, and that IDOT would lead the preparation of the Service Development Plan. Other parties involved include the federal, state and local resource agencies (participating and cooperating agencies in the preparation of the EIS), as well as on-line communities, the involved rail carriers, other elected officials, the business community and the general public.

DESCRIPTION OF WORK

Describe the tasks of the planning project from start to finish. A task 1 – Detailed Planning Project Workplan – shall be included. Under the cooperative agreement, FRA will participate in the project, as described in this Statement of Work, through review draft work products and acceptance of task deliverables. Group the tasks into major and minor components and relate the major components to milestones and deliverables. Address inter-relationships between tasks. Identify the milestones for which FRA review of draft work products is anticipated. (For more detailed studies it may be appropriate for FRA to participate in the development of methodologies.) Address necessary coordination and processes to involve affected parties and the public as appropriate.

A detailed planning project workplan is attached to this application. The workplan identifies the major and minor components of the plan, deliverables and task interrelationships. This plan provides for continuous coordination with the FRA and other oversight agencies from the start of the workplan (see the section on “Agency Coordination” under Task 1) through the selection of the preferred alternative (Task 9) and the issuance of the Final EIS and ROD for this project (the FRA would be a signatory to the ROD, just as they were for the Chicago-St. Louis 110 mph rail project in January of 2004). Mileston deliverables requiring FRA review are so identified under each task in the workplan. A proposed project organization chart is also attached to this application.

PROJECT SCHEDULE

The period of performance for the above work shall be twenty-four (24) months, beginning October 1, 2010 and ending September 30, 2012.

PERFORMANCE OBJECTIVES AND DELIVERABLES

The Grantee shall provide FRA with a projected schedule to achieve the deliverables and performance objectives listed below. The Grantee shall achieve these performance objectives in order for the project to be considered complete.

List tasks, including task 1 – Detailed Planning Project Workplan and Schedule, that are required in order to complete the project, as applicable.

1. Detailed Planning Project Work Plan and Schedule
2. Draft and Final Environmental Impact Statement
3. Record of Decision
4. Service Delivery Plan, including Investment-Grade Business Plan and Phasing and Implementation Plan

Note that Items 1, 2 and 3 are included in the project estimate/budget for the Tier One Environmental Impact Statement, below.

PROJECT ESTIMATE/BUDGET

Provide an overall cost summary in this section with a detailed description of project costs by element attached as an appendix if needed.

The total estimated cost of the Project is \$10,400,000, for which the FRA grant will contribute an estimated 80% of the total cost, but no more than \$8,320,000. Any additional expense required beyond that provided in this grant to complete the project shall be borne by the Grantee. (See attached budget for additional financial details of the project.)

[Project Title] (FRA Grant)

Task 1 – Tier One EIS	\$ 4.0 million
Task 2 – Service Delivery Plan	\$ 6.4 million
Task 3 – Title	\$ Cost
Task 4 – Title	\$ Cost
[List more tasks as necessary]	\$ Cost
Subtotal	\$ 10.4 million

Total

FRA ([80.0% Same as Above] of project cost):	\$ 8.32 million	[FRA Share]
Grantee Contribution ([20.0%] of project cost):	\$ 2.08 million	[Grantee Match]

Total Project Cost: \$ 10.4 million

PROJECT COORDINATION



List major partners, sub-awardees or sub-grantees that will be implementing this program. In addition, please attach a basic organizational chart as an appendix showing the titles/company name of those with authority to make management decisions and those with direct project management responsibility.

The Grantee shall perform all tasks required for the project through a coordinated process; including as appropriate all railroad owners, operators, and funding partners within the project area. Under the cooperative agreement, FRA will participate in the Project, as described in this statement of work.

- [Host Railroad Name – if applicable]
- [Freight/Passenger Railroad Operator(s) – if applicable]
- [Funding Partners "xDOT", "City of XXX", "Transportation Authority" – if applicable]
- FRA

The major partners and sub-grantees in this project are the FRA and the State of Illinois (though the Illinois Department of Transportation). An organizational chart setting forth the parties and management responsibilities is included in response to this application.

While the exact details of the entire route will be determined through the conduct of the proposed project, known or expected rail carriers to be involved will include: Amtrak, Canadian National, Norfolk Southern, Union Pacific, Kansas City Southern and Terminal Railroad Association of St. Louis. The rights-of-way of these carriers will be followed for varying lengths, as determined in the Feasibility Study effort (part of the phasing and implementation plan). Each of these rail carriers will be an essential part of the proposed project. The local match portion of the proposed project funding is presumed to come from the State’s Capital Plan. Illinois Commerce Commission (ICC) review and approval of concepts, designs and (ultimately) installed equipment will also be expected with regard to signal interfaces and control arrangements at those grade crossings that will remain active (those not being recommended for separation, such as in built-up areas). Liaison with FRA will begin in the negotiations for the proposed Grant and will include on-going oversight of the project in all phases of the proposed work plan.

PROJECT MANAGEMENT

Describe any critical assumptions, special requirements and contingency plans. Provide updated project management plan as an attachment if needed. Describe how the project will be monitored and evaluated for progress.

IDOT will use the services of a Program Manager to conduct the planning and environmental tasks required in this project. IDOT’s existing High-Speed Rail Program Management Team has the required expertise to conduct such tasks as are required in the proposed work plan, having provided similar services in the development and implementation of the tasks comprising the 110 mph HSR program on the Chicago-St. Louis Corridor.

The Program Management (PM) Team will manage the program implementation including the interdependencies between standards, designs and projects that comprise the overall program. The PM Team will provide either direct management or management oversight to accomplish the goals of the program. PM Team strength will be provided by integrating the staff with that of IDOT and other



program partners. The PM Team will also integrate with the host railroads's staff and that of Amtrak and will ensure that input, review and coordination activities are expedited. Individual projects will be defined within the overall program and design assignments can be on a line-section or location-specific basis, as best suits the requirements of the design project. Project Managers within the PM Team will be responsible for day-to-day execution of individual project components of the program and will report to the management of the PM Team.

Project monitoring will occur throughout the duration of the project, to ensure that all work is being performed according to the quality control plan requirements for the project and that the required activities are occurring on schedule, in order to allow the complete project to be completed on-time and within budget. Progress monitoring and evaluation criteria will be developed by the PM Team, and applied to all project work products and deliverables, in order to ensure that all documents conform to project requirements.

C. Response to Evaluation Criteria

(1) Potential Transportation and Public Benefits.

Please identify:

For Passenger Rail Corridor Investment Plans:

- The clarity and detail with which the applicant has identified the problem to be addressed by the proposed service;
- The market potential of the corridor being studied, taking into consideration such factors as population, density, economic activity, and travel patterns;
- The potential for the corridor to deliver high-speed and intercity passenger rail service benefits, including ridership, on-time performance, travel time, service frequencies, safety and other factors;
- The potential of the corridor program to promote economic development, including contributions to a sustainable U.S. manufacturing and supply base;
- The potential of the corridor program to enhance energy efficiency and environmental quality;
- The potential of the corridor program to promote interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations); and
- The consideration of other transportation modes in the planning process.

For State Rail Plans:

- The clarity and detail with which the applicant has identified the problems to be addressed by the State's vision for rail transportation and rail investment program;
- The potential for the State rail plan to lead to passenger and freight rail service benefits, including ridership, on-time performance, travel time, service frequencies, goods movement, safety and other factors;
- The potential of the State rail plan to promote economic development, including contributions to a sustainable U.S. manufacturing and supply base;
- The potential of the State rail plan to enhance energy efficiency and environmental quality;
- The potential of the State rail plan to promote interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations); and
- The integration of the State rail plan with the planning processes of other transportation modes.

The purpose of this project is to determine which alternative will be the most cost-effective for the proposed 220 mph rail service between Chicago and St. Louis. The HSR project will improve the passenger transportation network within the Chicago-St. Louis corridor, resulting in a more balanced use of the modal components. At present, 99% of the 35 million annual trips made in this corridor use automobile or air modes. This project intends to establish a more balanced modal use of the transportation network, by increasing the rail options, and by offering a significant decrease in the end-to-end travel times for rail in this general corridor.

Highway congestion, with its inherent safety risks and environmental impacts, further aggravates the situation caused by the modal imbalance in the corridor. Additional pressure is also brought to bear on corridor travelers through the sometimes costly airfares and energy-inefficient short-haul airline operations in this corridor, in addition to travel time delays and service unreliability.

More than 90% of the annual corridor trips have origins or destinations in Chicago or St. Louis. A more balanced transportation system in the corridor would provide travelers with greater mobility options. For this reason, a totally new rail transportation corridor is proposed. The proposed service would complement the improvements to be made to the existing Chicago-St. Louis rail corridor, which after improvement will operate at up to 110 mph with as many as nine intermediate stops. Conversely, the 220 mph service will have more limited stops, thus allowing faster service and providing more options for the customer. The customer who does not begin or end his trip in one of the 110 mph intermediate stops could reach his destination quicker by selecting the 220 mph route.

Operating at 220 mph over most of the proposed corridor, HSR trains should be able to make the one-way trip in about two hours, making the mode competitive with flight times, especially when airport check-in times and airport-to-downtown access times are included in the end-to-end travel time. The dedicated right-of-way for the HSR trains will serve to enhance service reliability, by eliminating the need to share tracks with freight trains and slower-moving passenger trains, as well as

eliminating the potential for occurrences at at-grade crossings.

The 220 mph Chicago-St. Louis HSR project is expected to create significant near- and long-term economic benefits along the selected corridor and in the adjacent areas, including that part of Missouri surrounding metropolitan St. Louis. There may also be benefits to other parts of the US, depending on where rail, cross-ties, other track materials, structural materials, communications equipment, signal equipment, electrification equipment and the new rolling stock are manufactured/assembled. The economic benefits to the project area will be driven by an increase in construction spending. These project expenditures will generate a short-term increase in demand for construction-related labor and materials, as well as engineering and technical services along the corridor. With a significant portion of the funding provided by the federal government, the new rolling stock will have to meet "Buy America" and other federal funding requirements. As materials are consumed for the Chicago-St. Louis 220 mph HSR project (and other similar projects), a need for additional resources will occur, which will provide opportunities for manufacturing firms to increase production rates and to grow. Plant construction and testing activities will present additional opportunities for newer management personnel to learn and grow, opening the door for new entry-level staff.

As engineering and management forces are dedicated to this project, a need for additional resources will occur, which will provide opportunities for entry and mid-level engineers and managers to advance. New entry-level engineers will also be sought from colleges and universities. With engineering companies striving to develop diverse workforces, this will create opportunities for female and minority graduates.

IDOT will explore all reasonable opportunities to improve the energy performance of rail stations and new maintenance facilities. The possible strategies include: minimizing water use; improving construction practices; and, selecting materials with outstanding and stable life cycle properties. The stations will be responsive to the town/city in which they are located (will fit with the character of the community and be located proximate to the central business district, etc.), and will be built/delivered in a process that fits the needs of the people who will be using these stations. The stations and new maintenance facilities will incorporate inter-related building systems that deliver optimum performance.

(2) Future Program Viability and Sustainability.

Please identify:

- The likelihood that the final deliverables (Service Development Plan, Environmental Document, or State Rail Plan) will be ready and capable of being implemented;
- The demonstrated commitment of the State and other stakeholders to quickly execute the program once planning is complete;
- The degree to which the planning process meaningfully incorporates input from affected communities, local governments, regional councils and planning organizations, neighboring States, railroads, transportation modal partners, environmental interests, the public and other stakeholders – early and throughout the process;
- The likelihood that the corridor programs being studied can yield measurable service and public benefits in a reasonable period of time;
- The demonstrated ability of the applicant to support the future capital and operating needs of the corridor(s) being studied;
- The thoroughness of the proposed deliverables;
- The quality of proposed methodology and assumptions; and
- The applicant's contribution of a cost share greater than the required minimum of 20 percent.

IDOT has demonstrated that it can develop the required deliverables on time and at reasonable cost. This experience has been shown in the responses to the FRA Pre-Applications and Applications in the preceding years, as well as the work IDOT has performed in the period since the January 2010 receipt of the FRA Grant to fund the Record of Decision (ROD) package of improvements on the "classic" (110 mph) line along the UP Chicago-St.

Louis Corridor.

(3) Project Delivery Approach.

Describe qualifications of the applicant and its key partners to successfully complete the planning activities, including the following information:

- The applicant’s financial, legal, and technical capacity to implement the project;
- The applicant’s experience in administering similar grants and planning efforts;
- The soundness and thoroughness of the cost methodologies and assumptions, and estimates for the proposed planning activities;
- The reasonableness and timeliness of the milestone and completion schedule;
- The thoroughness and quality of the Statement of Work;
- The timing and amount of the project's future noncommitted investments;
- The comprehensiveness and sufficiency, at the time of application, of agreements with key partners that will be involved in conducting the planning effort; and
- The overall completeness and quality of the application, including the comprehensiveness of its supporting documentation.

IDOT has a demonstrated record of success with regard to financial, legal and technical capacity for the implementation of rail capital improvements.

E. Checklist of Application Materials

Required Documents	Reference	Description	Format
<input checked="" type="checkbox"/> HSIPR Planning Application Form	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	Form
<input checked="" type="checkbox"/> OMB Standard Forms <ul style="list-style-type: none"> • SF 424: Application for Federal Assistance • SF 424A: Budget Information-Non Construction • SF 424B: Assurances-Non Construction 	FY 2010 Planning NOFA Section 3.3.1.2	Please submit through <i>Grants.gov</i>	Form
<input checked="" type="checkbox"/> FRA Assurances Document	FY 2010 Planning NOFA Section 3.3.1.3	May be obtained from FRA’s website at http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf . The document should be signed by an authorized certifying official for the applicant. Submit through <i>Grants.gov</i>	Form
Optional Supporting Documents	Reference	Description	Format
<input checked="" type="checkbox"/> Map of proposed project area	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	None
<input checked="" type="checkbox"/> Other supporting documents as identified by applicant	FY 2010 Planning NOFA Section 3.3.1.1	This document to be submitted as an attachment through <i>Grants.gov</i> .	None

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.

Application for Federal Assistance SF-424		May 14, 2010	Version 02
*1. Type of Submission:		*2. Type of Application * If Revision, select appropriate letter(s)	
<input type="checkbox"/> Preapplication		<input checked="" type="checkbox"/> New	
<input checked="" type="checkbox"/> Application		<input type="checkbox"/> Continuation *Other (Specify)	
<input type="checkbox"/> Changed/Corrected Application		<input type="checkbox"/> Revision _____	
3. Date Received:		4. Applicant Identifier:	
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:	
State Use Only:			
6. Date Received by State:		7. State Application Identifier:	
8. APPLICANT INFORMATION:			
*a. Legal Name:		ILLINOIS Department of Transportation	
*b. Employer/Taxpayer Identification Number (EIN/TIN):		*c. Organizational DUNS:	
d. Address:			
*Street 1:		JRITC, Suite 6-600	
Street 2:		100 W. Randolph	
*City:		Chicago	
County:		Cook	
*State:		Illinois	
Province:		_____	
*Country:		USA	
*Zip / Postal Code		60601	
e. Organizational Unit:			
Department Name:		Division Name:	
Illinois Dept. of Transportation		Bureau of Railroads	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: _____ Mr. _____		*First Name: _____ George _____	
Middle Name: _____		_____	
*Last Name: _____ Weber _____		_____	
Suffix: _____		_____	
Title:		Bureau Chief	
Organizational Affiliation:		Illinois Department of Transportation	
*Telephone Number: (312) 793-4222		Fax Number: _____	
*Email:		george.weber@illinois.gov	

Application for Federal Assistance SF-424

Version 02

***9. Type of Applicant 1: Select Applicant Type:** A State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:** Federal Railroad Administration

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

***12 Funding Opportunity Number:**

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

States of Illinois and Missouri

***15. Descriptive Title of Applicant's Project:**

Chicago-St. Louis 220 mph High-Speed Rail Express Alternatives Analysis and Environmental Impact Statement

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of:		
*a. Applicant: All Il; 1st, 3rd -Mo	*b. Program/Project:	
17. Proposed Project:		
*a. Start Date: 10/1/10	9/30/12	
*b. End Date: 10/1/10		
18. Estimated Funding (\$): 10.4 million		
*a. Federal	\$8.32 million	
*b. Applicant	2.08 million	
*c. State	_____	
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	\$10.4 million	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____		
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.		
<input type="checkbox"/> c. Program is not covered by E. O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)		
<input checked="" type="checkbox"/> ** I AGREE		
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions		
Authorized Representative:		
Prefix: Mr.	*First Name: George	
Middle Name: _____		
*Last Name: Weber		
Suffix: _____		
*Title: Bureau Chief, Railroads		
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*Signature of Authorized Representative:		*Date Signed:

Application for Federal Assistance SF-424

Version 02

***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

***IDOT Chicago-St. Louis 220 mph High-Speed Rail Corridor
Alternatives Analysis and Environmental Impact Statement***

Detailed Planning Project Workplan

1. PROJECT MANAGEMENT AND ADMINISTRATION (MAJOR COMPONENT)

Organization Chart

It is important that organizational roles and relationships are identified and understood by project personnel. Keeping organization chart(s) current will aid all parties concerned. A draft organization chart is another of the attachments to the Grant Application.

Agency Coordination

Establish points of contact with project partners – the FRA, and other agencies, including federal, state and local resource agencies having jurisdiction will serve the study well. Establish protocol for periodic or milestone compliance and issues review with FRA.

Communication Protocol

Establish a communications protocol that specifies office and field communication systems to assure timely control and command of the project. Establish methods of communications acknowledgement and methods to store and recall vital program communications.

Quality Assurance/Quality Control Plan

The Quality Assurance/Quality Control Plan defines the quality procedures for items such as calculations, plan preparation, document review, change control procedures, approval processes, and quality audits. It is expected that most of the quality procedures for this project can be taken directly with little or no change from standard reference procedures that conform to the requirements for ISO 9001 quality certification.

Safety Plan

A Safety Plan will be developed that recognizes that there may be specific elements that are unique to the needs of the 220 mph, electrified high-speed rail line. For those sections of shared track (depending on the preferred alternative selected) there may also be a need to conform to a particular host railroad's requirements or operational practices, etc. Key components of this program will include training provisions, regular monitoring and certification/re-certification, and a reporting program.

Project Controls

Project control procedures will be established that provide financial, and progress information to aid in maintaining management and budget control of the project. These will also incorporate any exceptional reporting requirements associated with the agencies providing project funding.

Document Control

Document control procedures will be developed that define standards, methods, and location of storage and recall of critical project information.

Project Schedule

A Project Schedule will be established before initiating the project. This schedule will be monitored and will be modified as needed over the duration of the project.

Expected Deliverables: Organization Plan and Chart
Agency Coordination Plan
Communications Protocol
Quality Assurance/Quality Control Plan
Safety Plan
Project Control Procedures
Document Control Procedures
Project Schedule

Many of the deliverables are “living” documents that will be revised throughout the project; examples include the project schedule and the QA/QC plan. This task will be interrelated to all succeeding tasks, as it is a project function that will span the entire assignment. Schedule submittals will clearly identify key milestones, task interrelationships and major deliverables. External agency review(s) and the anticipated timeframe for these reviews will be flagged on the schedules, as well.

2. PUBLIC INVOLVEMENT (MAJOR COMPONENT)

Our approach to public involvement emphasizes the design and implementation of a flexible public involvement program that is responsive to the unique conditions surrounding this HSIPR planning study. It must provide for continuing substantive input, ensuring that public concerns get a fair hearing, as well as being one that meets all federal and local requirements. The public involvement must also be effective, so that it results in inclusive public participation that is a major contributor to the decision-making process. The public involvement approach will be documented in a public involvement plan that will include anticipated activities, their schedule, and the identification of milestones.

A fundamental component of our approach is an integrated communications strategy that is central to every aspect of the project. The communications strategy would include the use of a wide range of techniques and strategies. Rather than use a “one size fits all” approach, we would identify target “publics” and develop focused programs for these key sectors of the public. These key publics could include local elected officials, State and Congressional legislators, the general public, the business community, minority/low-income populations, and regional interest environmental and civic groups.

A wide range of techniques and strategies for public involvement are anticipated. These techniques and strategies could include:

- *Stakeholder Meetings/Briefings:* Small group meetings with targeted individuals, such as local elected officials, legislators, business groups, etc. are an effective way to discuss study issues, concerns, potential solutions, and options not favored. These stakeholder meetings/briefings often allow more focused and frank discussions.
- *Project Website* – A project website is an effective means to distribute information to a large population, attract new persons to the process, and allow for feedback. IDOT has previously established a HSIPR website, www.idothsr.org, for previous environmental assessments for HSIPR corridors in Illinois. The website (or similar) would include study information, illustrations of technologies and alternatives, frequently asked questions and answers, what’s new, how to get involved, and links to related sites.
- *Public Meetings-Hearings* – Public meetings will be conducted at key milestones in the study, such as project initiation, alternatives identification, and alternatives evaluation. A requirement for the draft environmental impact statement (DEIS) is the conduct of a public hearing. The meetings/hearing will be advertised through invitations, newspaper ads, and legal notices. The public meetings and

hearing will include brochures, comment forms, display exhibits, presentations, and staff available to answer questions. Written responses will be provided for all comments.

- *Media Strategies* – Visits to media outlets, including newspapers, radio, cable TV and other TV stations may be conducted. These meetings will serve to inform the media about the study, solicit their coverage, and explore opportunities for joint collaboration. Media releases announcing upcoming meetings or achievement of major milestones would also be prepared.
- *Project Speakers Bureau* – A speaker's bureau would be comprised of staff that will be attending meetings and giving presentations on the project. PowerPoint presentations, scripts, exhibits, and other handout material will be prepared and regularly updated during the course of the project.
- *Visualization Techniques* – The ability to effectively show the public and decision-makers how a planned transportation improvement will look when it is completed is a critical element in today's public and agency participation process. Photo simulations and videos may be developed to better portray how proposed transportation improvements will fit into a community.
- *Project Newsletters/Factsheets* – A series of newsletters and factsheets throughout the course of the project may be prepared, providing a written source of easily understood up-to-date information on the IDOT HSIPR program. These newsletters and fact sheets will be mailed out, posted on the website, and will be available for distribution at meetings and briefings.
- *Public Opinion Surveys/Focus Groups* – Surveys and focus groups can be used to periodically check the pulse of the community. The project may employ a market research firm to conduct surveys or focus groups to gain insight on community perspectives regarding the project.

Responsiveness and follow-up are, by far, the most important ingredients in a successful public involvement program. We will document every comment, answer every question, and serve as their public advocates on the team, making sure their concerns are given a fair hearing throughout. Attitude is the key: the public is not the "enemy", but rather the consumer and the taxpayer we are serving. We truly believe lay-people can make significant contributions to project development and decision-making.

Expected Deliverables: Public Involvement Plan

Report appendix, documenting public meetings, stakeholder meetings and other public involvement activities

Public Hearing for DEIS (FRA Review)

This task will be related to all others in the work plan. Public involvement will begin with the start of the process and will be a continuous effort over the life of the project.

3. DATA COLLECTION (MINOR COMPONENT)

At project initiation, data collection and the documentation of existing conditions will commence. To facilitate organization and display of this information, a geographic information system (GIS) will be used to efficiently manage this information. Data collection will include:

- Aerial photography, GIS, and other base mapping
- Socio-economic and land use information
- Environmental resources and surveys
- Transportation facility, service, and usage information
- Right-of-way and parcel information
- Previous studies, plans, and programs

A log of all data collection sources will be maintained throughout the course of the study.

Expected Deliverables: Data Collection Log

This task will be related to many others in the work plan (for example, task 4, below).

4. EXISTING AND FUTURE CONDITIONS (MINOR COMPONENT)

A study area will be identified that identifies the boundaries of the focus of the study based on the location of potential alignments. The existing and future conditions within the study area will be documented. This includes socio-economic and land use characteristics, transportation facilities and services, environmental characteristics, and relevant plans and programs.

This analysis of existing and future conditions will be used in the development of the Purpose and Need for the project, and will serve as the input for the development of the Affected Environment section of the Environmental Impact Statement.

Expected Deliverables: Technical memoranda documenting Existing and Future Conditions

This task will be related to many others in the work plan (for example, the initial identification and evaluation of alternatives, tasks 6 and 7, below).

5. PURPOSE AND NEED (MAJOR COMPONENT)

The definition of the purpose and need for project is extremely critical. The definition of purpose and need, to a large extent, determines all other aspects of the project. This includes the alternatives that are reasonable to consider, the evaluation measures that will be useful to the public and decision-makers, and the technical methods that should be employed.

The definition of the purpose and need will need to address improvements in mobility and support for economic development. This means that ridership forecasting and land use and economic analysis will play significant roles in this project. The definition of the purpose and need may require an analysis of statewide and intercity transportation demand. The purpose and need will also need to address other issues brought up by project opponents.

Expected Deliverables: Technical memoranda documenting Purpose and Need (FRA Review)

This task will be related to many others in the work plan (for example, the initial identification and evaluation of alternatives, tasks 6 and 7, below).

6. INITIAL ALTERNATIVES IDENTIFICATION (MAJOR COMPONENT)

A wide range of initial alternatives will be identified, in terms of conceptual alignment and service (including integration with existing services/modes). The initial alternatives:

- Should be responsive to the Purpose and Need
- May contain a possible mix of modes, physical facilities and operating strategies
- Will be defined to be fully competitive

- Should be significantly different from other alternatives

The alternatives development will need to consider a variety of factors, including, but not limited to:

- Right-of-way availability
- Mode/technology
- Alignment definition, including termini
- Station locations
- Intermodal connections
- Opportunities for connection to major trip generators

Expected Deliverables: Technical memoranda documenting Initial Alternatives

This task will be related to many others in the work plan (for example, the initial alternatives evaluation process in task 7, below).

7. EVALUATE INITIAL ALTERNATIVES (MAJOR COMPONENT)

The initial alternatives will be defined and evaluated. A screening process may be used to narrow the initial set of alternatives to a smaller set of alternatives for more detailed evaluation. The evaluation of the alternatives will generally consist of the following analyses:

- *Service Plans* - Initial service plans for each of the alternatives will be developed. Complete integrated service plans for the entire corridor will be defined.
 - Routings
 - Timetables
 - Stations
 - Rolling stock requirements
 - Rolling stock vehicle-miles and vehicle-hours
 - Servicing and storage facility locations
 - Intermodal connections and services

Details of the plans will be provided as input to the ridership forecasting, as well as the capital and operating cost estimates, as defined by these plans.

- *Conceptual Engineering* – A conceptual level of engineering will be performed to establish the physical feasibility of each of the alternatives, to also provide a reliable basis for cost estimates and the various impact assessments, and to enable us to present physical plans for public presentations. The conceptual engineering includes:
 - Design Criteria: criteria governing the design of a dedicated right-of-way, electrified, 220 mph intercity passenger corridor will have to be developed for this assignment. A reasonable starting point for these efforts will be the project planning and conceptual designs that have occurred to date for the proposed systems in California and Florida, as well as liaison with experienced designers from overseas systems (including Asia and Europe). The design criteria will deal with all aspects of the new rail line, including track, structures, signals, communications, electrification, stations and other support facilities, interfaces with existing rail lines, etc. Design criteria will be applied to all alternatives and the inability to meet criteria may be key in the process leading to the selection of the locally-preferred alternative.

- Develop Horizontal and Vertical Geometries: Conceptual level geometric controls and details will be developed for each alternative in accordance with the project design criteria. Plan and profiles will be shown on the base maps developed from the aerial photography. The horizontal and vertical geometries will be developed to a level such that critical horizontal and vertical clearances can be identified.
 - Develop Typical Sections: For each applicable alternative, typical sections will be developed to show representative new construction, as well as associated modifications to existing roadways and structures.
 - Develop Typical Structural Configurations and Sections: For each applicable alternative, conceptual level structural designs will be prepared for representative superstructure and substructure elements for required typical structural configurations. The constructability of each required structure type will be evaluated, and an appropriate structure type selected. Any required modifications to existing structures will be developed and any special constructability issues determined and evaluated. Existing structures may be widened in kind, depending on project requirements and site specifics.
 - Develop Special Features: Any areas which require unique or special features with regard to design and/or construction will be identified and developed conceptually to determine feasibility and cost. Key areas will include: those in the downtown core; those on airport property; and, at alignment transition areas.
 - Determine Right-of-Way Needs and Utility Relocations: The preliminary limits of the required rights-of-way and the impact that these limits will have on existing buildings, infrastructure, rail lines, utilities, businesses, residents and community activities for the alternatives will be identified. Right-of-way requirements will be determined from the limits of construction for each alternative. Using existing plans and available parcel information for the corridor, the existing rights-of-way will be identified and plotted on the base maps.
 - Stations: Station criteria, capacities and locations will be developed. Amtrak's station "Standards and Guidelines" will be used as a starting point. Minimum desirable features for a typical on-line station will be identified in order to develop a basic station footprint, so that suitable locations can be identified for each alternative. In built-up areas, the high-speed rail line may need to share tracks/right-of-way with existing rail lines to access a particularly desirable station location. These interfaces will be clearly defined, and criteria will be developed to ensure that shared-use tracks and right-of-way are kept to a minimum.
 - Storage and Maintenance Facilities: For applicable alternatives, operating criteria and suitable alternative location sites for such facilities will be developed. The service plan will be a key input to determine facility capacity and requirements by location.
- *Ridership Forecasting* - The development of credible ridership forecasts is a key component of the evaluation of alternatives. The ridership model must be thoroughly tested and validated. The mode choice forecasting component is critical to the methodology and should be calibrated to survey data and/or revealed preference evidence from current HSR corridors, such as the Northeast Corridor or the planning projects underway in California or Florida.
 - *Capital Costing* – To develop the capital cost estimates, quantities will be taken from the plan drawings that show the conceptual design of each alternative. Quantity take-offs will be done on a plan-sheet-by-plan-sheet basis, using aggregate units. The costs of these items will be estimated with the aggregate unit price for each unit and a contingency factor appropriate for the conditions and nature of the uncertainties. Other factors/allocations to be added will include those for completion of the design effort, construction management costs, agency expenses, and special allocations. For alternatives along railroad right-of-way, opportunities for cost sharing may exist. However, the railroad may also need to make physical plant improvements outside the geographic area directly affected by the alternatives, in order to minimize the effect on its traffic. Other considerations in the

area of allocations include insurance costs and/or agreements with the freight railroads (or other landholders) for right-of-way access/use. The costs of special construction (including environmental mitigation actions), systemwide components (rolling stock, electrification, signals, and communications equipment), and typical facilities will be estimated separately. Unit costs developed for other similar projects (California, Florida, etc.) will also be reviewed in this effort. Land acquisition costs will be estimated using an independent methodology and added as a lump sum line item.

- *Operating Costs* - Operations and maintenance (O&M) costs will be estimated based labor costs for operators during revenue service, on layover and while deadheading; costs of labor and parts for maintenance of vehicles; labor and material cost for right-of-way maintenance; overhead costs for supervision, management and marketing; etc. We can use average values from this database to estimate the cost of operation the proposed services on a function by function basis, including transportation, crew labor and fringe, fuel and supplies, mechanical maintenance, maintenance-of-way, administration and marketing, including revenue processing, insurance, and safety and security. We will review the cost assumptions used in the development of the California and Florida projects as a check on what is developed for the Chicago-St. Louis 220 mph rail corridor.

Possible adjustments in the cost models might arise from differences in work rules, standard operating procedures, and wage rates. Field inspection may also be required in selected locations, to ascertain particular operating conditions, or other parameters, which may affect the operations and maintenance of a given alternative.

- *Overall Evaluation Assessment* – The above evaluation analysis will be summarized in an evaluation matrix providing the information as to how each alternative performs against the evaluation measures, often as compared to the No Build Alternative.

Expected Deliverables: Technical memoranda documenting Service Plans
Technical memoranda and plans documenting Conceptual Engineering
Technical memoranda documenting Ridership Forecasting
Technical memoranda documenting Capital Costing
Technical memoranda documenting Operating and Maintenance Costs
Technical memoranda documenting overall Evaluation Assessment

This task will be related to all succeeding tasks in the work plan.

8. FINANCIAL AND ECONOMIC DEVELOPMENT ANALYSIS (MAJOR COMPONENT)

The financial analysis will identify the financial consequences and implications of the project, and to begin to set forth potential funding scenarios.

This includes identifying the initial funding requirements of the project, usually over a 20 year or more time period, and preferably in constant, rather than inflated, dollars. As such, this task forms the starting point for the financial pro-forma. Capital and operating funding streams will be represented separately. The capital funding will show expected annual contractor outlays. In the usual case, the flow of capital funds would reflect the anticipated construction schedule or phasing of the project. Later, the timing or phasing can be adjusted as one potential technique for matching expenditures with available funds.

Operating funding should include net yearly operating expenditures, net change in annual passenger trips, average fare per year, net yearly passenger revenues, net yearly non-passenger operating funding (advertising, etc.), and net yearly operating subsidy.

On the funding side, the factors that will most affect the nature of the analysis include the:

- Presence of federal funding for the project.
- Presence of dedicated state or local funds.
- Presence of dedicated private sector funds.
- Local and/or state political factors.
- Legal constraints (e.g., constitutional limits on the use of motor fuels taxes for transit).
- Other transportation proposals in the corridor and region.

The essential elements of a financial analysis are summarized below. Specifically, for each alternative considered, the following information should be assembled:

- The total cost and subsidy requirements of the project, on a cash flow basis, including both capital and operating funding.
- Estimates of potential federal funding.
- Estimates of potential state and local funding available to the project, assuming no new sources or no increases in existing sources
- Estimates of state and local funding requirements from new sources.
- A realistic inventory of new state and/or local funding sources potentially available to the project.
- Estimates of the potential yield from these sources, and the rates of tax or fee needed to satisfy the funding requirements of the project.
- Estimate of private sector funding
- Estimates of remaining "unfunded gaps", if any.

Economic Development Analysis

An economic development analysis of the alternatives will be performed to quantify, where possible, the direct and indirect economic benefits of the alternatives. This could include job creation and retention, vehicle accident reduction costs, energy savings, air pollutant emissions savings and economic savings associated with congestion reduction. Economic development impacts may also be quantified in terms of direct expenditures, consumer expenditures, land use efficiencies, property values, productivity gains and the support of strategic state and local economic development objectives. One method of forecasting near-term economic benefits, which has been used on previous, successful high-speed rail grant applications, is outlined below.

The high-speed rail project can be expected to create significant near-term economic benefits along the recommended corridor. In this task, we will forecast the near-term economic benefits for each of the possible alternatives and their surrounding regions, with the analysis being based on the Bureau of Economic Analysis (BEA) Regional Input-Output Modeling System (RIMS II) multipliers. RIMS II multipliers classify each capital cost category according to industrial sectors, using North American Industry Classification System (NAICS) industry codes, and can vary widely depending on the geographic region being analyzed. The multipliers will determine the quantity and industry composition of benefits generated by the project resulting in estimations of short-term job creation, earnings and economic output as a result of the project.

The multipliers estimate two types of impacts:

- Direct Impacts – representing new spending, hiring and production by engineering construction companies to accommodate the demand for resources in order to complete the project; and,
- Indirect/Induced Impacts – resulting from the quantity of inter-industry purchases necessary to support the increase in production from the construction industry experiencing new demand for its goods and services. All industries that produce goods and services consumed by the construction industry will also increase production and help preserve or create new jobs to meet the additional demand. The level of inter-industry trade within the area will determine the size of the indirect impact. Induced impacts stem from the re-spending of wages earned by workers benefiting from the direct and indirect activity within the area.

“Spillover” benefits, or those that reflect inter-county trade that occurs within supply industries, would also be estimate as part of this task.

Community Livability Analysis

The community livability analysis will assess the potential for developing more livable communities in the station area. Livable communities are well-designed, walkable communities with access to their community’s assets. There are a number of ways to achieve this including more dense and mixed-use development. An assessment of the presence of policies to support livable communities will be conducted.

Expected Deliverables: Technical memoranda documenting Financial Analysis
Technical memoranda documenting Economic Development Analysis
Technical memoranda documenting Community Livability Analysis

This task will be related to all succeeding tasks in the work plan.

9. DRAFT ENVIRONMENTAL IMPACT STATEMENT (MAJOR COMPONENT)

A Draft Environmental Impact Statement (DEIS) will be prepared and will include: project history; purpose and need; public involvement and agency coordination activities; feasible alternatives considered; results of environmental field studies; impacts of the feasible alternatives; proposed mitigation; and, Section 4(f) evaluations. Each category of technical studies will be summarized in the DEIS. A discussion of methodology used to identify issues, an analysis of environmental impacts of each alternative, and a list of mitigation measures to address environmental impacts will be presented in the document. It is assumed that a matrix will be produced summarizing the impacts.

The DEIS is anticipated to include the following sections:

- S. Summary
 - 1. Purpose and Need
 - 2. Affected Environment
 - 3. Alternatives
 - 4. Transportation Impacts
 - 5. Environmental Consequences
 - 6. List of Preparers
 - 7. Distribution
 - 8. Comments and Coordination
- A. Various Appendices

A Notice of Intent (NOI) will be prepared and published in the Federal Register by the FRA to signal the initiation of an Environmental Impact Statement.

Scoping

The scoping process invites affected federal, state, and local agencies and any other interested persons and organizations to participate in identifying the range of alternatives and determining the significant issues to be addressed and the depth of analysis. The process may be accomplished by the circulation of materials or by holding a scoping meeting or a combination of both.

A scoping information document will be prepared that will include the following elements:

- Introduction describing the study background
- Study purpose and need
- Range of alternatives to be considered
- Possible significant issues to be analyzed
- Proposed evaluation process
- Public involvement program

Appropriate graphics depicting the study process and the alternatives will be developed by the PB Team to facilitate communication of the information.

An agency scoping meeting with federal, state, and local officials and agencies will be conducted to inform them of the above information, and to solicit feedback on any issues or concerns regarding the study. Public scoping will be performed in conjunction with a public informational meeting for the project. The input received from the scoping process will be summarized, as well as provide copies of the actual comment forms, transcriptions, phone messages, e-mails, and letters received. Based on this input, as well as input, recommendations for any refinement of the alternatives, proposed evaluation process, and public participation program will be developed.

Affected Environment/Environmental Consequences

The affected environment section provides information on the existing resources and condition of the environment. Generally this section focuses on the important issues in order to provide an understanding of the study area relative to the impacts of the alternatives. The affected environment should discuss, commensurate with the importance of the potential impacts, the existing social, economic, and environmental settings surrounding the project, including the identification of environmentally sensitive features in the study area. The Environmental Consequences section describes the impacts of the alternatives on the environment and documents the methodologies used in evaluating these impacts. It describes both the impacts of the proposed action and the potential measures that could be taken to mitigate these impacts. Mitigation must be considered for all impacts, regardless of their significance.

The following environmental impact areas are anticipated:

Land Use

Recent aerial photography of the corridor will be reviewed and local land use plans and existing/proposed land use maps will be collected and reviewed to reaffirm the project's conformance with local land use plans. GIS will be used to map existing land use. Planned changes in general land use adjacent to the corridor will be discussed as reported in approved local planning documents. These data and analysis will provide the baseline for evaluating indirect and cumulative land use effects

Farmland

Impacted farmland protected under the Farmland Preservation Policy Act (FPPA) will be identified. GIS will be used to map soil types and calculate total acres of farmland required for proposed additional right-of-way.

Right-of-way and Displacements

The number of residences and commercial establishments that will be impacted will be identified. Residential, business and other land use displaced as a result of the project will be confirmed by using aerial photography.

Social/Economic

Existing socioeconomic conditions within the project area will be analyzed. Population data will be updated using US Census Bureau data, including 2000 decennial census data, American Community Survey recent year county/city estimates, and local level, recent year, census-based estimates from a private source. Locations and conditions of community facilities, local communities and neighborhoods adjacent to the corridor will be researched from available sources and maps. Existing conditions of areas likely to experience the most significant right-of-way impacts will be described in greater detail than areas experiencing low levels of impact, which will be described generally.

A regional economic profile of areas affected by the project will be developed. The profile will focus on areas surrounding proposed new stations. Existing planning studies and other secondary sources will be reviewed and used to develop a qualitative discussion of the economic impacts of the project. This discussion will be general due to the size of the project area. Localized social and economic impacts of business and residential impacts will be discussed.

Environmental Justice

The standard for assessing impacts for environmental justice is “disproportionately high and adverse” but the standard for identifying environmental justice populations is if minority populations either: (1) constitute 50% or more of the area population; or, (2) occur in “meaningfully greater” proportions than in the greater reference area population (such as county level) and if below-poverty populations exceed the reference area percentages. Impacts to environmental justice and disadvantaged populations will be determined for the alternatives. This impact assessment will determine if the impacts to these populations are disproportionately higher compared to impacts to other populations. Information from scoping and public meetings will also be used to identify the presence of environmental justice populations and to help assess the magnitude of potential impacts. The results of analyses of effects on the human environment in general, including Displacements, Social and Economic, Noise, Visual, etc. will need to be taken into consideration in determining adverse impacts on minority and low-income populations.

Noise and Vibration

Noise Impact Assessment: A noise analysis will be performed for the alternatives. The impact assessment will be completed utilizing the procedures and methodologies described in the 2005 FRA guidelines for high speed rail systems. Locations where future build noise exposure levels are projected to exceed FRA impact limits will be identified, the feasibility and reasonableness of noise barriers will be evaluated for their cost and acoustic effectiveness in accordance with IDOT noise abatement policy guidelines. The abatement analysis will be limited to residential areas where sufficient existing housing density occurs to warrant mitigation consideration. The noise analysis findings will be summarized in a noise technical report.

Vibration Impact Assessment: Vibration impact assessment will be completed at representative vibration sensitive buildings identified along the project study area corridor. It is assumed that no vibration measurements will be required. Some vibration assessment sites may be noise impact assessment sites, others may be historic or other non-noise sensitive properties identified within the project study area. The vibration impact assessment will be completed in conformance with the impact criteria and analysis procedure described in Chapters 7 and 8 of the FRA manual.

Electromagnetic Fields and Electromagnetic Interference

Depending on the vehicle technology used for the alternatives, an analysis of the potential impacts of electromagnetic fields may be conducted. Although there are no federal or State regulatory limits for electromagnetic exposure, voluntary standards have been developed by the International Committee on

Electromagnetic Safety (ICES), which is sponsored by the Institute of Electrical and Electronic Engineers (IEEE). These standards are based on studies of electrostimulation. Electromagnetic fields would be considered an impact if it exposed people to a documented health risk or interfere with implanted biomedical devices.

Energy

A comparison of energy use for the No Build versus the Build Alternatives will be performed. It is anticipated that direct energy consumption in terms of fuel or electricity used.

Air Quality

An air quality analysis will be performed for the alternatives. Depending on the type of vehicle technology used, this could include the estimation of locomotive emissions along the corridor, and offsets for diverted travelers from autos. For diesel locomotives, the increased diesel locomotive emissions, these increases are expected to be off-set by decreases in regional mobile source vehicle miles of travel. An analysis will be conducted that would estimate the changes that the project would have on regional air quality, including annual emissions of criteria pollutants, air toxics, and greenhouse gases (GHG).

Water Quality

Projects of this length will cross a number of streams and each stream will require a description of the aquatic ecosystem and its water quality, together with any impacts to the stream or its water quality. It is expected that the Build Alternatives will likely span all streams and its design will include safeguards to protect the water from pollutants in runoff and spills.

Wetlands

A review of secondary source information detailing the location of wetlands will be performed, followed by field inspection, if necessary. Coordination with the U.S. Army Corps of Engineers will be conducted.

Floodplains

Floodplains and floodways mapped by the Federal Emergency Management Agency (FEMA) within the project area will be identified. Impacts to the FEMA 100-year floodplains and floodways by the feasible alternatives will be determined and measures to avoid, minimize, and/or mitigate will be determined.

Threatened and Endangered Species (and other biological resources)

Endangered or threatened species, including their habitat, will be identified within the study area. Coordination with the U.S. Fish and Wildlife Service will also be conducted.

Permits and Certifications

Permits or certifications will be required, depending on the nature of the impact. A list of the required permits and certifications will be documented. Some of these permits/certifications may be obtained during the design phase of project development, and others may be obtained during the construction and operation phases. The following permits and certifications, and others, may be required for this project: A Section 404 permit will be likely be required for one or more locations. The Joint Application Form developed by the US ACE, IEPA, and IDNR-Office of Water Resources will be used. Section 401 Water Quality Certification and IDNR-Office of Water Resources permit for Construction in Floodways of Rivers, Lakes, and Streams will also likely be required. A Section 402 National Pollutant Discharge Elimination System construction permit will also be required.

Historic Architectural Resources

In accordance with the Section 106 of the National Historic Preservation Act, Executive Order 11593, architectural historians will identify potential significant historic architectural properties so that project planning can be undertaken to minimize impacts to any such resources. Close coordination with the

State Historic Preservation Office (SHPO) and FRA, as well as other consulting parties including local governmental agencies, will be maintained. Specific cultural resources concerns of the SHPO and other consulting parties will be identified and addressed as part of the cultural resources component of the project. The project will be evaluated with respect to Section 106 of the National Historic Preservation Act of 1966 (as amended) and Section 4(f) requirements to consider impacts to historic resources for federally funded or licensed undertakings. To determine if built resources are historic, they must be listed in or eligible for listing in the National Register of Historic Places (NRHP) using established criteria.

Archeology and Traditional Cultural Properties (TCP)

IDOT will check their latest database to see if there are any high probability archaeological areas located in the study area.

Hazardous Waste

Contamination may be within the corridor, or migrating into the corridor from an adjacent or nearby site. The EIS will evaluate the risk posed by nearby contamination and not just those within the corridor. An EDR report of the railroad corridor will be used. This task will also identify environmental risks posed by facilities based on: proximity to railroad corridor; whether acquisition of property will be required for improvements; likely contamination that may be present based on the information in the database; common distance to which suspected contaminants migrate; and the likely medium (soil, groundwater, surface water, dust, etc.) containing contaminants, and the possible pathways and receptors of contaminant migration

Visual and Aesthetic Resources

An analysis of visual and aesthetic resources will be performed for the project. It will focus on applying visual quality criteria to establish distinct landscape units and define their quality, describe the general location of resident and transient viewers, and identify view shed limits as the basis for the impact assessment. Impacts will be assessed for resident and transient viewers with mitigation recommendations provided where increased levels of impact are anticipated.

Section 4(f) and 6(f) Properties

Available information from public entities (cities, counties, states, etc.), maps, and the National Park Service's Land and Water Conservation Fund grant webpage will be used to confirm and update the identification of public parks, recreation areas and wildlife refuges. The presence of significant historic properties will be determined by reviewing the results of the Section 106 historic and archeological studies conducted for this EIS. Impacts to any Section 4(f) or 6(f) property potentially affected will be documented, and a preliminary determination of 4(f) impact provided, taking into consideration regulatory provisions for de minimis 4(f) impacts and established programmatic agreements. GIS will be used for overlay mapping of any 4(f) or 6(f) properties subject to potential use by the proposed alternatives.

Public Health and Safety

Safety refers to the prevention of accidents to passengers or employees. For intercity passenger rail, system safety is typically governed by the configuration of the alignment (i.e. at-grade crossings) and by the type of control system (fully, partly, or non-automated). The system safety documentation will be reviewed to extract the appropriate information appropriate for the EIS. Proposed grade crossings will be evaluated according to IDOT, FRA, and any other appropriate agency (Illinois Commerce Commission) or entity with authority or jurisdiction to ensure safe surface or grade separated operation.

Public security refers to the prevention of acts defined as unlawful, criminal or intended to harm another person or damage property. This also refers to freedom from threats or uncertainty about the likelihood of such acts. Crime statistics, if available, will be cited to provide an estimate of the degree of security that

is offered to the patron in relation to general background criminal activity levels. Design mitigations to reduce the likelihood of criminal activity will be identified. The security impact based on technology-dependent factors and based on other factors such as station conceptual layouts will be identified and documented in the EIS.

Indirect and Cumulative Impacts

Indirect and cumulative impacts will be assessed and documented in the EIS. This assessment of indirect and cumulative impacts will focus on potential development at stations and known major development projects (private and public) in combination with the rail project. Economic development data will be utilized to address the potential for station area development impacts related to land use plan compatibility, loss of or disruption of neighborhoods, environmental justice (from data gathered for the socioeconomic impacts), known historic resources within 1/4-mile of stations (from existing GIS or other data bases), known sensitive natural resources within 1/4-miles of stations (from existing GIS or other data bases), and traffic congestion (based on traffic impact at station findings prepared under other tasks). It is expected that the impacts will be described in non-numeric terms. The amount of detail in the assessment will depend upon the detail of the economic development data available.

Construction Impacts

IDOT will develop a construction scenario, detailing typical construction techniques, equipment and timing, and construction staging areas that will be used to evaluate construction impacts and mitigation measures. Graphics will be used to assist in the description of the project construction activities and impact, where appropriate. The results of this assessment will be documented in the EIS.

Expected Deliverables: Draft and Final versions of the DEIS (FRA Review)

This task will be related to all succeeding tasks in the work plan.

10. PREFERRED ALTERNATIVE SELECTION (MAJOR COMPONENT)

Based on the above technical analysis and public input, IDOT and FRA will make a preliminary recommendation for a preferred alternative. This preliminary recommendation will include a description of the recommended facilities and services, and the recommended means to fund, operate, and manage the facilities and services. At the discretion of IDOT and FRA, the preliminary recommendation will be transmitted to other agencies, units of government for review and comment. Based upon comments received, the preliminary recommendations will be adjusted, if necessary, and a final preferred alternative would be endorsed by IDOT and FRA.

Expected Deliverables: Technical memoranda on Preferred Alternative Selection (FRA Review)

This task will be related to all succeeding tasks in the work plan.

11. FINAL ENVIRONMENTAL IMPACT STATEMENT (MAJOR COMPONENT)

A Final Environmental Impact Statement (FEIS) will be prepared that will include the selection of a preferred alternative. The format of the FEIS will parallel that of the DEIS. The FEIS will also document how other agencies' concerns have been resolved regarding mitigation and permit activities, and contain responses to comments and issues received during the DEIS comment period.

A Record of Decision (ROD) will be prepared that explains the project decision as completely as possible based on information contained in the EIS, together with alternatives considered, measures to minimize harm, any monitoring or enforcement program that has been adopted for specific mitigation measures, and summarize the basis for any 4(f) approval if applicable. Sign-off on the ROD is expected to be by the FRA and IDOT.

Expected Deliverables: Draft and Final versions of the FEIS (FRA Review)
Record of Decision (FRA Review)

12. SERVICE DEVELOPMENT PLAN (MAJOR COMPONENT)

Based on the above analytical results for the preferred alternative, a Service Development Plan will be prepared. The components of the Service Development Plan will include:

- *Corridor Development Program Rationale* – a description of the corridor’s transportation challenges and opportunities, including consideration of multimodal system alternatives, an assessment of costs, benefits, impacts, and risks, and synergies with larger scale goals and development plans of the service region in order to demonstrate how the proposed corridor will cost-effectively address transportation and other needs.
- *Service Plan* – a description of the proposed train service to be provided during each implementation phase, including service frequency, timetables, station locations, intermodal connections, and train consists. The development of the service plan will be based upon relevant operational analyses, railroad operation simulations, ridership forecasts, and equipment and crew scheduling analysis, based upon the anticipated future characteristics of service in the corridor.
- *Capital Investment Needs Assessment* – a description of the infrastructure, rolling stock, and facilities improvements required for each implementation phase of the program, including cost estimates for the capital investments required to achieve the service plan.
- *Financial Forecast* – a description of the financial assumptions and projections for each implementation phase. This will include documentation of the assumptions, methods, and outputs for these projections, including ridership forecasts, revenue, operating expenses, general administrative expenses, federal, state, and local funding sources, and other cost-sharing arrangements with the private sector and other entities.
- *Public Benefits Assessment* – a description of the user and non-user benefits and the economic value of those benefits. These benefits would include job creation and retention, travel time and economic savings, environmental and energy benefit outcomes, and impacts of community livability.
- *Program Management Approach* - a description of the phased program implementation strategy for the 220 mph Chicago to St. Louis high speed rail corridor, including proposed project/program management approach to ensure quality, cost and budget control, and financing and organizational plans.

The Service Development Plan will be packaged as an investment grade document for decision-making. It will include an investment grade business plan and the planning and implementation document for the Chicago-St. Louis 220 mph HSR corridor.

Expected Deliverables: Draft and Final Service Development Plan (FRA Review)

**U.S. Department of Transportation
Federal Railroad Administration**

**Certifications Regarding Debarment, Suspension and Other Responsibility Matters,
Drug-Free Workplace Requirements and Lobbying**

**PART A: Certification Regarding Debarment, Suspension and Other Responsibility Matters – Primary Covered Transactions
(Pursuant to 2 CFR Part 180)**

- (1) The grantee certifies to the best of its knowledge and belief, that it and its principles:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them 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 antitrust 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 paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the grantee is unable to certify to any of the statements of this certification, he or she shall attach an explanation to this application.

PART B: Certification Regarding Drug-Free Workplace Requirements (Pursuant to 49 CFR Part 32)

- A. The grantee certifies that it will or continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (e) and (f).

B. The grantee may insert in the space below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

PART C: Certification Regarding Lobbying (Pursuant to 49 CFR Part 20)

CHECK IF APPLICABLE
CERTIFICATION IS FOR THE AWARD OF A GRANT OR COOPERATIVE AGREEMENT EXCEEDING
\$100,000
OR
A FEDERAL LOAN EXCEEDING \$150,000

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

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

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award document for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 USC 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the certifications in Parts A, B, and C (if C is applicable) are true.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE

BUDGET INFORMATION – Non-Construction Programs

OMB Approval No. 4040-0006

Expiration Date 04/30/2008

SECTION A – BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1	Tier 1 EIS	\$	\$	\$ 3.20*	\$ 0.80	\$ 4.00
2	Ser. Dev. Plan			5.12	1.28	6.40
3						
4						
5.	Totals	\$		\$ 8.32	\$ 2.08	\$ 10.40
SECTION B – BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM FUNCTION OR ACTIVITY					Total
	(1) Tier 1 EIS	(2) Ser. Dev PI	(3)	(4)	(5)	
a. Personnel	2.24	3.58			\$ 5.82	
b. Fringe Benefits	.73	1.16			1.89	
c. Travel	.08	.12			0.20	
d. Equipment	0	0			0	
e. Supplies	.07	.12			0.19	
f. Contractual	.07	.12			0.19	
g. Construction	0	0			0	
h. Other	0	0			0	
i. Total Direct Charges (sum of 6a – 6h)	3.19	5.10			8.29	
j. Indirect Charges	.81	1.30			2.11	
k. TOTALS (sum of 6i and 6j)	4.00	6.40			10.40	
7. Program Income	0				0	

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Standard Form 424A (Rev. 7/97)
Prescribed by OMB (Circular A-102)

SECTION C – NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	Tier One EIS	\$	\$ 0.80	\$	\$ 0.80
9.	Service Development Plan		1.28		1.28
10.					
11.					
12.	TOTAL (sum of lines 8-11)	\$	\$ 2.08	\$	\$ 2.08
SECTION D – FORECASTED CASH NEEDS					
13. Federal	Total for First yr.	1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
	\$ 2.4	\$ 0.60	\$ 0.60	\$ 0.60	\$ 0.60
14. Non-Federal	\$ 0.6	\$ 0.15	\$ 0.15	\$ 0.15	\$ 0.15
15. TOTAL (sum of lines 13 and 14)	\$ 3.0	\$ 0.75	\$ 0.75	\$ 0.75	\$ 0.75
SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	(d) Fourth
16.	EIS/Service Development Plan	\$ 7.4	\$	\$	\$
17.	Preliminary Engineering		612.5	612.5	
18.	Final Design/Construction				5425
19.					
20.	TOTAL (sum of lines 16-19)	\$ 7.4	\$ 612.5	612.5	5425
SECTION F – OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges			
23. Remarks:	Line 18-Final Design/Construction has a 3 year overall duration				

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Standard Form 424A (Rev. 7-97) page 2

* All Costs Stated in Millions of Dollars

CCO FORM:

Approved: 08/09 (AMB)

Revised:

Modified: 09/09 (JSC)

Memorandum of Understanding
Between Illinois Department of Transportation and the Missouri Highways and
Transportation Commission
for the
Chicago Hub (Chicago to St. Louis) High Speed Rail Corridor to
Construct the MWRRI Implementation Improvements in Illinois's Track 2
American Recovery and Reinvestment Act of 2009 Application
October 1, 2009

THIS MEMORANDUM OF UNDERSTANDING (hereinafter, "MOU") is entered into by the Missouri Highways and Transportation Commission (hereinafter, "Commission") and the Illinois Department of Transportation (hereinafter, "ILDOT").

WHEREAS, The Commission and ILDOT desire to achieve reliable passenger rail service, reduce passenger and freight conflicts, and improve freight rail operations on the Chicago Hub (Chicago to St. Louis) High Speed Rail Corridor; and

WHEREAS, ILDOT in partnership with the states of Michigan, Indiana, Iowa, Minnesota, Missouri, Ohio, Wisconsin, the City of Chicago, and Amtrak is planning to implement high speed passenger rail service in the Midwest and specifically in the railroad corridor between Chicago, Illinois and St. Louis, Missouri on tracks owned by Amtrak, Canadian National (CN), Union Pacific (UP), Kansas City Southern (KCS), and Terminal Railroad Association (TRRA); and

WHEREAS, ILDOT is designated as the lead state in submitting a Track 2 High Speed Intercity Passenger Rail (HSIPR) application to the Federal Railroad Administration (FRA) for American Recovery and Reinvestment Act of 2009 (ARRA) funding; and

WHEREAS, ILDOT is applying for Track 2 ARRA funding under a grant named *MWRRI Implementation Application – Chicago to St. Louis Double Main* to design and construct railroad infrastructure improvements for improved intercity passenger rail service between Chicago, Illinois and St. Louis, Missouri; and

WHEREAS, the Commission has the legal authority to contract for rail construction improvements within the State of Missouri; and

WHEREAS ILDOT has the legal authority to contract for rail construction improvements within the State of Illinois; and

WHEREAS, Amtrak currently operates five intercity trains per day between St. Louis, Missouri, and Chicago, Illinois, in the same corridor; and

WHEREAS, the federal ARRA funds which ILDOT has applied for in its Track 2 HSIPR application to construct the projects referenced in this MOU will be disbursed to each state for their respective projects; and

WHEREAS, funding for this application will be conducted under a competitive process through FRA with cooperation among affected stakeholders being essential to obtaining the funding.

NOW, THEREFORE, the Commission and ILDOT agree that if federal ARRA funds are made available upon FRA approval of the Illinois Track 2 HSIPR application, then the Commission and ILDOT agree to perform the following actions:

(1) PROJECTS IMPACTED: The Commission and ILDOT agree to administer and construct the following projects approved in the Track 2 HSIPR application within the deadlines set forth in the ARRA requirements:

(A) Illinois – Reconstruction of existing main track CN, UPRR, KCS,
TRRA;

(B) Illinois – New construction and rehabilitation of numerous sidings
on UPRR;

(C) Illinois – New construction of additional main track Joliet to Wann
UPRR;

(D) Illinois – Rail Flyover in Springfield UPRR, NS;

(E) Missouri – Track improvements in the St. Louis Terminal area
within Missouri's boundary of the TRRA;

(F) Missouri – Train maintenance facilities improvements within
Missouri for the additional high speed trains in St. Louis

(G) Missouri – Train Storage track improvements within Missouri on the
St. Louis UPRR

(H) Illinois – Station improvements at Joliet, Dwight, Pontiac, Lincoln,
Springfield, Carlinville, Alton, and East St. Louis

(I) Illinois - Purchase train sets to accomplish the goals of the ARRA
applications

(2) FUND ADMINISTRATION: All of the ARRA funds obtained under the Track 2 HSIPR application shall be administered by the respective state in which the project is located and for which such ARRA funds have been designated. Such state shall be solely responsible for the expenditure of allocated ARRA project costs associated with the above-mentioned projects located within such state.

(3) PROJECT ADMINISTRATION: The Commission and ILDOT further agree that the state in which the projects listed in this Section (1) are located shall be solely responsible for administering such projects under all appropriate and applicable federal and respective state laws.

(4) DURATION AND TERMINATION OF MOU: If no ARRA funds are made available for the above-mentioned projects, this MOU shall terminate of its own accord.

(5) NOTICES: Any notice or other communication required or permitted to be given hereunder shall be in writing and shall be deemed given three (3) days after delivery by United States mail, regular mail postage prepaid, or upon receipt by personal or facsimile delivery, addressed as follows:

- (A) To ILDOT: George Weber
Bureau of Railroads Chief
Illinois Department of Transportation
100 West Randolph Street
Suite 6-600
Chicago, IL 60601
Facsimile No: (312) 793-1251

- (B) To Commission:
Rod Massman
Administrator of Railroads
Missouri Department of Transportation
P.O. Box 270
2217 St. Mary's Boulevard
Jefferson City, MO 65102
Facsimile Number: (573) 526-4709

or to such other place as the parties may designate in accordance with this MOU. To be valid, facsimile delivery shall be followed by delivery of the original document, or a clear and legible copy thereof, within three (3) business days of the date of facsimile transmission of that document.

(6) COMMUNICATION BETWEEN PARTIES: The Commission shall promptly notify ILDOT, and ILDOT shall promptly notify the Commission, of any development, including actions by or communications from FRA or any stakeholder, that could materially impact: the Illinois Track 2 HSIPR Application; funding for the Projects or for their implementation; or the completion or implementation of the Projects.

(7) ENTIRE AGREEMENT: This MOU constitutes the entire agreement between the parties regarding this subject and supersedes any and all prior representations, understandings or agreements between the parties, whether oral or written, concerning the subject matter hereof.

(8) COMMISSION REPRESENTATIVE: The Commission's Director of Multimodal Operations is designated as the Commission's representative for the purpose of administering the provisions of the MOU. The Commission's representative may designate by written notice other persons having the authority to act on behalf of the Commission in furtherance of the performance of the MOU.

(9) ILDOT REPRESENTATIVE: ILDOT's Rail Bureau Chief is designated as ILDOT's representative for the purpose of administering the provisions of the MOU. ILDOT's representative may designate by written notice other persons having the authority to act on behalf of Amtrak in furtherance of the performance of this MOU.

(10) AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009: The Commission and the ILDOT agree to abide by the provisions of the American Recovery and Reinvestment Act of 2009 (**ARRA**) (Pub.L. 111-5, 2009 H.R. 1).

(11) FINANCIAL SUMMARY: Both the Commission and ILDOT may request a financial summary of the total funds allocated under the Track 2 HSIPR Application, including, but not limited to, allocations of funds on a project-by-project basis.

[Remainder of Page Intentionally Left Blank]

IN WITNESS WHEREOF, the parties have entered into this MOU on the date last written below.

Executed by ILDOT this 1st day of October, 2009.

Executed by the Commission this 14 day of October, 2009.

MISSOURI HIGHWAYS AND
TRANSPORTATION COMMISSION

ILLINOIS DEPARTMENT OF
TRANSPORTATION

By: [Signature]

By: [Signature]

Title: Chief Engineer

Title: Secretary

ATTEST:

[Signature]
Secretary to the Commission

ATTEST:

[Signature]
By: [Signature]
Title: Assistant to Secretary

Approved as to Form:

[Signature]
Commission Counsel

Approved as to Form:

[Signature]
By: [Signature]
Title: Chief Counsel

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance 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 described in this application.
2. Will give the awarding agency, 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 time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) 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.); (f) 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.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Completed on submission to Grants.gov</p>	<p>* TITLE</p> <input data-bbox="873 1360 1495 1402" type="text"/>
<p>* APPLICANT ORGANIZATION</p> <input data-bbox="103 1472 850 1514" type="text"/>	<p>* DATE SUBMITTED</p> <p>Completed on submission to Grants.gov</p>



Wisconsin

Lake Michigan

Chicago

Iowa

Illinois

Indiana

St Louis

Missouri

Kentucky

Description of Corridor Service
IDOT 220 MPH Chicago-St. Louis Study Area
Question A(4) of Application



Illinois Department
of Transportation

