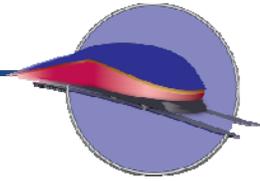


Project Name: Date of Submission: Version Number:

High-Speed Intercity Passenger Rail (HSIPR) Program

Application Form



Track 1a–Final Design (FD)/Construction

& Track 4–FY 2009 Appropriations Projects

Welcome to the Track 1a Final Design (FD)/Construction and Track 4 Application for the Federal Railroad Administration’s High-Speed Intercity Passenger Rail (HSIPR) Program. Applicants for Track 1a FD/Construction and/or Track 4 are required to submit this Application Form and Supporting Materials (forms and documents) as outlined in Section G of this application and in the HSIPR Guidance.

We appreciate your interest in the program and look forward to reviewing your application. If you have questions about the HSIPR program or this application, please contact us at HSIPR@dot.gov.

Instructions:

- Please complete the HSIPR Application electronically. See Section G for a complete list of the required application materials.
- In the space provided at the top of each section, please indicate the project name, date of submission (mm/dd/yy) and the application version number. The distinct Track 1a and/or Track 4 project name should be less than 40 characters and follow the following format: State abbreviation-route or corridor name-project title (e.g., HI-Fast Corridor-Track Work IV).
- For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your FD/Construction Project, please indicate “N/A.”
- Narrative questions should be answered concisely within the limitations indicated.
- Applicants must upload this completed application and all other application materials to www.GrantSolutions.gov by August 24, 2009 at 11:59pm EDT.
- Fiscal Year (FY) refers to the Federal Government’s fiscal year (Oct. 1- Sept. 30).
- Please direct questions to: HSIPR@dot.gov

A. Point of Contact and Applicant Information

(1) Application Point of Contact (POC) Name: Mr. George E. Weber		POC Title: Bureau Chief - Railroads		
Street Address: 100 West Randolph Street, JRTC- Suite 6-600	City: Chicago	State: IL	Zip Code: 60601	Telephone Number: (312)793-4222
Fax: (312)793-1251		Email: george.weber@illinois.gov		

(2) **Name of lead State or organization applying** (*only States may apply for Track 4*): Illinois Department of Transportation

(3) **Name(s) of additional States and/or organizations applying in this group** (*if applicable*): Michigan, Indiana, Ohio, Wisconsin, Iowa, Missouri, Nebraska, Minnesota

(4) **Is this project for which you are applying for HSIPR funding related or linked to additional applications for HSIPR funding that may be submitted in this or subsequent rounds of funding?** Yes No Maybe
If “yes” or “maybe,” provide the following information:

Program/Project Name	Lead Applicant	Track	Total HSIPR Funding Proposed (<i>if known</i>)	Status of Application
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied

Project Name: IL-CREATE P1 Date of Submission: 08/24/09 Version Number: 1

B. Project Overview

<p>(1) FD/Construction Project Name: IL-CREATE P1</p>
<p>(2) Indicate the Track under which you are applying: Track 1a - FD/Construction <i>Please note if you are applying for Track 1a–FD/Construction and Track 4 <u>concurrently</u>, you must submit two separate versions of this application into www.GrantSolutions.gov (one for Track 1a –FD/Construction and one for Track 4–FY 2009 Appropriations Projects).</i></p>
<p>(3) Indicate the activity(ies) for which you are applying (check both if applicable):</p> <p style="text-align: center;"> <input type="checkbox"/> Final Design <input checked="" type="checkbox"/> Construction </p>
<p>(4) What are the anticipated start and end dates for the FD/Construction Project? (mm/yyyy)</p> <p style="text-align: center;"> Start Date: 10/2010 End Date: 9/2012 </p>
<p>(5) Total Cost of the FD/Construction Project (year of expenditure (YOE) Dollars*): \$ 140M</p> <p>Please provide proposed inflation assumptions and methodology, if applicable in the space below. Please limit response to 1,000 characters.</p> <p>Inflation is assumed to be 4.5% each year. This level was suggested by AAR for use in all rail projects, specifically CREATE rail projects. CREATE stakeholders including IDOT, CDOT & FHWA have accepted 4.5% inflation per year as suitable for planning purposes. The project expenditures have been allocated to the years 2010 (15%), 2011 (45%) & 2012 (40%)</p> <p>Of the total cost of the FD/Construction Project, how much would come from the FRA HSIPR Program: (YOE Dollars**) \$ 133M (YOE = 2010/2012) CREATE Design Approval Cost Estimate and Schedule Form 3.1 attached</p> <p>Indicate percentage of total cost to be covered by <u>matching funds</u> 5 % <i>Applications submitted under Track 4 require at least a 50 percent non-Federal match to be eligible for HSIPR funding.</i></p> <p><small>* Year-of-Expenditure (YOE) dollars are inflated from the base year. ** This is the amount for which the applicant is applying.</small></p>
<p>(6) Project Overview Narrative. <i>Please limit response to 5,000 characters.</i></p> <p>Provide an overview of the main features and characteristics of the FD/Construction Project, including:</p> <ul style="list-style-type: none"> • The location of the project including name of rail line(s), State(s), and relevant jurisdiction(s) (include map if available in supporting documentation). • Identification of service(s) that would benefit from the project, the stations that would be served, and the State(s) where the service operates. • How the project was identified through a planning process and how the project is consistent with an overall plan for developing High-Speed Rail/Intercity Passenger Rail service. • How the project will fulfill a specific purpose and need in a cost-effective manner. • The project’s independent utility. • The specific improvements contemplated. • Any use of railroad assets or rights-of-way, and potential use of public lands and property. • Other rail services, such as commuter rail and freight rail that will make use of, or otherwise be affected by, the project. <p style="text-align: center;">CREATE Project P1 is located at the Englewood Interlocking (on the tracks elevated over 63rd and State Streets); where Metra’s Rock Island District mainline crosses Norfolk Southern’s Dearborn Division “Chicago Line” mainline at grade. It’s located entirely within the city limits of Chicago, in Cook County, Illinois, and bounded roughly by 57th Place on the north,</p>

69th Street on the south, State Street on the east and Yale Avenue on the west. The NS mainline at this location is also a major right-of-way for Amtrak intercity passenger trains between Chicago and points east and part of an FRA designated HSR Corridor.

Direct benefits would accrue to following Amtrak intercity services:

- Michigan Services (between Chicago and various Michigan locations).
 - o Illinois: Chicago
 - o Indiana: Hammond-Whiting, Michigan City
 - o Michigan: Niles, Dowagiac, Kalamazoo, Battle Creek, East Lansing, Flint, Durand, Lapeer, Port Huron, Jackson, Ann Arbor, Dearborn, Detroit, Royal Oak, Birmingham, Pontiac, New Buffalo, St. Joseph, Bangor, Holland, Grand Rapids
- Lake Shore Limited
 - o Illinois: Chicago
 - o Indiana: South Bend, Elkhart, Waterloo
 - o Ohio: Toledo, Sandusky, Elyria, Cleveland, Alliance
 - o Pennsylvania: Erie
 - o New York: Buffalo, Rochester, Syracuse, Utica, Schenectady, Albany-Rensselaer, Hudson, Rhinecliff-Kingston, Poughkeepsie, Croton-Harmon, New York City
- o Massachusetts: Pittsfield, Springfield, Worcester, Framingham, Boston
 - Capital Limited
 - o Illinois: Chicago
 - o Indiana: South Bend, Elkhart, Waterloo
 - o Ohio: Toledo, Sandusky, Elyria, Cleveland, Alliance
 - o Pennsylvania: Pittsburg, Connellsville
 - o Maryland: Cumberland, Rockville
 - o West Virginia: Martinsburg, Harpers Ferry
 - o District of Columbia: Washington

With the completion of CREATE Project P4, Amtrak plans to reroute the Illini and Saluki, operating daily between Chicago and Carbondale, Illinois, and the City of New Orleans, operating daily between Chicago, Illinois and New Orleans, Louisiana, through this interlocking. The reroute of these trains cannot be accomplished without the completion of Project P1.

In addition to current Amtrak service, four High-Speed Rail Corridors of the “Chicago Hub Network” will pass through this location. The MWRRS understands that the Englewood Flyover is needed to relieve a major chokepoint between Chicago Union Station and points east and south. Completion of the CREATE Project P1 is the keystone to any service expansion to the east.

This project will eliminate significant delays between Metra Rock Island District trains, Amtrak passenger trains and NS freight trains at Englewood. This will result in improved schedule reliability for current Amtrak and Metra trains, as well as future MWRRS trains. Several design alternatives were evaluated including elevating the NS tracks over Metra, but the final project design was found to be the most cost-effective option. This project is a stand-alone project that does not require any additional or related projects.

The project scope includes construction of the flyover and approach bridges, embankment, retaining walls, relocated main tracks, temporary running tracks, yard track relocations and associated infrastructure improvements to support 3 new grade separated tracks to carry Metra operations over the 4 tracks of NS(3 existing & 1 future), 2 future tracks for the Midwest High Speed Rail Initiative. Signal improvements (interlocking) benefiting Amtrak and Norfolk Southern and Metra. Existing Englewood crossing diamonds to be removed.

Most of the new elevated structure, or flyover, will be constructed on Metra Rock Island District right-of-way. Some Norfolk Southern property will be required for temporary use during construction. Viaducts carrying Metra Rock Island District tracks over 60th Street and 66th Street will be removed and filled in as part of the project. Cul-de-sacs, with ADA-compliant sidewalks, will be constructed on both sides of the tracks once these viaducts are filled in. The existing Metra Rock Island District crosses over I-90/I-94 (Dan Ryan), and CTA’s Red Line, just south of Englewood.

Metra’s Rock Island District currently operates 68 daily commuter trains through the Englewood Interlocking. With the

Type of Railroad	Railroad Right-of-Way Owner	Route Miles	Track Miles	Status of Agreements to Implement Projects		
Class 1 Freight	Norfolk Southern	.31	1.0	No Agreement, but Host Railr		
Commuter Ra	Metra	1.6	3.2	No Agreement, but Host Railr		
Amtrak	Norfolk Southern	3.1	1.0	No Agreement, but Host Railr		
<p>(11) Services. Provide information for all existing rail services within project boundaries (freight, commuter, and intercity passenger). <i>If more than three services, please detail in Section F of this application.</i></p>						
Type of Service	Name of Operator	Top Speed Within Project Boundaries		Number of Route-Miles Within Project Boundaries	Average Number of Daily One-Way Train Operations ² within Project Boundaries	Notes
		Passenger	Freight			
Freight	Norfolk Southern	50	45	.31	26	8/2009
Intercity Pa	Amtrak	50		.31	14	8/2009
Commuter	Metra	40	20	1.6	68	8/2009
<p>(12) Rolling Stock Type. Describe the fleet of locomotives, cars, self-powered cars, and/or trainsets that would be intended to provide the service upon completion of the project. <i>Please limit response to 1,000 characters.</i></p> <p>N/A</p>						
<p>(13) Intercity Passenger Rail Operator. Provide the status of agreements with partners that will operate the benefiting high-speed rail/intercity passenger rail service(s) upon completion of the planned investment (e.g., Amtrak). Name of Operating Partner: Amtrak, NS, Metra Agreement of 8/13/2009 Status of Agreement: Final executed agreement on project scope/outcomes</p>						
<p>(14) Benefits to Other Types of Rail Service(s). Are benefits to non-intercity-passenger rail services (e.g., commuter, freight) foreseen? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If “Yes”, provide further details in Section E, Question 2.</p>						

² One daily round-trip train operation should be counted as two daily one-way train operations.

Project Name: Date of Submission: Version Number:

C. Eligibility Information

(1) Select applicant type, as defined in Appendix 1.1 of the HSIPR Guidance (only States may apply for Track 4):

- State
- Amtrak

If one of the following, please append appropriate documentation as described in Section 4.3.1 of the HSIPR Guidance:

- Group of States
- Interstate Compact
- Public Agency established by one or more States
- Amtrak in cooperation with a State or States

(2) Establish Completion of Preliminary Engineering. In the space(s) below, please list the documents that establish completion of Preliminary Engineering for the project covered by this application. See HSIPR Guidance Appendix 2.2. If more than four references need to be listed, please place the additional information in Question F.

Document Name	Completion Date (mm/yyyy)
CREATE PROGRAM - PROJECT P1 - RAILROAD IMPROVEMENT PROJECT AT 63RD AND STATE STREETS - PHASE I PROJECT REPORT & DESIGN APPROVAL	1/2009

(3) Establish Completion of NEPA Documentation (the date document was issued and how documentation can be verified by FRA). The following are approved methods of NEPA verification (in order of FRA preference): 1) References to large EISs and EAs that FRA has previously issued, 2) Web link if NEPA document is posted to a website (including www.fra.gov), 3) Electronic copy of non-FRA documents attached with supporting documentation, or 4) a hard copy of non-FRA documents (large documents should not be scanned but should be submitted to FRA via an express delivery service). See HSIPR Guidance Section 1.6 and Appendix 3.2.9.

Documentation	Date (mm/yyyy)	Describe How Documentation Can be Verified
<input checked="" type="checkbox"/> Categorical Exclusion Documentation	09/2008	4 - hard copy of Class of Action determination Document
<input type="checkbox"/> Final Environmental Assessment		
<input type="checkbox"/> Final Environmental Impact Statement		

(4) Indicate if there is an environmental decision from FRA (date document was issued and web hyperlink if available).

Documentation	Date (mm/yyyy)	Hyperlink (if available)
<input checked="" type="checkbox"/> Categorical Exclusion Determination	10/1/08	
<input type="checkbox"/> Finding of No Significant Impact		
<input type="checkbox"/> Record of Decision		

Project Name: Date of Submission: Version Number:

D. Public Return on Investment

(1) 1A. Transportation Benefits. *See HSIPR Guidance Section 5.1.1.1. Please limit response to 8,000 characters:*

How is the project anticipated to improve Intercity Passenger Rail (IPR) service? Describe the overall transportation benefits, including information on the following (*please provide a level of detail appropriate to the type of investment*):

- **IPR network development:** Describe improvements to intermodal connections and access to stations as well as actual and potential expansions to the IPR network that may result from the project (including opportunities for interoperability with other services).
- **IPR service performance improvements** (*also provide specific metrics in table 1B below*): Please describe service performance improvements directly related to the project, as well as a comparison with the existing service (*without project*). Describe relevant reliability improvements (e.g., increases in on-time performance, reduction in operating delays), reduced schedule trip times, increases in frequencies, aggregate travel time savings (resulting from reductions to both schedule time and delays, expressed in passenger-minutes), and other relevant performance improvements.
- **IPR service results** (*also provide specific metrics in table 1B below*): Describe relevant outcomes of the service improvement such as increases in ridership, passenger-miles, and other results in comparison with the existing service (*without project*).
- **Suggested supplementary information** (*only when applicable*):
 - **Transportation Safety:** Describe overall safety improvements that are anticipated to result from the FD/Construction Project, including railroad and highway-rail grade crossing safety benefits, and benefits resulting from the shifting of travel from other modes to safer IPR service.
 - **Cross-modal benefits from the FD/Construction Project, including benefits to:**
 - ✓ **Commuter Rail Services** – Service improvements and results (applying the same approach as for IPR above).
 - ✓ **Freight Rail Services** – Service performance improvements (e.g., increases in reliability and capacity), results (e.g. increases in ton-miles or car-miles of the benefiting freight services), and/or other congestion, capacity or safety benefits.
 - ✓ **Congestion Reduction/Alleviation in Other Modes; Delay or Avoidance of Planned Investments** – Aviation and highway congestion reduction/alleviation, and/or other capacity or safety benefits. Describe any planned investments in other modes of transportation that may be avoided or delayed due to the improvement to IPR service that will result from the project.

IPR network development

There are no Amtrak intercity or commuter rail passenger stations within the immediate vicinity of project location. However, completion of this project will reduce a serious potential delay threat to westbound Amtrak trains terminating at Chicago Union Station. Improved on-time performance of these trains would provide more reliable intermodal connections with scheduled outbound Metra commuter trains at Union Station and nearby Ogilvie Transportation Center.

Completion of this project will facilitate construction and operation of two planned High Speed Rail mainline tracks through this location.

IPR service performance improvements

Today 14 Amtrak intercity passenger trains must compete with 68 daily Metra Rock Island District commuter trains for access through the limited track space of the Englewood Interlocking, which is controlled by Metra.

Both Amtrak and Metra have specific plans to reroute substantial numbers of additional passenger trains through the Englewood Interlocking. Completion of several CREATE component projects could easily increase current passenger train volumes at this location by almost 50 percent within a few years. Delays to Norfolk Southern intermodal trains attempting to operate through the Englewood Interlocking today frequently have a direct impact on Amtrak intercity trains operating over the same tracks.

Norfolk Southern currently has a 30 mph restriction on both of its main tracks through the Englewood Interlocking. With removal of the Interlocking it is anticipated that operating speeds on Amtrak intercity passenger trains could be increased from 30 to 50 mph.

IPR service results

It is anticipated that without this project, as train volumes increase on Amtrak, Metra and Norfolk Southern, the potential for delays will subsequently increase. Recent experience has shown that deteriorating on-time performance does have a negative impact on Amtrak ridership levels.

Supplementary information

Transportation Safety:

All rail lines in the immediate vicinity of the project are elevated above street level, so no highway-rail grade crossings will be directly impacted by this project. Elimination of the crossing at grade of the Metra Rock Island District and Norfolk Southern mainlines will result in an inherently safer operation, also benefitting Amtrak.

Cross-Modal benefits:

- Commuter Rail Services

Completion of this project will facilitate the transfer of Metra’s SouthWest Service from Chicago Union Station to La Salle Street Station. This transfer will free up much needed gate and track capacity at Union Station, which will directly benefit the expansion of Amtrak Intercity and High Speed Rail Services. It will also facilitate the implementation of Metra’s proposed SouthEast Service, which will extend rail commuter service to an under-served region.

- Freight Rail Service

Intermodal has been one of the freight rail industry’s fastest growing markets in recent years. While growth has temporarily stalled as a result of the current recession, it is anticipated that intermodal volumes will resume growing as the overall economy improves. Completion of this project would directly benefit Norfolk Southern intermodal trains operating to and from NS’ nearby 47th and 63rd Street Terminals. More efficient operation of these intermodal trains would directly benefit Amtrak intercity trains operating on the same NS tracks.

1B. Operational and Ridership Benefits Metrics: In the table(s) below, provide information on the anticipated transportation benefits and ridership changes projected to result from the project. Please do not include benefits and changes that would occur even if the project is not implemented (for example, as a result of population or economic growth factors).

Project/Program Metric	Actual— FY 2008 levels	Projected Totals by Year (Actual Levels <u>Plus</u> Project-Caused Changes Only)		“X” If N/A or Unsure
		First Full Year After Project Completion	Fifth Full Year After Project Completion	
Annual passenger-trips		no change	no change	<input type="checkbox"/>
Annual passenger-miles (millions)		no change	no change	<input type="checkbox"/>
Annual IPR seat-miles offered (millions)		no change	no change	<input type="checkbox"/>
Average number of daily round train trip operations (typical weekday)		no change	no change	<input type="checkbox"/>
On-time performance (OTP) ³ – percent of trains on time at endpoint terminals	36%	Potentially 44%	44%	<input type="checkbox"/>
Average train operating delays: minutes of en-route delays per 10,000 train-miles ⁴	2415 (weighted average)	2250	2250	<input type="checkbox"/>
Top operating speed (mph)	50mph	50 mph	50 mph	<input type="checkbox"/>
Average scheduled operating speed (mph) (between endpoint terminals)	45 mph	potentially 50mph	50 mph	<input type="checkbox"/>

(2) 2A. Economic Recovery Benefits. *This section is required for Track 1a, and optional for Track 4. Please limit response to 4,000 characters. For more information, see Section 5.1.1.2 of the HSIPR Guidance.*

Describe the contribution the FD/Construction Project is intended to make towards economic recovery and reinvestment, including information on the following:

- How the project will result in the creation and preservation of jobs, including number of onsite and other direct jobs (on a 2,080 work-hour per year, full-time equivalent basis), and timeline for achieving the anticipated job creation.
- How the different phases of the project will affect job creation (consider the construction period vs. operating period)
- How the project will create or preserve jobs or new or expanded business opportunities for populations in Economically Distressed Areas (consider the construction period vs. operating period)
- How the project will result in increases in efficiency by promoting technological advances.
- How the project represents an investment that will generate long-term economic benefits (including the timeline for achieving economic benefits and describe how the project was identified as a solution to a wider economic challenge)
- If applicable, how the project will help to avoid reductions in State-provided essential services.

The estimated construction cost for this project is \$140M. The schedule originally developed in the preliminary design phase calls for duration of 2 years and 8 months. The estimated number of direct construction-related jobs to be created by this project is 430 jobs per year, for the 2.5 year life of the project. This does not include any indirect jobs.

³ As calculated and reported by Amtrak according to its existing procedures and definitions. An example can be found at page E-7 of the May 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>. ‘On-time’ is defined as within the distance-based thresholds originally issued by the Interstate Commerce Commission, which are: 0 to 250 miles and all Acela trains—10 minutes; 251 to 350 miles—15 minutes; 351 to 450 miles—20 minutes; 451 to 550 miles—25 minutes; and 551 or more miles—30 minutes.

⁴ As calculated by Amtrak according to its existing procedures and definitions. Useful background can be found at pages E-1 through E-6 of Amtrak’s May, 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>

Metra has issued an RFP for final design of the Englewood Flyover and received final proposals on July 15, 2009. It is assumed that final selection will be made in September 2009, with completion of fee negotiations in late October 2009. NTP would follow in early November 2009.

Planning assumptions for the completion of final design and construction for project P1 are as follows:

- NTP final design = November 2009.
- Design duration to final construction bid package submittal to Metra = 14 months, January 2011.
- Award of construction would occur in March 2011, with full activities commencing in April 2011
- Construction duration assumed to be 2 construction seasons – end construction November 2012

For this project the CREATE Partners have previously agreed that Metra will be the prime railroad contractor and will be responsible for managing the bid process.

Metra has established a Disadvantaged Business Enterprise (DBE) program in accordance with 49 Code of Federal Regulations Part 26 (49 CFR Part 26) of the U.S. DOT, to ensure that socially and economically disadvantaged companies have an equal opportunity to participate in USDOT assisted contracts. Full details of this DBE program are available on Metra’s website at www.metra.com/DBE/.

CREATE maintains a website (www.createprogram.org) which provides specific information on “Doing Business with CREATE”. The website provides detailed information on current bid solicitations with a direct link to Metra. Interested parties can also sign up via the website to receive new bid solicitations electronically when they become available.

The CREATE website also provides electronic links to the following lists of DBE/MBE/WBE contractors:

- City of Chicago MBE/WBE registered contractors.
- Illinois Unified Certification Program (IL UCP) for DBE’s.
- U.D. DOT Office of Small and Disadvantaged Business Utilization Small Business Transportation Resource Center – Great Lakes Region

The Illinois seasonally adjusted statewide unemployment rate for June 2009 rose to 10.3 percent, an increase of +.02 percent over May, according to the Illinois Department of Employment Security. Statewide, the number of unemployed in Illinois is the highest since November 1983. The Construction sector lost 5,400 jobs in June, its largest monthly job loss this year. Most of these job losses were concentrated in the Northeast Illinois Region, which includes Chicago and Cook County. Since the onset of the recession in December 2007 Illinois has lost 47,100 jobs in construction (through June).

The larger neighborhood area around the Englewood Project location has historically been one of the most “Economically Distressed Areas” in the greater Chicago region. According to the 2000 Census, for the seven Census Tracts in the immediate project vicinity, the percentage of families below the census poverty level ranged from a low of 18.9% to a high of 58.9%, with most tracts at 31.2% and greater.

As part of the formal community outreach program for CREATE, a number of public meetings have been held in the local neighborhood during the past three years. One purpose of these meetings was to make local businesses aware of new or expanded business opportunities directly related to the Englewood Flyover Project. In addition, direct lines of communication have been established with City of Chicago Aldermen in the immediate vicinity of the project. The CREATE partners (CDOT, IDOT and the Railroads) have been supportive of the Chicago City Colleges to provide an ongoing construction training curriculum and program at Dawson College.

2B. Job Creation: Provide the following information about job creation through the life of the FD/Construction Project. Please consider construction, maintenance, and operations jobs.

	FD/ Construction Period	First full Year of Operations	Fifth full Year of Operations
Anticipated number of <u>annual</u> onsite and other direct jobs created (on a 2080 work-hour per year, full-time equivalent basis)	430	N/A	N/A

(3) Environmental Benefits. *Please limit response to 4,000 characters.*

How will the FD/Construction project improve environmental quality, energy efficiency, and reduction in the Nation’s dependence on oil? Address project-caused changes in the following:

- Any projected reductions in key emissions (CO₂, O₃, CO, PM_x, and NO_x) and their anticipated effects. Provide any available forecasts of emission reductions from a baseline of existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Any expected energy and oil savings from traffic diversion from other modes and changes in the sources of energy for transportation. Provide any available information on changes from the baseline of the existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Use of green methods and technologies. Address green building design, “Leadership in Environmental and Energy Design” building design standards, green manufacturing methods, energy efficient rail equipment, and/or other environmentally-friendly approaches.

Reduction in delays to Amtrak and freight trains will result in reduction of the number of stationary trains waiting for signals with engines idling. Metra operations severely restrict the ability of NS to move freight and passenger traffic on its Chicago Line between the hours of 6am and 9am and 4pm to 6pm each day. By grade separating the conflicting operations, this project will greatly reduce train delays and thus diesel motor emissions.

Correspondingly, reduction in delays to Amtrak and freight trains at Englewood will greatly reduce the non-productive fuel consumption that currently occurs at this location.

In similar fashion, noise from idling trains adjacent to residential areas will be reduced as trains are better able to move smoothly through the project area

Emissions of air pollutants would be lower because the proposed project would improve the operation of railroads with the project area. The project would result in lower congestion and fewer delays of railroad operations, which would reduce fuel consumption compared with future conditions without the proposed project. Lower fuel consumption would directly reduce future emissions of air pollutants from locomotives operating in the project

Year	HC	CO	NO _x	PM10	PM2.5	SO ₂
	(tons/ year)					
2005						
Existing Condition	2.59	6.81	49.7	1.64	1.51	4.07
2015						
Build						
Alternative	2.83	9.13	50.3	1.77	1.63	0.0327
2015						
No Build	3.12	10.1	55.5	1.95	1.79	0.0361

(4) Livable Communities Project Benefits Narrative. *(For more information, see Section 5.1.1.3 of the HSIPR Guidance, Livable Communities).* *Please limit response to 3,000 characters.*

How will the FD/Construction Project foster Livable Communities? Address the following:

- Integration with existing high density, livable development: Provide specific examples, such as (a) central business districts with walking/biking and (b) public transportation distribution networks with transit-oriented development.
- Development of intermodal stations: Describe such features as direct transfers to other modes (both intercity passenger transport and local transit).

N/A

Project Name: Date of Submission: Version Number:

E. Project Success Factors

(1) Project Management Approach and Applicant Qualifications Narrative: *Please provide separate responses to each of the following. Additional information on project management is provided in Section 5.1.2.1 of the HSIPR Guidance, Project Management.*

1A. Applicant qualifications. *Please limit response to 2,000 characters.*

Management experience: Does the applicant have experience in managing rail investment projects and managing projects of a similar size and scope to the one proposed in this application?

Yes - Briefly describe experience (brief project(s) overview, dates)

No- Briefly describe expected plan to build technical and managerial capacity; provide reference to Project Management Plan.

1B. Describe the organizational approach for the different project stages included in this application (final design, construction), including the roles of staff, contractors and project stakeholders in implementing the project. For construction activities, provide relevant information on work forces, including railroad contractors and grantee contractors. *Please limit response to 2,000 characters.*

It is anticipated that construction activities for this specific project will be managed under the overall framework of the original CREATE Partners Agreement. That Agreement calls for Metra to assume direct contracting responsibility for this project. Metra has considerable experience in this area and will follow their existing bid and contracting procedures and policies using existing staff. Metra maintains a list of qualified contractors for this kind of work, including DBE's, and it is anticipated that contractors will be selected from this pre-qualified list. Full details are available on the Metra website.

Final design specifications will be provided by the design contractor to Metra to facilitate Metra's role in securing construction contractors and supervising the actual construction process. Metra staff will be responsible for overall construction supervision of this project using the same procedures as they do today for Metra construction projects. Payments to contractors will be funneled from Illinois DOT (Applicant) through Metra.

1C. Does the FD/Construction Project require approval by FRA of a waiver petition from a Federal railroad safety regulation? (Reference to, or discussion of, potential waiver petitions will not affect FRA's handling or disposition of such waiver petitions.)

YES- If yes, explain and provide a timeline for obtaining the waivers

NO

Please limit response to 1,500 characters.

1D. Provide a preliminary self-assessment of project uncertainties and mitigation strategies (consider funding risk, schedule and budget risk and stakeholder risk). Describe any areas in which the applicant could use technical assistance, best practices, advice or support from others, including FRA. *Please limit response to 2,000 characters.*

Project Uncertainties

1. Ability to meet schedule requirements of funding
2. Ability to meet schedule requirements of funding
3. Time required for outside agency review
4. Availability of materials; timeliness of delivery

Mitigation Strategy

1. Establish parallel design tracks accelerating discrete project components with potential to go to early construction, thereby reducing overall design schedule

2. Prepare & bid separate construction packages for Force Account work and project components that can be initiated in advance of the main flyover work.
3. Accelerate design of elements needing outside agency review to 90% as quickly as possible so that review is removed from the critical path
4. Advance communication with material sources to “pre-order based on 60% design

(2) Stakeholder Agreements Narratives. *Additional information on Stakeholder Agreements is provided in Section 5.1.2.2 of the HSIPR Guidance.*

Under each of the following categories, describe the applicant’s progress in developing requisite agreements with key stakeholders. In addition to describing the current status of any such agreements, address the applicant’s experience in framing and implementing similar agreements, as well as the specific topics pertaining to each category.

2A. Ownership Agreements – Describe how agreements will be finalized with railroad infrastructure owners listed in the “Right-of-Way Ownership” and “Service Description” tables in Section B. If appropriate, “owner(s)” may also include operator(s) under trackage rights or lease agreements. Describe how the parties will agree on project design and scope, project benefits, project implementation, use of project property, project maintenance, scheduling, dispatching and operating slots, project ownership and disposition, statutory conditions and other essential topics. Summarize the status and substance of any ongoing or completed agreements. *Please limit response to 2,000 characters.*

All essential topics described in Section 2A. Ownership Agreements, are covered under the CREATE Joint Statement of Understanding, JSU Amendments 1 & 2, and the Joint Statement on Governance Structure.

2B. Operating Agreements – Describe the status and contents of agreements with the intended operator(s) listed in “Services” table in the Project Overview section above. Address project benefits, operation and financial conditions, statutory conditions, and other relevant topics. *Please limit response to 2,000 characters.*

Both Metra and Norfolk Southern are active participants in the CREATE Program through their membership in the Association of American Railroads. As such they are subject to the following CREATE agreements:

- Joint Statement of Understandings Regarding the Proposed CREATE Project (JSU)
- JSU Amendments 1, 2 & 3
- Joint Statement Regarding CREATE Governance Structure

Amtrak intercity passenger trains operate over Norfolk Southern tracks at the project location

The Englewood Flyover was originally conceived as a component project of the CREATE Program. Its CREATE Component Project Identifier is P-1.

On June 13, 2003, the CREATE Partners signed a Joint Statement of Understandings Regarding the Proposed CREATE Project. This 14-page document, commonly referred to as the “JSU”, contains a series of Terms and Conditions that are intended to apply to all CREATE component projects, as well as to the overall management and implementation of the CREATE Program.

The First Amendment to the JSU was signed on December 23, 2004, and the Second JSU Amendment was signed on June 24, 2005. The original document plus the two amendments constitute the current governing Terms and Conditions for participants in the CREATE Program and individual CREATE component projects.

The Joint Statement Regarding CREATE Governance Structure was entered into on June 13, 2003, in order to implement the JSU and in particular to describe the Governance Structure agreed to by the Stakeholders (as defined in the JSU).

Copies of all referenced documents are available on the CREATE Program website at www.createprogram.org., under the heading “Final CREATE Feasibility Study”.

The three primary CREATE Partners are,

- Association of American Railroads (AAR)
- Chicago Department of Transportation (CDOT)

- Illinois Department of Transportation (IDOT)
Participating in CREATE through their respective memberships in the AAR are the following rail carriers: BNSF, CN, CP, CSX, NS, UP, Metra, and Amtrak.

2C. Selection of Operator – This question applies to Track 1a only. If the proposed operator railroad was not selected competitively, please provide a justification for its selection, including why the selected operator is most qualified, taking into account cost and other quantitative and qualitative factors, and why the selection of the proposed operator will not needlessly increase the cost of the project or of the operations that it enables or improves. *Please limit response to 1,000 characters.*

Amtrak - existing service

2D. Other Stakeholder Agreements – Provide relevant information on other stakeholder agreements including State and local governments. *Please limit response to 2,000 characters.*

SEE ITEM 2B

2E. Agreements with operators of other types of rail service – Describe any cost sharing agreements with operators of non-intercity passenger rail service (e.g., commuter, freight). *Please limit response to 2,000 characters.*

SEE ITEM 2B

(3) Financial Information.

3A. Capital Funding Sources. Please provide the following information about your funding sources (if applicable).

Non FRA Funding Sources	New or Existing Funding Source?	Status of Funding ⁵	Type of Funds	Dollar Amount (YOE Dollars)	% of Project Cost	Describe Uploaded Supporting Documentation to Help FRA Verify Funding Source
IDOT & Railroads	Existing	Committed		7,000,000	5	
	New	Committed				
	New	Committed				

⁵ 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/program 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/program, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project/program.

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.

3B. Capital Investment Financial Agreements: Describe any cost sharing contribution the applicant intends to make towards the FD/Construction Project, including its source, level of commitment, and agreement to cover cost increases or financial shortfalls. Describe the status and nature of any agreements between funding stakeholders that would provide for the applicant’s proposed match, including the responsibilities and guarantees undertaken by the parties. Provide a brief description of any in-kind matches that are expected. *Please limit response to 2,000 characters.*

The Illinois Department of Transportation and the freight railroads have agreed to commit \$7 million to this project. As a state agency, IDOT has no independent authority to cover any unforeseen cost increases or financial shortfalls, unless funds were authorized and appropriated by the Illinois General Assembly.

Metra will be providing project management services specifically to this project as part of their overall financial contribution to the CREATE Program. Since this project was originally part of the CREATE Program it is subject to the following agreements between the various CREATE stakeholders (which include applicant):

- Joint Statement of Understandings Regarding the Proposed CREATE Project (2003)
- First and Second Amendments to the JSU (2004, 2005)
- Joint Statement Regarding CREATE Governance Structure (2003)
- Amendment 1 CREATE Final Feasibility Plan August 2009

Full copies of all of these agreements are available on the CREATE Program website at www.createprogram.org.

3C. Operating Financial Plan: Does the applicant expect that the State operating subsidy requirements for the benefiting intercity passenger rail service will significantly increase, **as a result of the project**, during the first five years after project completion?

Yes No

If “Yes,” please complete the table below (in YOE dollars) and answer the following questions. *Please limit response to 2,000 characters.*

- (a) How did you project future State operating subsidies for the benefiting service(s); and
- (b) What are the source, nature, and likelihood of the funding that will enable the State to finance the projected increases in annual operating subsidies due to the project?

Subsidy	Actual— FY 2009 levels (YOE Dollars)	Projected Totals by Year (Actual Levels <u>Plus</u> Project Caused Changes Only) (YOE Dollars)											
		First Full Year After Project Completion	Fifth Full Year After Project Completion										
State operating subsidy (total for all benefiting services)													
<p>(4) Financial Management Capacity and Capability – Provide audit results and describe applicant capability to absorb potential cost overruns, financial shortfalls, or financial responsibility for potential disposition requirements (include as supporting documentation as needed). Provide statutory references/ legal authority to build and oversee a rail capital investment. <i>Please limit response to 2,000 characters.</i></p> <p>The applicant is the State of Illinois, Department of Transportation. The point of contact within IDOT is the Bureau of Railroads, which is part of the Division of Intermodal & Public Transportation, reporting to the Office of Secretary. The Illinois Department of Transportation’s Bureau of Accounting and Auditing’s Audit Section, located within the Office of Finance and Administration, of has the authority to audit both Federally and State funded projects and grants.</p> <p>The Illinois Department of Transportation has no independent authority to absorb potential cost overruns or financial shortfalls related to any capital project. IDOT’s budget is authorized and appropriated by the Illinois General Assembly subject to approval by the Illinois Governor.</p> <p>On January 1, 1972, by an Act of the 77th Illinois General Assembly, the state of Illinois established a Department of Transportation, headed by a Secretary reporting to the state’s Governor. This department assumed the responsibilities of the Department of Public Works and Buildings and the Office of Mass Transportation from the Department of Local Government Affairs.</p> <p>The statutory reference/legal authority for the applicant to build and oversee a rail capital investment in general is found in Illinois Administrative Code Title 44: Government Contracts, Procurement and Property Management, Subtitle B: Supplemental Procurement Rules, Chapter IX: Department of Transportation, Part 660 – Contract Procurement. In addition, specific authority comes from the Joint Statement of Understanding Regarding the Proposed CREATE Project, signed on June 13, 2003, by then Illinois Secretary of Transportation Timothy Martin. On August 13, 2009, the Amendment 1 CREATE Final Feasibility Plan August 2009 was issued clarifying and updating the Program management and operations</p>													
<p>(5) Timeliness of Project Completion – Provide the following information on the dates and duration of key activities, if applicable. <i>For more information, see Section 5.1.3.1 of the HSIPR Guidance, Timeliness of Project Completion.</i></p> <table border="1"> <tr> <td>Final Design Duration:</td> <td>14 months</td> </tr> <tr> <td>Construction Duration:</td> <td>18 months</td> </tr> <tr> <td>Rolling Stock Acquisition Duration:</td> <td>N/A months</td> </tr> <tr> <td>Rolling Stock Testing Duration:</td> <td>N/A months</td> </tr> <tr> <td>Service Operations Start date:</td> <td>N/A (mm/yyyy)</td> </tr> </table>				Final Design Duration:	14 months	Construction Duration:	18 months	Rolling Stock Acquisition Duration:	N/A months	Rolling Stock Testing Duration:	N/A months	Service Operations Start date:	N/A (mm/yyyy)
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Construction Duration:	18 months												
Rolling Stock Acquisition Duration:	N/A months												
Rolling Stock Testing Duration:	N/A months												
Service Operations Start date:	N/A (mm/yyyy)												
<p>(6) If applicable, describe how the project will promote domestic manufacturing, supply and other industries, including United States-based equipment manufacturing and supply industries. <i>Please limit response to 1,500 characters.</i></p> <p>This project will require a large quantity of construction materials & equipment, manufacture and delivery of materials and other construction related supplies, the means to accumulate and distribute materials and supplies, & vehicles. All Metra sponsored projects have a "Buy America" provision, so domestic industries will be positively impacted. The project will require gravel, concrete, structural steel, rail, ties, ballast, pipe, tools, and other construction materials. Heavy equipment will be purchased and maintained, as will trucks of all sizes for delivery of materials, tools and equipment to the site.</p>													
<p>(7) If applicable, describe how the project will help develop US professional railroad engineering, operating,</p>													

planning and management capacity needed for sustainable HSR/IPR development in the United States, including promotion of a diverse workforce. *Please limit response to 1,500 characters.*

The final design of this project will be performed in 14 months or less. During that time, over 100 engineering professionals will participate in some aspect of the work. Young engineers already on staff will gain invaluable experience while working in a project of this scope. It is likely that new engineering grads will be hired to supplement staff already engaged. It is also likely that as the lead project of the CREATE Program, the design will generate a case study of the efforts and lessons learned. The case study will be shared in an industry forum, likely AREMA.

Project Name: IL-CREATE P1 Date of Submission: 8/24/09 Version Number: 1

F. Additional Information

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 1B). *This section is optional.*

Project Name: IL-CREATE - P1 Date of Submission: 8/24/09 Version Number: 1

G. Summary of Supporting Materials

Application Form	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> This Application Form	✓		HSIPR Guidance Section 4.3.3.3	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> General Info.	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Detailed Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Annual Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Project Schedule	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Documents	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> Map of the Planned Investment		✓	Application Question B.6	Map of the Planned Investment location. Please upload into <i>GrantSolutions</i> .	None
Standard Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> SF 424: Application for Federal Assistance	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form

<input checked="" type="checkbox"/> SF 424C: Budget Information-Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> SF 424D: Assurance Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> FRA Assurances Document	✓		HSIPR Guidance Section 4.3.3.3	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>GrantSolutions</i> .	Form

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