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Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Online Forms
1. SF-424 Application for Federal Assistance (Version 2.0) (online#1)
2. SF-424A – Budget Information – Non-Construction Programs (online#2)
3. SF-424B – Assurances – Non-Constructions (online#3)
4. SF-LLL Disclosure of Lobbying Activities (online#4)

Additional Information Submitted
1. HSIPR Narrative Application Form Part I – Individual PE/NEPA (upload #1)
2. HSIPR Narrative Application Form Part II SOW – Individual PE/NEPA (upload #2)
3. Federal Railroad Administration Assurances & Certifications (upload #3)
4. Project Planning Documentation (upload #4)
5. Project Management Documentation (upload#5)
6. Financial Planning Documentation (upload#6)
7. Railroad and Project sponsor Agreements
   a. East St. Louis (upload#7)
   b. St. Clair County (upload #8)
   c. IL State Representative Holbrook (upload#9)
   d. Amtrak Support Letter (upload #10)
   e. Eight State MOU (upload #11)
8. Additional Supporting Documents
   a. Maps (upload#12)
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
SF-424 Application for Federal Assistance (Version 2.0) (online#1)
**Application for Federal Assistance SF-424**

<table>
<thead>
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<th>Version 02</th>
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</table>

1. **Type of Submission:**  
   - [ ] Preapplication  
   - [x] Application  
   - [ ] Changed/Corrected Application

2. **Type of Application:**  
   - [x] New  
   - [ ] Continuation  
   - [ ] Revision  
   - [ ] Other (Specify)

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:**

* **Legal Name:** Illinois Department of Transportation

* **Employer/Taxpayer Identification Number (EIN/TIN):** 37-1355033

* **Organizational DUNS:** 1336007540000

*d. Address:*  
- **Street 1:** JRTC, Suite 6-600  
- **Street 2:** 100 West Randolph St.  
- **City:** Chicago  
- **County:** Cook  
- **State:** Illinois  
- **Province:**  
- **Country:** USA  
- **Zip / Postal Code:** 60601

**e. Organizational Unit:**  
- **Department Name:** Illinois Department of Transportation  
- **Division Name:** 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:** Acting Deputy Director, Department of Public and Intermodal Transportation  
- **Organizational Affiliation:** Illinois Department of Transportation  
- **Telephone Number:** 312.793-4222  
- **Fax Number:** 312.793-1251  
- **Email:** George.Weber@illinois.gov
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<th>Application for Federal Assistance SF-424</th>
<th>Version 02</th>
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<td>A. State Government</td>
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<td><strong>Type of Applicant 2: Select Applicant Type:</strong></td>
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<td><strong>Type of Applicant 3: Select Applicant Type:</strong></td>
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<td><strong>10 Name of Federal Agency:</strong></td>
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<td><strong>11. Catalog of Federal Domestic Assistance Number:</strong></td>
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<td>CFDA Title:</td>
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<td><strong>12 Funding Opportunity Number:</strong></td>
<td>FR volume 76, No. 51, March 16, 2011</td>
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<td>*Title:</td>
<td>Notice of Funding Availability for high speed and intercity passenger rail projects</td>
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<td><strong>13. Competition Identification Number:</strong></td>
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<tr>
<td>Title:</td>
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<tr>
<td><strong>14. Areas Affected by Project (Cities, Counties, States, etc.):</strong></td>
<td>The states affected are Illinois and Missouri. The cities involved include Granite City, East St. Louis and St. Louis.</td>
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<tr>
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<td><strong>15. Descriptive Title of Applicant's Project:</strong></td>
<td>IL-Metro St. Louis Area Station PE-NEPA</td>
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</table>
**Application for Federal Assistance SF-424**

16. Congressional Districts Of:
   *a. Applicant: Il - 11th and 15th Districts
   *b. Program/Project: Il-12 MO-1

17. Proposed Project:
   *a. Start Date: 01/01/12
   *b. End Date: 09/30/12

18. Estimated Funding ($):

   *a. Federal
   *b. Applicant
   *c. State
   *d. Local
   *e. Other
   *f. Program Income
   *g. TOTAL

   $800,000
   $200,000
   $1,000,000

19. Is Application Subject to Review By State Under Executive Order 12372 Process?
   - [ ] a. This application was made available to the State under the Executive Order 12372 Process for review on ______
   - [ ] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
   - [x] c. Program is not covered by E. O. 12372

20. Is the Applicant Delinquent On Any Federal Debt? (If “Yes”, provide explanation.)
   - [ ] Yes
   - [x] 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)
   - [x] ** 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: Acting Deputy Director, Department of Public and Intermodal Transportation

*Telephone Number: 312.793-4222
Fax Number: 312.793.1251

*Email: George.Weber@illinois.gov

*Signature of Authorized Representative: [Signature]
*Date Signed: April 1, 2011
*Applicant Federal Debt Delinquency Explanation
The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.
No Federal Debt delinquency.
INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), 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.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk (* or *) and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

<table>
<thead>
<tr>
<th>Item</th>
<th>Entry:</th>
<th>Item</th>
<th>Entry:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Type of Submission: *(Required): Select one type of submission in accordance with agency instructions. *&lt;br&gt;• Preapplication&lt;br&gt;• Application&lt;br&gt;• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</td>
<td>10.</td>
<td>Name Of Federal Agency: *(Required): Enter the name of the Federal agency from which assistance is being requested with this application.</td>
</tr>
<tr>
<td>2.</td>
<td>Type of Application: *(Required): Select one type of application in accordance with agency instructions. *&lt;br&gt;• New – An application that is being submitted to an agency for the first time.&lt;br&gt;• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.&lt;br&gt;• Revision - Any change in the Federal Government’s financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If “Other” is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)</td>
<td>11.</td>
<td>Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</td>
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<tr>
<td>3.</td>
<td>Date Received: Leave this field blank. This date will be assigned by the Federal agency.</td>
<td>12.</td>
<td>Funding Opportunity Number/Title: *(Required): Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</td>
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<tr>
<td>4.</td>
<td>Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.</td>
<td>13.</td>
<td>Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</td>
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<tr>
<td>5a</td>
<td>Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.</td>
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<tr>
<td>5b</td>
<td>Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal Award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</td>
<td></td>
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<td>6.</td>
<td>Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.</td>
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<td>7.</td>
<td>State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.</td>
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<tr>
<td>8.</td>
<td>Applicant Information: Enter the following in accordance with agency instructions: *&lt;br&gt;a. Legal Name: *(Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. *&lt;br&gt;b. Employer/Taxpayer Number (EIN/TIN): *(Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 4444444444. *&lt;br&gt;c. Organizational DUNS: *(Required): Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. *&lt;br&gt;d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). *&lt;br&gt;e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the</td>
<td>14.</td>
<td>Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</td>
</tr>
<tr>
<td>15.</td>
<td>Descriptive Title of Applicant’s Project: *(Required): Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</td>
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<td>16.</td>
<td>Congressional Districts Of: *(Required): 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd district. *&lt;br&gt;• If all congressional districts in a state are affected, enter “all” for the district number, e.g., MO-all for all congressional districts in Maryland. *&lt;br&gt;• If nationwide, i.e. all districts within all states are affected, enter US-all. *&lt;br&gt;• If the program/project is outside the US, enter 00-000.</td>
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<td>17.</td>
<td>Proposed Project Start and End Dates: *(Required): Enter the proposed start date and end date of the project.</td>
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<td>18.</td>
<td>Estimated Funding: *(Required): Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</td>
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<tr>
<td>19.</td>
<td>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPoC) for Federal Executive Order 12372 to determine whether the application is subject to the</td>
<td></td>
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<tr>
<td>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</td>
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<td>9. Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</td>
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<tr>
<td>A. State Government</td>
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<td>B. County Government</td>
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<td>C. City or Township Government</td>
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<td>D. Special District Government</td>
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<td>E. Regional Organization</td>
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<td>F. U.S. Territory or Possession</td>
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<td>G. Independent School District</td>
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<tr>
<td>H. Public/State Controlled Institution of Higher Education</td>
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<td>I. Indian/Native American Tribal Government (Federally Recognized)</td>
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<td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td>
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<td>K. Indian/Native American Tribally Designated Organization</td>
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<td>L. Public/Indian Housing Authority</td>
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<td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td>
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<td>O. Private Institution of Higher Education</td>
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<td>P. Individual</td>
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<td>Q. For-Profit Organization (Other than Small Business)</td>
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<td>R. Small Business</td>
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<td>W. Non-domestic (non-US) Entity</td>
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<td>X. Other (specify)</td>
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<td>20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.</td>
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<tr>
<td>21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</td>
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</tbody>
</table>
Application Status Confirmation

Grants has marked the following application as submitted....

*Please submit signed copies of forms if you have been instructed by your program or grant office.

Federal Railroad Administration Grants Office
1200 New Jersey Avenue
Mail Stop 20
Washington, DC 20590

Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP - Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program
Region: DOT/FRA (Entire US)
Project Title: IL-METRO ST LOUIS AREA STATION PE-NEPA
Due Date: 04/04/2011 08:00 PM (GMT - 05:00) Eastern Time (US & Canada)
Submitted Date: 04/01/2011 05:19 PM Eastern Time

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<tr>
<td>SF-424 A Budget Information - Non-Construction Programs</td>
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<td>SF-424B Assurances - Non-Construction Programs.</td>
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<tr>
<td>SF-LLL Disclosure of Lobbying Activities</td>
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<tr>
<td>HSIPR Narrative Application Form Part I - Service Development Program (Required for Service Development Program; Upload template as an attachment)</td>
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<td>HSIPR Narrative Application Form Part II SOW - Service Development Program (Required for Service Development Program; Upload template as an attachment)</td>
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https://www.grantsolutions.gov/gs/servlet/eacc.newapp.EACSubmissionConfirmServlet

4/1/2011
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<tr>
<th>Documentation Type</th>
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<tr>
<td>Project Management Documentation (Required; Upload your document as an attachment) Upload N/A</td>
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<tr>
<td>Financial Planning Documentation (Required; Upload your document as an attachment) Upload N/A</td>
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<tr>
<td>Railroad and Project Sponsor Agreements (Required; Upload your document as an attachment) Upload N/A</td>
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<td>Railroad and Project Sponsor Agreements Upload N/A</td>
<td>04/01/2011</td>
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<tr>
<td>Additional Supporting Documents (Optional; Upload your own document as an attachment) Upload N/A</td>
<td>04/01/2011</td>
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Application Control Checklist
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: **IL- Metro St Louis Area Station PE-NEPA**

Document Title:

SF-424A – Budget Information – Non-Construction Programs (online#2)
# Budget Information – Non Construction Programs

**OMB Approval No. 0348-0044**

**Section A – Budget Summary**

<table>
<thead>
<tr>
<th>Grant Program Function or Activity (a)</th>
<th>Catalog of Federal Domestic Assistance Number (b)</th>
<th>Estimated Unobligated Funds</th>
<th>New or Revised Budget</th>
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<tr>
<td>5. Totals</td>
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**Section B – Budget Categories**

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<th>Grant Program, Function or Activity</th>
<th>Total</th>
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<td>6. Object Class Categories (1)</td>
<td>(4)</td>
</tr>
<tr>
<td>a. Personnel</td>
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</tr>
<tr>
<td>b. Fringe Benefits</td>
<td></td>
</tr>
<tr>
<td>c. Travel</td>
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</tr>
<tr>
<td>d. Equipment</td>
<td></td>
</tr>
<tr>
<td>e. Supplies</td>
<td></td>
</tr>
<tr>
<td>f. Contractual</td>
<td></td>
</tr>
<tr>
<td>g. Construction</td>
<td></td>
</tr>
<tr>
<td>h. Other</td>
<td></td>
</tr>
<tr>
<td>i. Total Direct Charges (sum of 6a-6h)</td>
<td></td>
</tr>
<tr>
<td>j. Indirect Charges</td>
<td></td>
</tr>
<tr>
<td>k. Totals (sum of 6i and 6j)</td>
<td></td>
</tr>
</tbody>
</table>

7. Program Income

---

This form was completed online within Grant Solutions

---

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### Section C - Non-Federal Resources

<table>
<thead>
<tr>
<th>(a) Grant Program</th>
<th>(b) Applicant</th>
<th>(c) State</th>
<th>(d) Other Sources</th>
<th>(e) Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td></td>
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<td>9.</td>
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<td>10.</td>
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<td>11.</td>
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</tr>
<tr>
<td>12. <strong>Totals</strong> (sum of lines 8-11)</td>
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<td></td>
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### Section D – Forecasted Cash Needs

<table>
<thead>
<tr>
<th></th>
<th>Total for 1st Year</th>
<th>1st Quarter</th>
<th>2nd Quarter</th>
<th>3rd Quarter</th>
<th>4th Quarter</th>
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<tbody>
<tr>
<td>13. Federal</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. Non-Federal</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. <strong>Total</strong> (sum of lines 13 and 14)</td>
<td></td>
<td></td>
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### Section E – Budget Estimates of Federal Funds Needed for Balance of the Project

<table>
<thead>
<tr>
<th></th>
<th>Future Funding Periods (Years)</th>
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<tbody>
<tr>
<td>(a) Grant Program</td>
<td>(b) First</td>
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<td></td>
<td>(d) Second</td>
</tr>
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<td></td>
<td>(d) Third</td>
</tr>
<tr>
<td></td>
<td>(e) Fourth</td>
</tr>
<tr>
<td>16.</td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td></td>
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<tr>
<td>18.</td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td></td>
</tr>
<tr>
<td>20. <strong>Total</strong> (sum of lines 16–19)</td>
<td></td>
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</table>

### Section F – Other Budget Information

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>21. Direct Charges</td>
<td>22. Indirect Charges</td>
</tr>
<tr>
<td>23. Remarks</td>
<td></td>
</tr>
</tbody>
</table>
**Instructions for the SF-424A**

Public Reporting Burden for this collection of information is estimated to average 3.0 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

**General Instructions**

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary Lines 1-4 Columns (a) and (b)**

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

**Lines 1-4, Columns (c) through (g)**

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

**Section B. Budget Categories**

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

---

**SF-424A (Rev. 4-92)**

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Prescribed by OMB Circular A-102
### Section C. Non-Federal Resources

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

### Section D. Forecasted Cash Needs

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19**—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants. If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21**—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23**—Provide any other explanations or comments deemed necessary.
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
SF-424B – Assurances – Non-Constructions (online#3)
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.

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).


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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

[Signature]

APPLICANT ORGANIZATION

Illinois department of Transportation

DATE SUBMITTED

March 30, 2011

Standard Form 424B (Rev. 7-97) Back
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
SF-LLL Disclosure of Lobbying Activities (online#4)

This form was completed online within Grant Solutions
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
HSIPR Narrative Application Form Part I – Individual PE/NEPA (upload #1)
Applicants interested in applying for funding under the March 2011 Notice of Funding Availability (NOFA) are required to submit the narrative application forms, parts I and II, and other required documents according to the checklist contained in Section 4.2 of the NOFA and the Application Package Instructions available on FRA’s website. All supporting documentation submitted for these PE/NEPA activities should be listed and described in Section G of this form. Questions about the HSIPR program or this application should be directed to the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must enter the required information in the gray narrative fields, check boxes, or drop-down menus of this form. Submit this completed form, along with all supporting documentation, electronically by uploading them to www.GrantSolutions.gov by 8:00 p.m. EDT on April 4, 2011.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

| (1) Name the submitting agency: | Provide the submitting agency Authorized Representative name and title: |
| Illinois Department of Transportation | Mr. George Weber, Acting Deputy Director |
| Address 1: JRTC, Suite 6-600; 100 W. Randolph Street | City: Chicago |
| State: IL | Zip Code: 60601- |
| Authorized Representative telephone: (312)793-4222 ext. | Authorized Representative email: george.weber@illinois.gov |

Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative):

Name, Title

Submitting agency POC telephone: ( ) - ext.
Submitting agency POC email:

(2) List out the name(s) of additional State(s) applying (if applicable):

None
B. Eligibility Information

Complete the following section to demonstrate satisfaction of application’s eligibility requirements.

(1) Select the appropriate box from the list below to identify applicant type. Eligible applicants are listed in Section 3.1 of the NOFA.

- [ ] State
- [ ] Group of States
- [ ] Amtrak
- [ ] Amtrak in cooperation with one or more States

If selecting one of the applicant types below, additional documentation is required to establish applicant eligibility. Please select the appropriate box and submit supporting documentation to demonstrate applicant eligibility, as described in Section 3.2 of the NOFA, to GrantSolutions.gov and list the supporting documentation under “Additional Information” in Section G.2 of this application.

- [ ] Interstate Compact
- [ ] Public Agency established by one or more States

(2) Indicate the planning processes used to identify the underlying project. As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives that the underlying project is intended to benefit. Refer to the PE/NEPA Application Package Instructions for more information. The appropriate planning document must be submitted with the application package and listed in Section G.2 of this application.

- [ ] State Rail Plan
- [x] Service Development Plan (SDP)
- [ ] Service Improvement Plan (SIP)
- [ ] Statewide Transportation Improvement Plan (STIP)
- [ ] Other, please list this document in Section G.2 with “Other Appropriate Planning Document” as the title
- [ ] The underlying project is not included in a relevant and documented planning process

(3) Select and describe the operational independence of the underlying project. Refer to Sections 3.4.4 and 3.5.2 of the NOFA for more information about operational independence and applications related to previously-selected projects.

- [x] This project is operationally independent.
- [ ] This project is operationally independent when considered in conjunction with previously selected or awarded HSIPR program project(s) (identify previously selected or awarded projects below).
- [ ] This project is not operationally independent.

Briefly clarify the response:

This project is for a new beltway station (including platforms and parking), planned as a hub for passengers to access trains without having to travel to downtown St. Louis. The station would be constructed in the metro-east St. Louis area along the route used by the Chicago-St. Louis Corridor "Lincoln Service" and "Texas Eagle" (long-distance) passenger trains. FRA has been a strong advocate for a metro St. Louis station. Previously, IDOT planned to implement this station as part of the full-build (double-track) package of improvements along the Chicago-St. Louis rail corridor (Corridor) originally proposed in IDOT's 2009 application for high speed rail (HSIPR) funding. However, this station can operate independently of the high speed rail project; so, it is being advanced with this application. It is independent from any of the improvements funded by the 2010 grant between FRA and IDOT for high speed rail

1 PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project’s development. The underlying project is the larger area and/or infrastructure that will become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

2 A project is considered to have operational independence if, upon being implemented, it will provide tangible and measurable benefits, either independently of other investments or cumulatively with projects selected to receive awards under previous HSIPR program solicitations.

Form FRA F 6180.133 (07-09)
The proposed station project would result in an increase in ridership on the Corridor because it would enhance the accessibility of all rail passenger service independent of high speed rail service. Intermodal connections and cross-modal benefits will also be emphasized in the site selection and design of the passenger facility. Completion of the site study and a Tier I EIS will result in the selection of an appropriate site, followed by design and construction of the proposed enhancement.
C. PE/NEPA Activities Summary

Identify the title, location, and other information of the proposed PE/NEPA work by completing this section.

(1) **Provide a clear, concise, and descriptive project name.** Use identifiers such as State abbreviations, major cities, infrastructure, and tasks of the underlying project (e.g., “DC-Capital City to Dry Lake Track Improvements”). Please limit the response to 100 characters.

IL-Metro St. Louis Area Station-PE/NEPA

(2) **Indicate the activity(ies) proposed in this application.** Check all that apply.

- [x] Preliminary Engineering
- [x] Project NEPA

(3) **If the applicant submitted an application for this project, or a project within the scope, that was not selected, indicate the solicitation under which that application was submitted.** Check all that apply.

- [ ] ARRA – Track 1
- [x] ARRA – Track 2
- [ ] FY 2009 – Track 4
- [ ] FY 2009 Residual
- [ ] FY 2010 Service Development Program
- [ ] FY 2010 Individual Project – PE/NEPA
- [ ] FY 2010 Individual Project – FD/Construction
- [ ] N/A

(4) **Indicate the anticipated duration, in months, for the proposed PE/NEPA activities.** Consider that American Recovery and Reinvestment Act funding must be obligated by September 30, 2017.

Number of Months: 9

(5) **Specify the anticipated HSIPR funding level for the proposed PE/NEPA activities.** This information must match the SF-424 documents, and dollar figures must be rounded to the nearest whole dollar. All applicants are encouraged to contribute non-Federal matching funds. FRA will consider matching funds in evaluating the merit of the application. See Section 3.3 of the NOFA for further information regarding cost sharing.

<table>
<thead>
<tr>
<th>HSIPR Federal Funding Request</th>
<th>Non-Federal Match Amount</th>
<th>Total Project Cost</th>
<th>Non-Federal Match Percentage of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$800,000</td>
<td>$200,000</td>
<td>$1,000,000</td>
<td>20 %</td>
</tr>
</tbody>
</table>

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3 Project NEPA documentation is required for the specific design alternative identified through Preliminary Engineering and related activities. Project NEPA documentation may also be referred to as site-specific NEPA or Tier II NEPA documentation.

Form FRA F 6180.133 (07-09)
(6) Indicate the source, amount, and percentage of matching funds for the proposed PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.5. Click on the gray boxes to select the appropriate response from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Also, list the percentage of the total project cost represented by each non-Federal funding source. Provide supporting documentation that will allow FRA to verify each funding source, any documentation not available online should be submitted with the application package and listed in Section G.2 of this application.

<table>
<thead>
<tr>
<th>Non-Federal Match Funding Sources</th>
<th>Type of Source</th>
<th>Status of Funding</th>
<th>Type of Funds</th>
<th>Dollar Amount</th>
<th>% of Total Project Cost</th>
<th>Describe Any Supporting Documentation to Help FRA Verify Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illinois Capital Bill</td>
<td>Existing</td>
<td>Committed</td>
<td>Cash</td>
<td>$200,000</td>
<td>20 %</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Sum of Non-Federal Funding Sources</td>
<td></td>
<td></td>
<td></td>
<td>$200,000</td>
<td>20 %</td>
<td>N/A</td>
</tr>
</tbody>
</table>

(7) Indicate whether the proposed activities in this application are also included as a component project or phase in a Service Development Program application submitted concurrently.

- Yes, all of the activities in this application have also been submitted as a component project or phase of a Service Development Program application.
- Yes, some of the activities within this application have also been submitted as a component project or phase of a Service Development Program application.
- No, this application and its proposed activities have not been submitted as a component project or phase of a Service Development Program application.

(8) Indicate the name of the corridor where the underlying project is located and identify the start and end points as well as major integral cities along the route.

Chicago-St. Louis HSR Corridor - end points are as in corridor name; integral on-line cities include: Joliet, Dwight, Pontiac, Bloomington-Normal, Lincoln, Springfield, Carlinville and Alton.

(9) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS shapefile (.shp) as supporting documentation. This document must be listed in Section G.2 of this application.

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., statutory authority) 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 or appropriation guidance. 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 capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors’ 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 capital investment program.
The exact location of the proposed station has not been determined. However, nearby railroad control points and mileposts include: Lenox (CPI276) at MP 269.77, WR Tower (CPTA010) at MP 275.5, Venice (CPX278) at MP 278 and Q Tower (CPX281) at MP 281. Municipal names or railroad operating locations in the area of interest (from north to south) include Nameoki, Granite City, Madison, Venice and East St. Louis.

(10) Provide an abstract outlining the proposed PE/NEPA activities. Briefly summarize the project narrative provided in the Statement of Work in 4-6 sentences. Capture the major milestones, outcomes, and anticipated benefits that will result from the completion of the underlying project.

The objectives of this project are to develop a consensus on a recommended location for a new metro-east St. Louis rail station, prepare preliminary engineering plans suitable to assess outcomes of the project including impacts, costs and station site, preliminary engineering plans suitable to assess outcomes of the project including impacts, costs, and benefits, and to develop NEPA documentation supporting the selected site. Outcomes will also include a description of the required facilities: the station building, parking facilities, platforms and related improvements. A process will be used to reach a recommended location for the station. The process includes developing a work plan and schedule, creating a vision statement and goals, determining project purpose and need, developing screening criteria, identifying environmental impacts and mitigation activities and identifying a recommended alternative. Key activities of the project include: 1) establishing organizational links between IDOT planning and environmental units, MPOs and transit agencies, Federal agencies and other stakeholders; 2) establishing a project vision and goals; 3) determining the project purpose and need; 4) developing and applying screening criteria to eliminate alternatives; 5) identifying the affected environment and the possible environmental impacts of the project; 6) determining likely environmental mitigation activities; and, 7) preparing preliminary design documents. At the conclusion of this process, the project will have clear, concise goals, a solid purpose and need statement and a preliminary design describing concepts and features. The strongest of the alternative station locations will emerge from this process, resulting in a local consensus on how to proceed into final design and construction. The resulting recommendation would further assist residents of the metro St. Louis area in obtaining more accessible passenger train transportation.

(11) Indicate the type of expected capital investments included in the underlying project. Check all that apply.

- Communication, signaling, and control
- Electric traction
- Grade crossing improvements
- Major interlocking
- Positive Train Control
- Rolling stock acquisition
- Rolling stock refurbishments
- Station(s)
- Structures (bridges, tunnels, etc.)
- Support facilities (yards, shops, administrative buildings)
- Track rehabilitation and construction
- Other (please describe)

(12) Indicate the anticipated service outcomes of the underlying project. Check all that apply.

- Additional service frequencies
- Service quality improvements
- Increased average speeds/shorter trip times
- Improved operational reliability on existing route
- Improved on-time performance on existing route
- Other (please describe) Enhanced access possibilities

Briefly clarify the response(s), if needed:
Currently, trains on the Chicago-St. Louis corridor make station stops in Alton, IL (MP 257) and St. Louis, MO (MP 284), separated by about 27 miles. The proposed project would provide a new station in the metro-east St. Louis area, serving East St. Louis and adjacent communities, including, but not limited to: Nameoki, Granite City, Madison and Venice. Today, a potential rider from this area has choices of only the St. Louis or Alton stations, which means driving and parking or accessing and riding transit services to the available stations, which can decrease the attractiveness of using the corridor service. The proposed Metro St. Louis area station will increase potential access points to the "Lincoln Service" corridor trains and the "Texas Eagle" long distance passenger train and will incorporate multi-modal access provisions, increasing cross-modal benefits, as well as further enhancing overall corridor project utility.

(13) Provide the following information about job creation through the life of the PE/NEPA development activities.

<table>
<thead>
<tr>
<th>Anticipated number of annual onsite and other direct jobs created (on a 2080 work-hour per year, full-time equivalent basis)</th>
<th>PE/NEPA Period</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4</td>
</tr>
</tbody>
</table>

5 The underlying project is the larger area and/or infrastructure that will become the FD/Construction project following completion of the PE/NEPA activities.
(14) **Quantify the applicable service outcomes of the underlying project.** Provide the current conditions and anticipated service outcomes. Future state information is required only for the service outcomes identified in Section C.12.

<table>
<thead>
<tr>
<th></th>
<th>Frequencies</th>
<th>Scheduled Trip Time (round-trips, in minutes)</th>
<th>Average Speed (mph)</th>
<th>Top Speed (mph)</th>
<th>Reliability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current</strong></td>
<td>8</td>
<td>670</td>
<td>50</td>
<td>79</td>
<td>73%</td>
</tr>
<tr>
<td><strong>Future</strong></td>
<td>8</td>
<td>550</td>
<td>62</td>
<td>110</td>
<td>80%</td>
</tr>
</tbody>
</table>


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6 Frequency is measured in daily round-trip train operations. One daily round-trip operation should be counted as one frequency.

Form FRA F 6180.133 (07-09)
(15) Indicate if any PE or NEPA activities that are part of this application are underway or completed. Check all that apply.

- ☐ Preliminary Engineering activities are complete.
- ☐ Preliminary Engineering activities are in progress.
- ☒ No Preliminary Engineering activities are in progress or completed.
- ☐ NEPA activities are complete.
- ☐ NEPA activities are in progress.
- ☒ No NEPA activities are in progress or completed.

Describe any activities that are underway or completed in the table below. If more space is necessary, please provide the same information for additional activities underway or completed in a supporting document and list in Section G.2 of this application.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Description</th>
<th>Completed? (If yes, check box)</th>
<th>Start Date (mm/yyyy)</th>
<th>Actual or Anticipated Completion Date (mm/yyyy)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>
D. Infrastructure Owner(s) and Operator(s)

Address the section below with information regarding railroad infrastructure owners and operators of the underlying project for the proposed PE/NEPA development activities. Applicants that own and/or control the infrastructure to be improved by the project or have a service outcomes agreement in place with the infrastructure owning railroad for the proposed project, or an executed agreement that could be amended with the infrastructure owning railroad for a project(s) located on the same corridor as the proposed project, will be looked upon favorably during the application review and selection process.

(1) Provide information regarding Right-of-Way Owner(s). Where railroads currently share ownership, identify the primary owner. Click on the gray boxes to select the appropriate response from the lists of railroad type, right-of-way owner and status of agreement. If the Right-of-Way Owner is not included on the prepopulated list, select “Other” and type the name in the adjacent text box within that field. Should the application have more than five owners please provide the same information for additional owners in a separate supporting document and list it in Section G.2 of this application.

<table>
<thead>
<tr>
<th>Type of Railroad</th>
<th>Right-of-Way Owner</th>
<th>Route-Miles</th>
<th>Track-Miles</th>
<th>Status of Agreement to Implement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class 1 Freight</td>
<td>UPRR</td>
<td>208</td>
<td>247</td>
<td>Preliminary Executed Agreement/MOU</td>
</tr>
<tr>
<td>Class 1 Freight</td>
<td>Other: KCS</td>
<td>32</td>
<td>32</td>
<td>Preliminary Executed Agreement/MOU</td>
</tr>
</tbody>
</table>

(2) Name the Intercity Passenger Rail Operator and provide the status of the agreement. If applicable, provide the status of the agreement with the partner that will operate the planned passenger rail service (e.g., Amtrak). Click on the gray box to select the appropriate response from the status of agreement list. Should the proposed service have more than three operators, please provide the same information for additional operators in a separate supporting document and list it in Section G.2 of this application.

<table>
<thead>
<tr>
<th>Name of Rail Service Operator</th>
<th>Status of Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amtrak</td>
<td>Preliminary executed agreement/MOU</td>
</tr>
</tbody>
</table>

(3) Identify the types of services affected by the underlying project and provide information about the existing rail services within the underlying project boundaries (e.g., freight, commuter, and intercity passenger). Click on the gray boxes to select the appropriate response from the list of types of service. If the Name of Operator is not included in the prepopulated list, select “Other” and type the name in the adjacent text box within that field.

<table>
<thead>
<tr>
<th>Type of Service</th>
<th>Name of Operator</th>
<th>Top Existing Speeds Within Underlying Project Boundaries (mph)</th>
<th>Number of Route-Miles Within Underlying Project Boundaries (miles)</th>
<th>Average Number of Daily One-Way Train Operations(^7) Within Underlying Project Boundaries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freight</td>
<td>UPRR</td>
<td>Passenger 0, Freight 60</td>
<td>11</td>
<td>19</td>
</tr>
<tr>
<td>Intercity Passenger</td>
<td>Amtrak</td>
<td>Passenger 79, Freight 0</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Freight</td>
<td>Other: KCS</td>
<td>Passenger 0, Freight 60</td>
<td>11</td>
<td>4</td>
</tr>
</tbody>
</table>

\(^7\) One daily round-trip operation should be counted as two daily one-way train operations.
(4) Estimate the share of benefits that will be realized by non-intercity passenger rail service and select the approximate cost share to be paid by the beneficiary.\(^8\) Click on the gray boxes to select the appropriate response from the lists of type of beneficiary, expected share of benefits, and approximate cost share. If more than three types of non-intercity passenger rail are beneficiaries, please provide additional information in a separate supporting document, and list in Section G.2 of this application.

<table>
<thead>
<tr>
<th>Type of Non-Intercity Passenger Rail</th>
<th>Expected Share of Benefits</th>
<th>Approximate Cost Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freight</td>
<td>Less than 50%</td>
<td>1-25%</td>
</tr>
</tbody>
</table>

Benefits include service improvements such as increased speed or on-time performance, improved reliability, and other service quality improvements.
E. Additional Response to Evaluation Criteria

Respond to each of the following evaluation criteria in the gray text boxes provided to demonstrate how the proposed PE/NEPA activities and underlying project will achieve these benefits.  

(1) Project Readiness

Describe the feasibility of the proposed PE/NEPA project to proceed promptly to award, including addressing:

- The applicant’s progress, at the time of application, in reaching final service outcomes agreements (where necessary) with key project partners. Applicants that own and/or control the infrastructure to be improved by the project or have an executed service outcomes agreement that could be amended with the infrastructure owning railroad for a project(s) located on the same corridor as the proposed project, will be looked upon favorably during the application review and selection process; and
- The quality and completeness of the project’s Statement of Work (included in the HSIPR Narrative Application Form), including whether the Statement of Work provides a sufficient level of detail regarding scope, schedule, and budget to immediately advance the project to award.

IDOT, UPRR and Amtrak have a good working relationship spanning many years, and passenger service currently operates on the corridor through the Metro St. Louis area. They also have an outstanding track record on mututally-agreeable contracts related to high-speed rail. For example in 2009, UPRR and IDOT entered into a memorandum of understanding regarding the high-speed rail project. More HSIPR agreements followed. UPRR and IDOT have executed a 2010 construction agreement (June 16, 2010) and a 2011 construction agreement (March 4, 2011), as well as a service outcomes agreement (December 20, 2010) between IDOT, UPRR and Amtrak. The 2010 construction season was successful in that both parties worked together to achieve positive results. The parties are ready to amend the service outcomes agreement to reflect the addition of a Metro St. Louis station. UPRR and IDOT are currently negotiating a maintenance agreement for the corridor and a QA/QC plan for 2011 construction; these documents should be finalized in the near future.

A project-specific scope, schedule and budget have been prepared for the proposed Metro St. Louis station and are included as part of this submittal.

(2a) Transportation Benefits

Describe the transportation benefits that will result from the underlying project of the proposed PE/NEPA activities and how they will be achieved in a cost-effective manner, including addressing:

- Generating improvements to existing high-speed and intercity passenger rail service, as reflected by estimated increases in ridership, increases in operational reliability, reductions in trip times, additional service frequencies to meet anticipated or existing demand, and other related factors;
- Generating cross-modal benefits, including anticipated favorable impacts on air or highway traffic congestion, capacity, or safety, and cost avoidance or deferral of planned investments in aviation and highway systems;
- Creating an integrated high-speed and intercity passenger rail network;
- Encouragement of intermodal connectivity and integration, including a focus on convenient connection to local transit and street networks, as well as coordination with local land use and station area development;
- Ensuring a state of good repair of key intercity passenger rail assets;
- Promoting standardized rolling stock, signaling, communications, and power equipment;
- Improved freight or commuter rail operations, in relation to proportional cost-sharing (including donated property) by those other benefiting rail users;
- Equitable financial participation from benefiting entities in the project's financing;
- Encouragement of the implementation of positive train control (PTC) technologies (with the understanding that 49 U.S.C. 20147 requires all Class I railroads and entities that provide regularly scheduled intercity or commuter rail passenger services to fully institute interoperable PTC systems by December 31, 2015); and
- Incorporating private investment in the financing of capital projects or service operations.

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Footnote: PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project. The underlying project is the larger area and/or infrastructure that will become the FD/Construction project following completion of the PE/NEPA activities.
A metro-east St. Louis station will generate improvements and contribute to the sustainability of the existing high-speed intercity passenger rail service. Ridership on the "Lincoln Service" corridor trains is expected to increase since there will be easier, more convenient access to rail transportation for the residents of the entire metro St. Louis area, particularly the metro-east area. Station area transit-oriented development will also be encouraged when the new station is planned and built. In addition, since ridership is expected to increase, this will result in a potential reduction in highway and airplane usage on the corridor, thus reducing the dependence on fuel. Through careful selection of the location for the proposed new station, intermodal connectivity and integration will be addressed and ensured. For example, a connection to the MetroLink LRT operation could be made in this area, providing interurban connections beyond the limits of the Chicago-St. Louis high-speed rail corridor.

IDOT continues to be committed to the sustainability of the HSIPR by ensuring that an on-going funding stream will exist for present and future maintenance expenses incurred. As a result, the facilities will be kept in a state of good repair, and design will incorporate sustainability features. IDOT is cognizant of the benefit of standardized design criteria. Consequently, by employing design standards and criteria similar to and consistent with those being developed for the improvement of the existing on-line stations, the new station will not require any unique equipment or modifications in terms of rolling stock types, signaling, communications or power equipment. The new station will not adversely affect freight or commuter rail operations. Rolling stock procurement is not a part of this application. Further, it will not preclude implementation of interoperable PTC systems/operations. IDOT is committed to seek ways in which private participation may be encouraged/included in this project.

(2b) Other Public Benefits

Describe the other public benefits that will result from the underlying project and how they will be achieved in a cost-effective manner, including addressing:

- The extent to which the project is expected to create and preserve jobs and stimulate increases in economic activity;
- Promoting environmental quality, energy efficiency, and reduction in dependence on oil, including the use of renewable energy sources, energy savings from traffic diversions from other modes, employment of green building and manufacturing methods, reductions in key emissions types, and the purchase and use of environmentally sensitive, fuel-efficient, and cost-effective passenger rail equipment; and
- Promoting coordination between the planning and investment in transportation, housing, economic development, and other infrastructure decisions along the corridor, as identified in the six livability principles developed by DOT with the Department of Housing and Urban Development and the Environmental Protection Agency as part of the Partnership for Sustainable Communities, which are listed fully at http://www.dot.gov/affairs/2009/dot8009.htm.

Conduct of the PE-NEPA activities, final design and construction of the proposed station can be expected to create job opportunities in the environmental, architectural and engineering fields, as well as ultimately in construction-related jobs. Procurement of the materials and equipment required for the new station will create opportunities in several areas/fields. Construction-related jobs will also benefit from the addition of this station to the Chicago-St. Louis HSR project. Opportunities for area contractors, including MBE/WBE/DBE participation will be emphasized.

The proposed station project will serve to promote environmental quality and reduce oil dependence by reducing auto trips or miles per trip previously required to access either the St. Louis, MO or Alton, IL stations. It will support passenger rail as a mobility option for travel of all purposes. By increasing accessibility to the passenger rail corridor, the new station project will encourage use of the Chicago-St. Louis HSR "Lincoln Service" corridor trains and the "Texas Eagle" long-distance passenger train, resulting in diversions from auto, bus and airline modes, which should also result in environmental benefits for the region. It is expected that green building and manufacturing methods will be employed wherever possible in the new station design.

As noted elsewhere in this application provision of intermodal interchange will be promoted in the location and design of the new station (including parking and platforms), thereby promoting coordination between transportation and infrastructure decisions.

(3) Project Delivery Approach

Describe the risk associated with the delivery of the PE/NEPA development activities within budget, on time, and as designed, including addressing:
- The timeliness of project completion and the realization of the project’s benefits;
- The applicant’s financial, legal, and technical capacity to implement the project;
- The applicant’s experience in administering similar grants and projects;
- The soundness and thoroughness of the cost methodologies, assumptions, and estimates;
- The thoroughness and quality of the project management documentation; and
- The timing and amount of the project's future noncommitted investments.

IDOT has authority to accept and expend funds granted to it by FRA. IDOT has previously received funds from the USDOT and the FRA. With the approval of the "Illinois Jobs Now!" - a $31 billion capital bill enacted in 2009, IDOT has received a commitment from the State of Illinois for the high-speed rail project, including this PE/NEPA application. The State's FY2011 Capital budget (July 1, 2010 to June 30, 2011) contains $400 million in appropriation for high-speed rail projects. Based on the early experience with high-speed rail projects, IDOT will be able to complete the PE/NEPA application in a timely manner. An example of IDOT's ability to complete a project timely occurred in the 2010 construction season on the high-speed rail corridor. IDOT and UPRR agreed that construction needed to begin in 2010 in order to timely implement high-speed rail service. A construction agreement was executed on July 16, 2010 and major construction work began on the corridor on September 1, 2010. Eighty-five miles of track were scheduled for construction; 77 miles were completed in less than 16 weeks. Work stopped on December 18, 2010 prior to completing the remaining eight miles, not because of contract or personnel issues, but due to poor weather conditions. The 2010 project was under budget. This rapid rate of progress will start again with the 2011 construction season; work will begin on or about April 5, 2011. IDOT will ensure that the 2011 season is also timely completed. It will add this same degree of management skill to the current applicaton, as it did with the 2010 high-speed rail construction work.

IDOT has demonstrated experience in administering large projects of similar complexity. In addition to large highway projects, IDOT is currently administering the high-speed rail project (with a total value of $1.2 billion). To this end, it was successful in effectuating the 2010 construction agreement for high-speed rail. IDOT has also been successful with negotiating and executing a service outcomes agreement with UPRR and Amtrak. IDOT has a track record of delivering rail projects including stations for more than 20 years.

IDOT has followed a set process for the assessment and conceptual design of the other on-line stations covered by the ROD (Dwight, Pontiac, Lincoln, Springfield, Carlinville and Alton). It would follow a similar process for the design of the Metro St. Louis station. This consistency should reduce any potential project risk. In addition, the ROD project has been rigorous in its adherence to the NEPA requirements in all project activities, including those for new corridor facilities. Again, this process will be employed for the Metro St. Louis station.

The success of the construction activities to date, including the cost-savings realized in the 2010 construction program, further demonstrate that the UPRR and IDOT can work efficiently and effectively on major rail construction projects. Further, the program management team assembled by IDOT has been fully capable of adapting to changing conditions, which are inevitable on a project of the magnitude of high-speed rail. IDOT is in the process of developing the System Safety Program Plan for the high-speed rail project. It will be reviewed by UPRR and Amtrak prior to adoption. The SSP demonstrates that IDOT and the project management team considers system safety responsibility as an important element in its program. In addition, the construction safety record during the 2010 construction season was exemplary, indicating that both IDOT and UPRR both have a substantial commitment to workplace safety. For example, E-Railsafe is one program UPRR utilizes to help ensure safety and security along its ROW. This program ensures that third-party contractors working on railroad property do the following: a) complete a railroad safety training course; b) complete a railroad security awareness course; c) acquire a contractor photo identification credential; and, d) pass a criminal history check.

### (4) Sustainability of Benefits

Identify the likelihood of realizing the benefits of the underlying project for the proposed PE/NEPA development activities, including addressing:

- The applicant’s financial contribution to the project;
- The quality of a financial planning documentation that analyzes the financial viability of the HSIPR service that will benefit from the project;
- The availability of any required operating financial support, preferably from dedicated funding sources;
- The quality and adequacy of project identification and planning; and
- The reasonableness of estimates for user and non-user benefits for the project.
IDOT and the State of Illinois have demonstrated a substantial commitment to the implementation of the HSR project, including committing resources from "Illinois Jobs Now" (discussed elsewhere in this application). IDOT has also taken steps in prior applications and in this application to ensure that the local share meets or exceeds the requirements wherever possible. IDOT proposes a 20% State share in this application. IDOT, through annual financial support to Amtrak, has further demonstrated a substantial commitment to Amtrak train operations, whether on the Chicago-St. Louis route, or any of the other IDOT-supported corridors in the State. The State is committed to cover any future operating and maintenance funding needs in each of the previous HSIPR funding applications. The metro-east St. Louis station project will benefit from IDOT's commitment to ensure that all high-speed rail assets are kept in a state of good repair over the life of the project. IDOT made this commitment in the December 2010 FRA grant of $1.1 billion and will do so again, IDOT is currently in negotiations with UPRR for the maintenance of the corridor. Any resulting agreement will provide maintenance that meets or exceeds FRA's requirements, in addition to good railroad practices. Note that a project financial plan is a part of this submittal.

With regard to the reasonableness of user and non-user benefits, IDOT has always taken a conservative approach in these estimates and this project is no exception. Refinement of such benefits will be undertaken during the execution of the project.
F. Statement of Work

The Statement of Work (SOW) is a required document. This must be submitted using the Narrative Application Form Part II. Statement of Work available on FRA’s website to provide the required information. The quality and completeness of this document will be measured as a Project Readiness evaluation criterion, as outlined in Section 5.2.1 of the NOFA. Please provide the SOW as a separate document and list it in Section G.2 of this application.

The SOW is a description of the work that will be completed under the grant agreement and must address the background, scope, and schedule, and include a high-level budget of the proposed project.

1. The SOW is required for a complete application package.
2. The SOW should contain sufficient detail so that both FRA and the applicant can:
   a. Understand the expected outcomes of the work to be performed by the applicant, and
   b. Track applicant progress toward completing key project tasks and deliverables during the period of performance.
3. The SOW should clearly describe project objectives, but allow for a reasonable amount of flexibility regarding how the objectives will be accomplished. It is important to describe the overall approach to and expectations for project/activity completion.
4. If the SOW describes work for phases and/or groups of component projects, the larger program should be explained in the background section of the SOW. The remainder of the SOW should be limited to describing the activities that directly contribute to the combined FRA and applicant effort which is funded under the grant agreement.
G. Optional Supporting Information

Provide a response to the following questions, as necessary, for the proposed PE/NEPA activities.

(1) **Please provide any additional information, comments, or clarifications and indicate the section and question number that being addressed (e.g., Section E.3).** Completing this question is optional.

Section C, Questions 4 and 5 - duration and cost information is for PE-NEPA phase work, only. A similar station project was included in an IDOT ARRA Track 2 application in 2009 - NOT selected for funding by FRA.

Section C, Question 12 - 4 full-time equivalents (FTEs) on an annual basis; equates to 6 FTEs for the expected duration of the PE/NEPA task.

Section C, Question 14 - statistics and performance data included are for "Lincoln Service" trains only - end-to-end journeys Chicago-St. Louis and return.

Section D, Question 1 - route-miles and track-miles shown are for UP Dwight-Q Tower Segment and for KCS 2nd main track in the Godfrey-Q Tower line section.

Section D, Question 3 - As the station location has not been determined, freight and passenger train speeds listed are maximum under existing conditions, as opposed to specific speeds at a particular location. Project limits/boundaries reflect the separation distance between Lenox (MP 269.77) and Q Tower (MP 281.0), or 11.23 route-miles. UP owns and maintains one track in this section; KCS the other track. Number of freight train movements for UPRR varies by line section - number shown is the expected maximum per day on this corridor.

Section D, Question 4 - proposed project is a passenger rail station and as such will not benefit freight carriers, however, pull-down menu does not allow selection of 0% of benefits to be selected. In a similar context, no selection for 0% of project cost share was provided. Lowest % shares of those available in both instances were selected.

(2) **Please provide a document title, filename, and description for all optional supporting documents.** Ensure that these documents are uploaded to GrantSolutions.gov with the narrative application form and use a logical naming convention.

<table>
<thead>
<tr>
<th>Document Title</th>
<th>Filename</th>
<th>Description and Purpose</th>
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<tbody>
<tr>
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Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
HSIPR Narrative Application Form Part II SOW – Individual PE/NEPA (upload #2)
Statement of Work

The quality and completeness of this document will be measured as a Project Readiness evaluation criterion, as outlined in Section 5.2.1 of the NOFA. The applicant must provide a sufficient level of detail regarding scope, schedule, and budget that demonstrates the project is ready to immediately advance to award. Tables have been provided as illustrative examples for capturing data however, applicants can delete or adjust the tables as necessary. This form must be listed in Section G.2 of the Narrative Application Form Part I.

(1) Background. Briefly describe the events that led to the need for the proposed PE/NEPA project and the underlying issue the project will address. Also describe the transparent, inclusive planning process used to analyze the investment needs and service objectives of the full corridor on which the underlying project and the proposed PE/NEPA activities are located.

Currently, trains (Lincoln Service and the Texas Eagle) operating on the Amtrak Chicago-St. Louis corridor (Corridor), make station stops in Alton, IL, mile post (MP) 257, and St. Louis, MO (MP 284), separated by about 27 miles. The lack of a station between these two points limits options and accessibility for residents, particularly those on the east side of the metro St. Louis area and those that are transit dependent. Providing a station in the metro-east St. Louis area will likely increase project ridership due to enhanced access to rail transportation. In addition, particular emphasis during the planning process will be given to potential sites that provide substantial intermodal or cross-modal benefits. The overall Corridor improvement project now underway has a strong record of achievement, including meeting PE/NEPA requirements, including the conduct of the draft environmental impact statement and the record of decision (ROD) on the Dwight-East St. Louis line section, as well as the ongoing Tier 1 EIS process for the Dwight-Chicago line section and the City of Springfield Railroad Consolidation Study. This respect for the PE/NEPA process and outcomes will continue in the metro-east St. Louis station PE/NEPA effort.

Planning efforts have already begun regarding a potential station in the metro-east St. Louis area. These efforts have generated significant interest from citizens and local political leadership. IDOT and its program management team have held public meetings in the area related to the Corridor program; station interest surfaced during these meetings. Building on the experience of public involvement throughout the 2010 planning and construction work on the Corridor, interaction with affected stakeholders will continue with this project in a transparent process that meets the requirements of NEPA. The scope of planning work will include community interest, the potential for transit oriented development and transportation interconnectivity, specific impacts on ridership, costs, need for parking, and other typical station characteristics. The process will be similar to that now being used for the other six stations on the Chicago-St. Louis corridor under the terms of the 2010 Grant agreement between IDOT and FRA (No. FR-HSR-0015-11-01-01). This process involves considerable outreach, especially one on one discussion with decision makers and other stakeholders.

Affected communities and agencies will be included in the station agreement process through elected official meetings, stakeholder meetings, production of fact sheets, media outreach, social media planning and web site and comment management including development of message points and frequently asked questions. Coordination efforts with local communities has been accomplished through project web site updates, press releases, presentations, elected official briefings, small group meetings, development and distribution of fact sheets, E-blasts, and maintenance of a Corridor mailing list. An environmental review, conceptual site layout and design for PE will also be completed. The PE will provide sufficient detail to obtain FRA approval to proceed to FD and will include stakeholder concurrence.
FRA’s selection of this project for funding will allow the station development process to advance much more quickly, as part of the ongoing station development program for other stations that are included in the existing grant agreement, which will permit the work to proceed expeditiously.

(2) Scope of Activities. Clearly describe the scope of the proposed PE/NEPA activities and identify the general objective and key deliverables.

(2a) General Objective. Provide a general description of the PE/NEPA work to be accomplished through this grant, including PE/NEPA activities, the underlying project study area, and other parties involved. Describe the end-state of the project, how it will address the need identified in Background (above), and the outcomes that will be achieved as a result of the proposed PE/NEPA activities and underlying project.

The study area subject to this application includes the eastern Illinois portion of the metropolitan St. Louis area, from approximately Interstate 90 (north) to the Mississippi river (west) to the MacArthur Bridge and approaches (south) to Illinois route 111, Collinsville Road and 10th Street on the east. The municipalities involved are Granite City/ East St. Louis area and St. Louis. The map included with this application further describes these boundaries.

The objectives of this project are to develop a consensus on a recommended location for a new metro-east St. Louis rail station, prepare preliminary engineering plans suitable to assess outcomes of the project including impacts, costs and station site, preliminary engineering plans suitable to assess outcomes of the project including impacts, costs, and benefits, and to develop NEPA documentation supporting the selected site. Outcomes will also include a description of the required facilities, which includes the station building, parking facilities, platforms and related improvements. A process will be used (as further described in 2b, below) to reach a recommended location for the station. The process includes developing a work plan and schedule, creating a vision statement and goals, determining project purpose and need, developing screening criteria, identifying environmental impacts and mitigation activities and identifying a recommended alternative.

(2b) Description of Work. Provide a detailed description of the work to be accomplished through this grant by task including a description of the geographical and physical boundaries of the project. Address the work in a logical sequence that would lead to the anticipated outcomes and the end state of the activities.

The geographic boundaries of this application are from Granite City/East St. Louis Area on the east to the Mississippi River at St. Louis. The work to be performed includes the following:

- Develop a work plan and schedule; A clear understanding of the scope and schedule will be developed for the project. It will describe the components and features of the project, expected to include a station building, parking, platforms and related improvements.
- Establish organizational links with IDOT, MPO’s, transit agencies and appropriate Federal agencies; Coordination letters to identified stakeholders will be sent out in advance of the project. Stakeholder and public involvement will be solicited throughout the development of the project.
- Create a vision statement and goals for the station project; an overall vision for the transportation system can provide a starting point for defining the purpose and need for specific transportation projects. Coordination with State and local governments will be essential to establishing the project vision.
- Define project purpose and need; The transportation planning process should shape the purpose and need and, thereby, the range of alternatives. The purpose and need is an essential step in the development of a NEPA document and will require approval by FRA.
- Develop screening criteria to reduce the number of alternatives under consideration (this will likely be a two-phase process; after consultation with FRA, a screening methodology will be developed to eliminate alternatives. Purpose and need, environmental impacts, costs, operations, ridership potential and constructability are a few of the criteria that may be considered.
- Analyze alternatives and identify a recommended alternative; prepare supporting documentation for this recommendation. A summary of the screening analysis will be developed.
- Identify the affected environment and possible environmental impacts of the project; A range of alternatives will be analyzed resulting in a range of alternatives to be carried forward. As determined through the scoping process, data and information will be acquired commensurate with the level of detail required. If necessary, field surveys may be required. The environmental features will be summarized in the NEPA document for affected environment and environmental consequences for the alternatives.
- Determine likely environmental mitigation activities; Environmental resources will be first avoided, then impacts minimized and if necessary mitigated. Coordination with the appropriate resource agencies will be essential in the development of mitigation commitments.
(2c) **Deliverables.** Describe the work products of the project that were provided to FRA during the application process or will be completed as a part of this grant. In the table provided, list the deliverables, both interim and final, that are the outcomes of the project tasks. This should include a first deliverable – Detailed PE/NEPA Workplan and Schedule.

<table>
<thead>
<tr>
<th>Deliverable</th>
<th>Task</th>
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<tbody>
<tr>
<td>1 Detailed PE/NEPA Work plan and Schedule</td>
<td>PE/NEPA Scoping</td>
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<tr>
<td>2 Project Vision Statement, Goals and Purpose and Need</td>
<td>Alternative Screening Process</td>
</tr>
<tr>
<td>3 Project Screening Criteria</td>
<td>Alternative Screening Process</td>
</tr>
<tr>
<td>4 Affected Environment, Possible Environmental Impacts and Likely Mitigation Activities</td>
<td>Address mitigation requirements, if any</td>
</tr>
<tr>
<td>5 Recommendation report</td>
<td>Selection of preferred alternative</td>
</tr>
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Project Schedule. In the table below, estimate the approximate duration for completing each task in months. For total project duration, reference Section C.4 in the Narrative Application Form Part I.

<table>
<thead>
<tr>
<th>Task</th>
<th>Duration</th>
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<tr>
<td></td>
<td>Start Month to End Month</td>
</tr>
<tr>
<td>1 PE-NEPA Activities</td>
<td>01 to 09</td>
</tr>
<tr>
<td>2 Final Design and Construction</td>
<td>10 to 36</td>
</tr>
<tr>
<td>Total PE/NEPA project duration</td>
<td>9 months</td>
</tr>
</tbody>
</table>

(3) Project Cost Estimate/Budget. Provide a high-level cost summary of PE/NEPA activity in this section, using the PE/NEPA Application Package Instructions and the Narrative Application Form Part I as references. The figures in this section of the Statement of Work should match exactly with the funding amounts requested in the SF-424 form and Section C of the Narrative Application Form Part I. If there is any discrepancy between the Federal funding amounts requested in this section, the SF-424 form, or Section C of the Narrative Application Form Part I, the lesser amount will be considered as the Federal funding request. Round to the nearest whole dollar when estimating costs.

The total estimated cost of proposed PE/NEPA activities is provided below, for which the FRA grant will contribute no more than the Federal funding request amount indicated. Any additional expense required beyond that provided in this grant to complete the proposed PE/NEPA activities shall be borne by the Grantee.

| PE/NEPA and FD/Construction Cost Summary |
|-----------------------------------------|------------------|
| #            | Task                                                                 |
| 1            | PE/NEPA                                                            |
| ✓            | Work plan and Schedule $150,000                                     |
| ✓            | Project vision statement, goals, purpose and need $150,000         |
| ✓            | Project screening criteria $350,000                                 |
| ✓            | Affected environment, impacts, likely mitigation $150,000           |
| ✓            | Recommendation/report analyzing alternatives $200,000              |
| 2            | FD/Construction                                                    |
| Total        | $13,500,000                                                        |
| Total        | $14,500,000                                                        |

| PE/NEPA Federal/Non-Federal Funding Request |
|---------------------------------------------|---------------------------------|
| #                      | Cost in FY11 Dollars | Percentage of Total Activities Cost |
| 1 PE/NEPA Federal funding request | $800,000                         | 80 %                               |
| Non-Federal match amount          | $200,000                         | 20 %                               |
| Total PE/NEPA                         | $1,000,000                        | 100 %                              |

Note: this application is limited to an FRA funding request for PE/NEPA work only. The construction estimate is provided for information purposes only and is subject to refinement/revision. IDOT is not seeking funds.
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
Federal Railroad Administration Assurances & Certifications (upload #3)
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 of 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]

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE

3/30/2011
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<th><strong>Applicant:</strong></th>
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<tr>
<td><strong>Project Title:</strong></td>
<td><strong>IL- Metro St Louis Area Station PE-NEPA</strong></td>
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Document Title:

- Project Planning Documentation (upload #4)
IL-Metro St. Louis Area Station PE/NEPA

Planning and Development Summary

April 1, 2011

The current Tier 1 Environmental Impact Study (EIS) for the Chicago St. Louis High Speed Rail Full-Build project includes a general provision for adding a station stop in the Illinois portion of the St. Louis metropolitan area. Work is in progress to identify potential locations with a station in the metro-east area of St. Louis. A series of meetings have been conducted to gather input from residents and elected officials. Strong support for a station on the Chicago-St. Louis “Lincoln Service” corridor was received from residents and elected officials in St. Clair County, Illinois. This proposed station PE/NEPA request is the result of input received from public meetings conducted as part of the Chicago-St. Louis High Speed Intercity Passenger Rail Service Corridor Improvement Program.

A number of potential sites will be studied for a “beltway-type” ST. Louis metro-east station location. Final site selection is contingent on the outcome of train routing plans that involve the various bridges spanning the Mississippi River between Illinois and Missouri. Ultimately, the chosen site will have proximity to safe, well-lighted areas adjacent to pedestrian and vehicle corridors (which may include restaurants, shops, entertainment, governmental facilities, residential or college campuses), capability to serve as a regional intermodal transportation terminal, location near the local primary road system with efficient access, and potential for appropriately sized facilities and parking.

The area being studied possesses significant attributes to support addition of a new station to serve passengers on the “Lincoln Service” corridor, such as:

- Access to Interstate Highways 55, 64, 70 and 255
- Proximity to the Metro Transit Bi-State light rail and bus systems
- Growing economic development interests
- Proximity to Scott Air Force Base

Substantial ridership increases continue to be posted on Illinois routes including the “Lincoln Service” corridor. The Illinois Department of Transportation and Amtrak are committed partners to improving service and expanding access to passengers. The proposed St. Louis metro-east station is envisioned to be a passenger rail station to enhance the intermodal connectivity of the metro-east area of St. Louis, Missouri. It will also serve as an alternative station to those who choose not to travel to downtown St. Louis to board the train. Ultimately, the selected station site is expected to lend itself to future Transit-Oriented Development (TOD).

TOD is not in itself a type of development or real estate product. Rather, it is a method of creating neighborhoods or districts anchored by transit stations and specifically designed to encourage transit accessibility and reduced automobile usage. TOD typically contains a mix of land uses and interconnected circulation systems to emphasize mobility and enhance livability thus contributing to sustainable urban development. The St. Louis metro-east station project will be a key force in the redevelopment and revitalization of the area surrounding the selected station site. It will spur new commercial, office, and residential projects and provide an additional transportation connection for Metropolitan St. Louis area businesses to Chicago and beyond. It will provide a cost-effective transportation choice for all travelers, including students, the elderly, the disabled and the low-income population.
The proposed metro-east station would be located to facilitate links between intercity passenger rail, light rail, local and regional bus, taxi, and non-transit modes of transportation such as automobiles and bicycles. Access to area roads and transit services is paramount in the location decision; the ideal station placement should enrich the economic vitality and physical environment of the area while enhancing mobility.

The metro-east station will promote local, regional, and international connections to the existing transportation network. The economic impact of these connections on the metro-east vicinity is significant. In President Obama’s *Vision for High-Speed Rail in America*, “America’s transportation system is deemed the lifeblood of the economy. Providing a robust rail network can help serve the needs of national and regional commerce in a cost-effective, resource-efficient manner, by offering travelers convenient access to economic centers. Investment in rail will not only generate high-skilled construction and operating jobs, but it can provide a steady market for revitalized domestic industries producing such essential components as rail, control systems, locomotives, and passenger cars.”

More Transportation Alternatives – The metro-east station will enhance the existing transportation network in the Illinois-Missouri St. Louis metropolitan area. The potential for retail space in the new station may also offer bike rentals and/or station cars and other transportation enhancements.

Increased Transit Ridership – the extensive public transportation system in the metro-east area will allow arriving passengers to access area attractions without the use of an automobile. This will be implemented through a comprehensive planning process with support from local government, business leaders, and non-profit organizations. The transit system should experience significant ridership increases with the construction of a Metro-East station as the TOD becomes established.

Strengthening Urban Neighborhoods – The economic impacts of the metro-east station and TOD will be felt by the entire region but most readily by the residents of the nearby neighborhoods. By providing a range of employment opportunities and access to passenger rail potentially within walking distance of these neighborhoods, this project represents an investment not only in critical infrastructure but also in the residents themselves.

Affected Community – The expansion of passenger rail service from Chicago to the metropolitan St. Louis area via the proposed “beltway” station is expected to benefit many diverse groups of people:

- Students – College students attending local schools
- Business Community – Business meetings/conferences in Chicago, commuting to/from work, business expansion
- Family/Friends – Former residents returning to visit, going to visit Chicago or other cities
- Patrons of the arts, sporting events, etc. – Can more easily access their interests due to proposed rail service
- Tourists – Weekend trips to Chicago and beyond
- Senior Citizens – Driving averse
- Disabled Citizens – A mode of transportation to enhance their mobility and independence
- Economically Disadvantaged – Reasonably priced alternative to travel without the expense of a car (car, insurance, gas, parking, etc.)
- Non-Drivers – Expand new transportation options to travel to Chicago and beyond
Project Management Plan
CHICAGO–ST. LOUIS CORRIDOR
HIGH-SPEED INTERCITY PASSENGER RAIL SERVICE

CORRIDOR IMPROVEMENT PROGRAM
(as applied to the IL-Metro St. Louis Area PE/NEPA Study)

March 31, 2011
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SUPPORTING DOCUMENTS

The following documents were prepared as part of this Project. Copies of these documents are available upon request.

- Corridor Improvement Program - Construction Agreements between IDOT and UPRR – July 16, 2010 and March 4, 2011
- Corridor Improvement Program – Statement of Work
- Corridor Improvement Program – Financial Plan
- Chicago to St. Louis - Quality Assurance Manual
- Chicago to St. Louis - Draft Environmental Impact Statement – June 2000
- Chicago to St. Louis - Final Environmental Impact Statement – January 2003
- Chicago to St. Louis - Record of Decision - 01/08/2004
1. **INTRODUCTION**

While the PE/NEPA study for a station in the metro-east St. Louis area is an independent project, the management of this project can rely upon the principles of the program management plan (PMP) of the Chicago-St. Louis corridor improvement program. IDOT recognizes that not all elements of the PMP are applicable to the PE/NEPA project (e.g., equipment acquisition, right of way acquisition). Nonetheless, the general principles of planning, monitoring and implementing a project apply. IDOT will use those sections of the PMP from the Corridor Improvement Program PMP and apply them to the PE/NEPA study. The area in question for the PE/NEPA study is metro-east St. Louis.

Program Management of large-scale projects, such as the transformation of the Chicago-St. Louis (ChiSL) Corridor (“Corridor”) into a high-capacity, high-speed mixed-use corridor, requires resources, skills and experience in the organization and delivery of efforts of similar scope and scale. The Illinois Department of Transportation (IDOT), and its partner Union Pacific Railroad (UPRR), are highly experienced in the delivery of major transportation programs. Unlike many states departments of transportation, IDOT also has experience delivering rail programs. However, because of the complexity and wide scope of needs, a Program Management Consultant (PMC, sometimes referred to herein as “we”) has been engaged by IDOT to augment the public agency, rail carrier and regulatory agency’s forces, and is employed for the Chicago – St. Louis corridor program.

The Chicago-St. Louis 110 mph high speed rail package of improvements (hereafter referred to as Corridor Improvement Program) will strategically make investments in the rail Corridor that will aid in upgrading the passenger rail system (e.g., new rail, trains, signals, crossings, etc.), leading to a reduction in travel time, an increase in air quality and service reliability for both passenger and freight trains, as well as better connectivity between two strong population centers in the Midwest.

1.1 **Project Management Plan (PMP) Overview**

This document is intended to provide the approach for ensuring successful implementation of Corridor Improvement Program. It fulfills the requirements of the Federal Railroad Administration (FRA) for funding under the American Recovery and Reinvestment Act of 2009 (ARRA) High Speed Intercity Passenger Rail Program (HSIPR). The required elements of the PMP per 49 U.S.C. 24403(a) are listed in the table below. This table also indicates the applicable section(s) of the PMP where each element is addressed.

This Program Management Plan (“PMP”) is based on experience gained in the organization and delivery of prior, similar projects including the Taiwan high speed rail project and other intercity passenger rail improvement programs in the US. This is a dynamic document that will be updated periodically to include the future projects that are also a part of the overall Chicago – St. Louis HSIPR Program.

This PMP is a living document. IDOT will review and update the Management Plan on an annual basis, or more frequently as needed. In order to maximize our effectiveness in managing the project and meet project goals, the Project Management Plan will be continuously evaluated and revised as the project progresses.
IDOT fully endorses this Project Management Plan and is committed to achieving the goals and objectives set forth herein. Specifically, IDOT is committed to periodically submitting Program budget and schedule information to the US Secretary of Transportation (see Section 3.6.1 for reporting requirements).
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<td></td>
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<td>Recipient's commitment to submit periodically a project budget and project schedule to</td>
<td>Sections 1.1 &amp; 3.6</td>
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<td>the Secretary.</td>
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1.2 Program Management Consultant (PMC) Overview

The role of the PMC is to manage the program implementation including the wide-range of interdependencies between standards, designs and programs that comprise the overall program. The Team coordinates those elements of the program that are common to the management; organization; finance; risk assumption; as well as standards of communication, methods, technology and quality that are required to successfully develop and provide the fixed facilities, rolling stock and transportation services envisioned. The PMC provides either direct management or management oversight to accomplish the goals of the program.

The Chicago-St. Louis Corridor PMC serves as the Owner’s Representative in the execution of the program. The Team is integrated with staff from IDOT, consultants, and other program partners. For a program of this size, with the broad range of disciplines and stakeholders involved, key personnel from IDOT, Amtrak and UPRR have or will be temporarily assigned to work with the PMC, to ensure that input, review and coordination activities are expedited. These agency and carrier personnel will work hand-in-hand with the consultants that make up the PMC throughout the duration of the program. The PMC will define the roles and responsibilities within the program and would be responsible for the overall integrity and coherence of the program.

1.3 Corridor Improvement Program Description

The Grantee will perform, or cause to perform, Final Design (“FD”) and Construction in support of the renovation of track between Dwight and Lincoln and between Godfrey and the East St. Louis, Illinois area (“Project”). IDOT and UPRR will enter into a construction agreement covering the subject work (“Agreement”). The Project involves the renovation of approximately 118.89 miles of first main track and 39.44 miles of second main track and/or sidings, including replacement of track, turnouts, road crossings and curves. Work over the remainder of the 208 total miles of the Corridor Improvement Program was conducted as part of the 2010 TRT Project and Advance Program Work. The Project location is depicted in Figure 1.1 - Project Location Map.

1.3.1 Corridor Improvement Program Schedule

The Corridor Improvement Program schedule is contained in Appendix A of the PMP and will be revised over the course of the project. Generally, construction activities will occur from the fourth quarter of 2010 through 2014. The project segment from Dwight to Pontiac is scheduled for 110 mph operation in 2012 using existing rolling stock that has been modified and rehabilitated for 110 mph operation. The remainder of the corridor is scheduled for up to 110 mph operations by 2015.

The schedule for the PE/NEPA study is nine months, beginning in January, 2011. The project will span three quarters.
1.3.2 Corridor Improvement Program Limits

The Corridor Improvement Program is physically located between Q Tower in East St. Louis Illinois (MP 281.00) and Joliet (MP 36.5). This includes the segments from Lincoln (MP 160.0) to Springfield (MP 183.28) and Springfield (MP 187.60) to Godfrey (MP 249.32) that were part of the 2010 TRT Project. Per the Agreement between IDOT and UPRR, the work will be performed entirely in the State of Illinois within the UPRR Springfield and Joliet Subdivisions.

The limits of the Corridor Improvement Program include Springfield (MP 187.57 to MP 183.28). Note, however, that a study is underway related to the selection of preferred rail corridors through that city.

The limits for the PE/NEPA study of the metro-east St. Louis area station study are: Interstate 270 (north), Mississippi River (west), MacArthur Bridge and approached (south) and Illinois route 111, Collinsville Road and 10th Street (east). The map describing the area is set forth below.

1.3.3 Corridor Improvement Program Scope

The scope includes six primary areas: Track Structures and Track; Stations; Site Work and Right of Way; Communications and Signaling; Rolling Stock Acquisition; and, Professional Services. See detailed Scope of Work document for details.

The scope for the PE/NEPA study includes development of a work plan and schedule, establishing organizational links transit agencies and governmental units, creating a vision and goal, defining purpose and need, creating and implementing a collaborative process with stakeholders that will lead to the development of screening criteria, identify alternatives, identify environmental issues and mitigation, and, finally, identifying a recommended alternative.

1.4 Corridor Improvement Program Costs

A summary of the Program costs were estimated at $1.202 billion. The cost for the PE/NEPA study is estimated at $1,000,000. IDOT seeks 80% funding from FRA for this project.
Figure 1.1

Chicago - St. Louis High Speed Rail
Corridor Improvement Program
Metro St. Louis Area Station
PE/NEPA Study Area
ORGANIZATION AND PROTOCOL DEVELOPMENT

2.1 Organizational Structure

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 – IDOT, the members of the PMC and the key stakeholders (UPRR, Amtrak, FRA, ICC, etc.). The current Corridor Improvement Program organization chart is included as Figure 2.1.

Figure 2.1 – Project Organization Chart

2.1.1 Project Leadership Committee

The Project Leadership Committee includes: George Weber (Illinois Department of Transportation, Bureau Chief, Railroads), Michael Garcia, PE (Illinois Department of Transportation, Chief of Rail Engineering), Miriam Gutierrez (Illinois Department of Transportation, Rail) and Philip G. Pasterak, PE (Senior Vice President, Transit and Rail Manager – Central US, Parsons Brinckerhoff). Resumes of the Committee Members are included in Figure 2.2.
**George Weber**
IDOT Program Manager  
Bureau Chief, Bureau of Railroads  
Illinois Dept. of Transportation  
JR Thompson Center, Suite 6-600  
100 West Randolph  
Chicago, IL 60601  
Phone: 312-793-4222  
Fax: 312-793-5674  
George.Weber@illinois.gov

George Weber is the Bureau Chief for the Illinois Department of Transportation Bureau of Railroads. He was appointed to this capacity in January 2009 after serving as Acting Bureau Chief for two years. In his current capacity, he is responsible for all state railroad programs, including rail freight assistance, rail policy, intercity passenger rail, high speed rail and the CREATE program. Mr. Weber has been with the Department since 1991 serving until his appointment as Acting Bureau Chief, as the Rail Passenger Section Chief in overseeing the State’s passenger rail program. He was responsible for coordinating and managing all activities of the State’s passenger rail program to encourage public use.

Mr. Weber was primarily responsible for overseeing and managing the largest expansion of passenger rail service in the Midwest in over a decade. In early 2006, he coordinated with Amtrak the successful implementation of four more round trips on Illinois’ three downstate corridors. This expansion resulted in Illinois having the second largest state-sponsored program in the US, second only to California in term of operations and funding. The corridor coalitions that George formed in the late 90’s were the beginning of the grass roots movement that resulted in the eventual service expansion.

Besides his daily duties of managing the State’s Rail Programs, he also is the Illinois representative for the Midwest Regional Rail Initiative and States for Passenger Rail Coalition. He has also participated in various compacts including the Midwest High Speed Rail Compact as well as the Midwest Interstate Passenger Rail Compact. In January 2007, George was named employee of the quarter in recognition for his outstanding service to the Department. In October 2009, George was the recipient of the 2009 Award of Merit for Professional Excellence for his professional and technical excellence in Railroad Policy development and his contribution to the State’s High Speed Rail Initiative.

Prior to his working with IDOT, Mr. Weber worked for Amtrak from 1980 through 1991. He began his career with Amtrak in Chicago serving as a Trainmaster in the busy Chicago terminal until 1986 when he relocated to Albany, New York to assist in the takeover by Amtrak of the train and engine crews from the various railroads. He also served in similar operational capacities in St. Cloud, Minnesota and Denver, Colorado before accepting the position with the State of Illinois. Mr. Weber began his railroad career in 1977 with Conrail as a Block Operator before advancing to a Yardmaster’s position with both Conrail and Amtrak. George was a member of the US. Army from 1969 through 1972 and completed his military stint with an 18 month tour in Vietnam.
## Project Leadership Committee

<table>
<thead>
<tr>
<th>Name / Position</th>
<th>Background</th>
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</thead>
<tbody>
<tr>
<td><strong>Michael R. Garcia, PE</strong></td>
<td>Mike Garcia received his Civil Engineering Degree in 1978 from Marquette University located in Milwaukee, WI. He then began his Railroad career in Waukegan, IL for the Chicago &amp; North Western Railroad. He held various positions including working on the Chief Engineer’s staff in Chicago. He was hired by the Illinois Department of Transportation’s Bureau of Railroads in 1984 as a Program Manager, four years later Mike was promoted to Chief of Rail Engineering, a title he still holds. He has been the State’s chief rail engineer for projects on nearly every railroad in Illinois of all shapes and sizes, as small as a $10,000 rail siding to as big as the proposed $4,300,000,000 High Speed Rail project. He is currently active as the State’s engineering manager for the $1.5 billion CREATE Program in Chicago and the lead state engineer for the recently awarded 1st Phase $1.1 billion HSIPR Chicago to St. Louis project. Mike is a member of American Society of Civil Engineers and is a member and past Vice President on the Board of Directors of the American Railway Engineering and Maintenance of Way Association. Michael is a Registered Professional Engineer in the states of Illinois and Wisconsin.</td>
</tr>
<tr>
<td><strong>Miriam Gutierrez</strong></td>
<td>Miriam Gutierrez received her BA from DePaul University in Chicago. She began her career at the Cook County Office of the Chief Judge and then worked as the Latino Outreach Coordinator at Chicago 2016. As part of 2016 Chicago Olympic bid, Miriam was actively involved in engaging the community and developing campaign strategies to create awareness and support across all Chicagoland’s neighborhoods, racial, ethnic, religious, business and political communities. At the Illinois Department of Transportation, Miriam leads public involvement and planning for Bureau of Railroads projects. She is responsible for developing strategies and legislative initiatives to increase revenues, provide fiscal control, and evaluate statewide rail service and system performance problems. Miriam is also responsible for the State Rail Plan and Rail Program. She has served in key roles in the delivery of the initial stages of the Chicago – St. Louis 110 mph high speed rail program.</td>
</tr>
<tr>
<td><strong>Philip G. Pasterak, PE</strong></td>
<td>Phil Pasterak has extensive experience in the management, planning, and technical design of rail facilities. He is currently program manager for PB for the Illinois Department of Transportation’s implementation of 110 mph high speed service on the Chicago-St. Louis corridor, and in various roles on passenger programs throughout the Midwest, including Ohio and Minnesota. Phil has hands-on experience in all project stages, including delivery of a precedent-setting nationwide rail signal safety program to demanding deadlines in the United Kingdom. He also played a key role in the implementation of commuter rail for the Utah Transit Authority, which opened in 2008.</td>
</tr>
</tbody>
</table>
2.1.2 Construction / Field Work – Organization

The PMC will be providing construction oversight and inspection services of construction activities performed by UPRR and its contractors as described in PMP section 9.11. Due to the extensive amount of the Program scope and cost that is construction related, a construction / field work specific organizational chart has been included in this PMP (Figure 2.3).

The organizational chart below shows the staffing levels that were utilized for the 2010 TRT construction. It is anticipated that additional construction inspectors will be brought on as the construction level increases. In addition to the PMC staff, IDOT may add additional construction inspectors by procuring consultant services (referred to as PTB Consultants, see PMP section 4.2.1). PTB Consultants will likely be procured for road crossing and station construction inspection. The PMC will provide oversight and management of the PTB consultants.

Figure 2.3 – Construction / Field Work – Organizational Chart
2.2 IDOT Interface

The Illinois Department of Transportation is directed by its Secretary, Gary Hannig. He is supported by an Assistant Secretary, Chief of Staff, Chief of Operations, seven Offices (Business and Workforce Diversity, Chief Counsel, External Affairs, Finance and Administration, Governmental Affairs, Planning and Programming, and Quality Compliance and Review), and four modal Divisions (Aeronautics, Highways, Public and Intermodal Transportation, and Traffic Safety). This project will be managed by the Public and Intermodal Transportation, whose Director is Joseph Shacter. Within this Division, the Bureau Chief of Railroads is George Weber. Within this Bureau, Michael Garcia is the Chief of Rail Engineering and Miriam Gutierrez is Rail Program Planning Section Chief.

The Project will require coordination with the IDOT Division of Highways for the roadway grade crossings. The Division of Highways is divided into nine Districts which report to one of five Regional Engineers. The project is located within Districts 1, 3, 6, and 8. The project will also require coordination with Bureau of Local Roads & Streets.

Points of contact have been established between IDOT and the PMC for formal and informal contact. This is intended to establish a system of reports to the client to document progress, problems and resolutions and other issues that arise in the conduct of the Chicago-St. Louis Corridor program.

Within the Program Management Team, there will be multiple interface points between disciplines and technical areas. The summary matrix shown in Figure 2.4 was developed to summarize these interface points. Technical task force committees will be assembled as needed to address specific technical issues.

2.3 Federal Railroad Administration (FRA) & Regulatory Agency Interface

2.3.1 FRA Interface

The FRA team will conduct verification activities to ensure that the Project implementation of the FRA program conforms to established laws, regulations, and policies. Active FRA involvement will allow FRA to have confidence in the quality of the product and the Project team processes. If required, FRA will work to improve the products and processes in accordance with assessment of risk and benefit. IDOT will bring important federal issues to FRA’s attention for consideration and guidance.

FRA will provide a Project Manager who will be the Agency’s primary representative for overall project administration and oversight, in analyzing information concerning the status of the project, and if appropriate coordinating the review and acceptance of FRA required submissions. The FRA Grant Manager will be the primary contact on contract administration issues, including coordinating and providing status reports to FRA Headquarters. The IDOT and FRA representatives will meet bi-weekly to discuss the overall progress of the project and address outstanding issues.
Figure 2.4 – PMC Interface Matrix
2.3.2 Other Regulatory Agency Interface

The PMC will establish points of contact with the regulatory agencies having jurisdiction over the Program. In addition, to ensure that coordination is expedited with these agencies, the PMC will include personnel experienced in dealing with these matters, which will review applicable regulations and establish compliance standards and expectations. PMP Section 10.5 indicates regulatory approvals that are anticipated to be required for the Corridor Improvement Program.

2.4 Railroad Interfaces

In a similar context, points of contact have been established with Amtrak, UPRR, and as required, other railroads.

As noted in the preceding section, specific IDOT, Amtrak and UPRR personnel are assigned to the PMC to provide the channel for the formal contact with these carriers. Points of contact have been or will be established with each of the connecting/crossed rail lines on the corridor, which may include the CN, Metra, Belt Railway of Chicago, BNSF, CSX, Gateway Eastern, Illinois & Midland, KCS, NS and TRRA among others.

The Terminal Railroad Association of St. Louis ("TRRA"), Kansas City Southern Railroad ("KCS"), and Union Pacific Railroad ("UPRR") each have ownership and/or dispatching interests for the portion of the Corridor south of Alton Illinois. UPRR will act as the collective point of contact to the PMC for TRRA, KCS, and UPRR issues in the Corridor south of Alton. UPRR will obtain dispatching agreements with the TRRA and KCS (see PMP section 4.6 Railroad Agreements).

The PMC and UPRR representatives will conduct weekly conference calls to discuss the overall progress of the project and address outstanding issues.

2.5 Document Control and Management Standards

2.5.1 Document Control

The PMC is in the process of establishing the parameters of a document control system. At present, project documents and electronic reference material is maintained in the PMC member Parsons Brinckerhoff’s (PB) Chicago Server in the “J Drive” under the PB Project Number 16866 – IDOT HSR Program. All email correspondence will copy the project document control staff (alonistiotis@pbworld.com) for proper filing and archiving. Hard copy documents will be filed at Parsons Brinckerhoff Chicago Office according to the Project file index.
The file: ‘J:\16866 IDOT HSR Program\0.0 File Index\16866A- CHISL PM Document File Index.doc’ contains the project filing structure. The primary categories of this structure are the following:

1. File Index
2. Pre-Contract
3. Contract
4. Financial Management
5. Correspondence & Communication
6. Project Data
7. Project Deliverables
8. Project Delivery
9. Technical Work
10. Public Involvement

Project-specific document control procedures are being developed to further define methods and location of storage and recall and will be added to this PMP when completed (anticipated December 2010). The Quality Management System will also address document control issues.

2.5.2 Document Sharing & Collaboration (ProjectSolve²)

Documents and information to be shared between firms and/or stakeholders will be transferred using PB’s ProjectSolve², a web-based file sharing system. A File Sharing Protocol (ProjectSolve² & FTP) memo (dated 7/20/10) has been prepared to summarize file sharing protocol and website instructions.

Access to ProjectSolve² (PS2) is limited to the project stakeholders and is password protected. Folders within the site can be ‘hidden’ or made accessible only to selected individuals / groups, as needed. Initially, everyone that is part of the PMC (IDOT, PB, all subs) will be able to view/edit all folders/files on the site. Some of the technical folders will also be accessible to select stakeholders (UPRR, Amtrak, ICC and FRA). A note will be added to the top of each main folder indicating any access restrictions for that folder (and subfolders).

Please contact Kevin Bischel (bischel@pbworld.com) to obtain access. You will need to provide Name, Company/ Organization, email address. PB will determine access restrictions for the new account. The ProjectSolve² URL is:

https://www.projectsolve2.com/eRoom/PBChicago/IDOTHSRProgramManagement

The PS2 website provides for version control and includes a revision history. When a file is edited on the website, or a new version uploaded, the system will create a new version number for the file and create an archive version of the previous file. The system will also prompt the user to enter revision summary information that will be saved with each version.

ProjectSolve² Site Organization

The following items can be found on the entry page of the website. Figure 2.5 depicts the ProjectSolve² Site Structure.

Program Administration folder will be primarily for business and management related documents. Monthly progress meeting minutes and reports will reside here.
Technical folder will contain discipline specific data and will be organized by the rings of the 'bulls-eye' figure. In addition to the discipline folders, there is a ‘Cross Discipline – Common Base Files’ folder. This folder will contain data that will be used by several disciplines, such as aerial photos and quality management system files.

Data Log: This is a database that will log all of the base data that has been received and is stored on PS2. This log is not a summary of all files on PS2, but rather a summary of data received from 3rd parties. Each entry will contain a site link where the data can be found on the site.

Calendar: Calendar events will be shown here. This will include meetings and also vacations / other project commitments for the Project Team members. Links to meeting minutes and agendas will be stored within each calendar event. The actual meeting minutes files will be stored in the respective discipline folders.

Team Directory: Contact list for entire team (not just PS2 members)

Temporary Drop Box: This folder is on the site entry page and is used for quick file transfers. Everyone with access to the site will be able to access this folder. Contents of this folder will be deleted or moved/ filed by PB periodically.

Project FTP Site

Large file transfers to/from individuals that do not have access to ProjectSolve should use the PB FTP site (https://ftp.pbworld.com). Information will be stored on this site for a period of 14 days after which it will automatically be deleted. Information is only accessible to those with the unique link that is emailed to recipients automatically after upload.

2.6 Communication Protocol

Communication between IDOT and the PMC will be primarily through the IDOT Project Manager, Michael Garcia, and the PMC lead, Philip Pasterak. Office and field communication systems are being developed to assure timely control and command of the program. Procedures are being developed to establish methods of communication acknowledgement and methods to store and recall vital program communications.

2.7 Information Technology Protocol

In conjunction with Document Management and Communications Protocol, the PMC will establish and implement an information technology system suitable to support management of the program in accordance with the stands and protocols established.
Figure 2.5 – ProjectSolve^2 Site Structure
2.8 Dispute Resolution

Methods and protocols to resolve disputes between PMC members will be developed. These methods can also be applied to disputes between the team and external entities.

A claim is an unresolved charge resulting from a dispute. IDOT’s goal is to prevent claims from occurring. IDOT recognizes that preventing all claims from a contractor is not always possible. In those situations, IDOT’s goal is to minimize the claims that occur and resolve them as soon as possible in an expeditious and cost effective manner. Many of the procedures and processes have been previously described in the Project Management Plan (“PMP”). IDOT will work with UPRR to finalize other ways disputes can be avoided/minimized, as further described below:

1. Communication is always a key element to a successful project. IDOT recognizes that it is important to stay involved in the project. Knowing and responding to issues prior to the beginning of a task rather than at the end of a task can reduce problems with the project. IDOT’s goal is to:
   a. Communicate more rather than less. IDOT (or its designee) will conduct periodic meetings with the Project’s participants such as UPRR and Parsons Brinckerhoff (the Program Manager). Meeting minutes will be prepared and distributed to the participants.
   b. Avoid adversarial relationships
   c. Create a structured process for decision making
   d. Use the request for information (“RFI”) process as a communication tool to facilitate resolution of or to clarify document issues. IDOT will develop a standard form for RFI’s which will be tracked to ensure a timely response to UPRR.

2. Create a document control system – See sections 2.5 and 3.1 of PMP. Also see section 4.7 of the PMP, Contract Administration. Issues can often be resolved by accessing documents quickly.

3. Create a safety plan - See section 7.1 of PMP.

4. Create a quality assurance/quality control plan – See section 6.1 of PMP. A quality assurance plan will assist in ensuring that many issues/problems identified during construction are resolved quickly rather than at the end of the project.

5. Claim evaluation process – IDOT will work with UPRR to develop an agreed upon claim dispute/evaluation process. IDOT, as guidance, suggests applying the Standard Specifications for Road and Bridge Construction (IDOT – January 1, 2007). It shall apply to instances where UPRR seeks additional payment or time under the contract and IDOT has not agreed with UPRR’s claim during the ordinary course of contract administration.
   a. UPRR shall submit its claim in writing to IDOT in sufficient detail to enable IDOT to determine basis and the amount of the claim.
   b. UPRR’s claim shall include reference to the applicable contract section. Supporting documentation must also be provided.
c. Unless otherwise agreed by IDOT, the exact amount of additional funds must be specified and broken down into: direct labor, direct materials, direct equipment, direct jobsite overhead, and direct offsite overhead.

d. If an extension of time is requested, specify the number of days and the reasons why the time extension is necessary.

e. UPRR’s claim shall include the names of IDOT officials or employees involved in the claim or who have knowledge of the claim.

f. The claim must be certified by UPRR.

g. If the above requirements are not met, the claim shall not be considered and will be deemed waived by IDOT. UPRR’s claim will also be considered waived if UPRR prevents IDOT from accessing its records or, UPRR prevents reasonable access to complete records of actual costs and additional time. IDOT and UPRR shall agree that claims shall be filed within a set date of UPRR’s knowledge of the claim.

h. The fact that UPRR satisfied the requirements above shall not be construed as proving or substantiating the validity of the claim.

i. If deemed necessary by IDOT, it will schedule opportunity for UPRR to provide an oral presentation of its written claim.

j. IDOT will review UPRR’s claim against the terms of the contract

k. Will a delay analysis or some other type of analysis (e.g., an audit, particularly for large claims) be necessary?

l. IDOT will advise UPRR in writing of its decision on the claim.

m. If the claim has merit, IDOT will make an equitable adjustment either in the amount of costs to be paid or in the time required for the work, or both. If IDOT finds the claim without merit, no adjustment will be made.

6. **Arbitration.** If a claim cannot be resolved informally or through the claim evaluation process set forth above, IDOT and UPRR have agreed to utilize the arbitration process per the rules of the American Arbitration Association (see section 9.1 of the July 16, 2010 construction agreement between IDOT and UPRR.)
2. ADMINISTRATION

3.1 Document Control

Document Management Standards including the establishment of, training on and testing of the systems necessary to assure secure storage and convenient recall of critical program information is essential for the success of the program. The PMC is in the process of investigating the type of system that will best suit the program.

3.2 Scheduling and Project Control

The PMC is in the process of staffing a function to implement a system of program scheduling that includes the incorporation of the entire universe of program execution. This will provide for the periodic update of schedules, the monitoring of progress, the development of recovery schedules and the reporting of schedule progress to PMC management staff.

3.3 Cost Estimating

A Cost Estimator has been retained for the program to estimate expected program costs and review the accuracy of estimates. This will enable the provision for the periodic update of cost estimates and the monitoring of cost trends, as well as methods and procedures to enact corrective action when overages are identified. This is especially important given the FRA requirements with regard to fiscal responsibility for overruns, etc. The Cost Estimator will also establish budgets for program execution and track progress against the budget.

3.4 General Purchasing

Provide methods for the control and execution of general purchasing for the execution of the program. This purchasing function is not related to the procurement of system capital goods or professional services required to establish the final transportation system, but rather to equip and supply the PMC to conduct the program management activities.

3.5 Cost Accounting

The PMC has established systems for cost accounting to apprise IDOT of program costs vs. program progress. The PMC’s Oracle-based financial system combined with regular generation of progress reports will provide for the review of PMC invoices and the review of deliverable status. The Oracle system will provide for payment of invoices or transmittal of reviewed invoices to IDOT, provide periodic reports on cost and budget compliance to program managers, and enable the preparation of PMC invoices to IDOT. All invoices and program progress reporting will conform to IDOT and/or FRA requirements.

3.6 Reporting

The following Grant and ARRA Reporting procedures will be followed for the Corridor Improvement Program. ARRA reporting is a critical requirement to document expenditures and provide an accounting of job generation through the program.
3.6.1 Grant Reporting Requirements

1. Progress Report - Quarterly (1/1-3/31; 4/1-6/30; 7/1-9/30; 10/1-12/31)
   a. The form attached to the grant (Attachment 4) will be used. Each report shall set forth concise statements concerning activities relevant to the Project, and shall include, but not be limited to, the following:
      1) Relate the state of completion of items in the Statement of Work to expenditures of the relevant budget elements.
      2) An account of significant progress (findings, events, trends, etc.) made during the reporting period.
      3) A description of any technical and/or cost problem(s) encountered or anticipated that will affect completion of the grant within the time and fiscal constraints as set forth in the Agreement, together with recommended solutions or corrective action plans (with dates) to such problems, or identification of specific action that is required by the FRA, or a statement that no problems were encountered.
      4) An outline of work and activities planned for the next reporting period.
   b. One copy of report will be sent to the FRA Grant Manager (as defined in the Grant/Cooperative agreement) on or before the thirtieth (30th) calendar day of the month following the end of the quarter being reported.

   a. SF-425 (Federal Financial Report) will be utilized in accordance with the instructions accompanying the form, to report all transactions including Federal cash, Federal expenditures and unobligated balance, recipient share, and program income.
   b. Copies will be sent to FRA Grant Manager on or before the thirtieth (30th) calendar day of the month following the end of the quarter being reported.

   Unless otherwise directed by FRA, quarterly cash transaction reports will not be provided because there will be no advance payments by FRA for this project.

4. Interim and/or Final Report
   a. If required, these reports will be provided at intervals specified in the Statement of Work.
   b. Within 90 days of project completion date or termination by FRA, IDOT to furnish one hard copy and one reproducible master original to the Grant Manager and one hard copy to the FRA Administrative Officer of a Summary Project Report. A final version of this report, detailing the results and benefits of the IDOT’s improvement efforts, shall be furnished by the expiration date of the Grant/Cooperative agreement.
3.6.2 ARRA Reports

1. NEPA Report (Section 1609(c) of ARRA)

IDOT will provide a quarterly report in accordance with section 1609(c) of ARRA providing the status and progress of projects and activities with respect to the National Environmental Policy Act (NEPA) review.

2. Jobs Accountability Quarterly Reports (Section 1512 of ARRA)

   a. This report shall include the following:
      1) The total amount of ARRA funds received
      2) The amount of ARRA funds received that were expended or obligated to projects or activities.
      3) A detailed list of all projects or activities for which ARRA funds were expended or obligated, including:
         a) The name of the project or activity
         b) A description of the project or activity
         c) An evaluation of the completion status of the project or activity
         d) An estimate of the number of jobs created and the number of jobs retained by project or activity
         e) Detailed information on any subcontracts or sub grants awarded by IDOT to include the data elements required by the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282) allowing aggregate reporting on awards below $25,000 or to individuals, as prescribed by the Director of the Office of Management and Budget.

   b. Reports will be provided no later than ten days after the end of each quarter.

   c. The OMB may issue additional guidance on the preparation and submission of Jobs Accountability Reports, to which the PMC will comply.

   d. IDOT will register with the Central Contractor Registration database or complete other registration, as determined by the Director of the Office of Management and Budget.

3. Periodic Reports (Section 1201 of ARRA)

These reports (due, per ARRA, annually) require the following information describing:

   a. The amount of Federal funding appropriated, allocated, obligated and outlaid under the Grant/Cooperative agreement.

   b. The number of projects that have been put out to bid under the Grant/Cooperative agreement and the amount of Federal funds associated with such projects.

   c. The number of projects for which contracts have been awarded under the Grant/Cooperative agreement and the amount of Federal funds associated with such contracts.
d. The number of projects for which work has begun under such contracts and the amount of Federal funds associated with such contracts.

e. Infrastructure investments, as applicable or directed by FRA.

f. The number of projects for which work has been completed under such contracts and the amount of Federal funds associated with such contracts.

g. The number of direct on-project jobs created or sustained in the associated supplying industries, including the number of jobs created and the total increase in employment since February 17, 2009 (the date ARRA was enacted).

h. Information tracking the actual aggregate expenditures from Grantee sources (both internal and external) for projects eligible for funding under the Grant/Cooperative agreement beginning on the date of ARRA enactment through 9/30/10 as compared to the level of expenditure that was planned to occur during such period as of ARRA’s enactment date.

i. DOT or FRA may issue additional guidance on the preparation of Periodic Reports.

4. Additional Information

a. To satisfy the purposes of ARRA, IDOT may be required to provide additional information in response to requests from OMB, or the Department’s Inspector General.

b. FRA will inform IDOT if and when such additional reports or information are required.

3.6.3 Intercity Passenger Rail Service Reports

1. Project Benefit Report

IDOT, UPRR, and Amtrak are currently developing a Service Outcomes Agreement. This agreement will identify travel time and reliability parameters and associated reporting requirements. Upon completion of this agreement (anticipated December 2010), the reporting requirements will be inserted into this PMP.

3.7 Public Involvement

The PMC will be responsible for the development of a public involvement office to track and disseminate program information to the media and directly to the public, as well as maintain communications with principle stakeholders. This office will have a coordinated working relationship with the IDOT and State Government public information services/staffs. Speakers’ Bureaus and other program-tested methods will be employed to ensure that a consistent and positive message is available to the media, to local governments and to the general public. The PMC will establish and maintain a program website. The public involvement office will establish points of contact with local governments in the on-line towns and cities on the Chicago-St. Louis High Speed Rail route.

The public involvement plan is currently being developed to engage the public and stakeholders to advance the acceptance and success of the program. This plan will outline the public involvement activities through the construction. Public outreach meetings and communication tools will occur to engage the public in the project.
The public involvement process for this study also includes the establishment of a system for communicating news to the appropriate outlets and the maintenance of a program website for timely communication of program goals and progress. Advanced information dissemination and document control tools, such as ProjectSolve\(^2\) can be used to expedite the flow of documents between IDOT, the PMC, the rail carriers and regulatory agencies in a secure (password-protected, etc.) manner.

Public Involvement tasks for Corridor Improvement Program will include:

- Developing message points and frequently asked questions.
- Coordinating efforts with IDOT, PB, and local communities.
- Providing media efforts.
- Supporting and facilitating meetings (elected officials, counties, small groups).
- Updating Project mailing list.
- Developing and distributing newsletter and informational sheet throughout the construction period.
- Creating project specific website content and graphics to be placed on HSIPR site.
- Logging and managing comments via comment management system.

In addition to the project leadership committee, the following table identifies key contacts for the public involvement process.

<table>
<thead>
<tr>
<th>Public Involvement Key Contacts</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Miriam Gutierrez</td>
<td>IDOT Rail Planning</td>
</tr>
<tr>
<td>Paris Ervin/ Josh Kauffman</td>
<td>IDOT Public Information</td>
</tr>
<tr>
<td>Marc Magliari</td>
<td>Amtrak</td>
</tr>
<tr>
<td>Joe Bateman / Mark Davis</td>
<td>UPRR</td>
</tr>
<tr>
<td>Tim Selover</td>
<td>PMC (PB)</td>
</tr>
<tr>
<td>Tracy Morse</td>
<td>PMC (Images, Inc)</td>
</tr>
</tbody>
</table>
3. CONTRACTING

4.1 Contract Standards

In accordance with IDOT requirements, the PMC will establish contracting standards for the engagement of outside consultants, developers, vendors, equipment suppliers and contractors (“the program team”). The PMC will also compose “boilerplate” contractual provisions to enforce the requirements and protocols of the Program Management Plan.

4.2 Professional Services Procurement

4.2.1 Illinois Department of Transportation

In conformance with IDOT and FRA requirements, IDOT and the PMC will procure those professional services necessary to execute the program. IDOT will procure consultant services (“PTB Consultants”) using its procurement process which is also known as a Professional Transportation Bulletin (“PTB”). This bulletin is the official notice of needed professional services for IDOT. Additional details regarding the PTB can be found at http://www.dot.state.il.us/desenv/ptb.html

The selection of PTB Consultants by IDOT is not based on cost. Rather, it focuses on the firm’s professional qualifications, experience, and the expertise of key personnel to be assigned to the project with consideration also given to:

1) Ability to complete the work in the time required and the firm’s existing workload.
2) The firm’s proximity to the project, when important.
3) The extent of work, which must be subcontracted by the firm and their proposed method of accomplishing the project objectives.
5) Performance rating for past work done for IDOT, if applicable.

PTB Consultants will be responsible for specification development and design of civil and roadway facilities, communication and signal systems, operating and maintenance facility architecture, station architecture and oversight of rolling stock design, manufacture and delivery.

4.2.1 Union Pacific Railroad

Union Pacific Railroad will procure professional services as necessary to execute the program. UPRR will assign professional services work under an existing Master Services agreement or it will issue a request for proposals. UPRR will provide IDOT an opportunity to review its drafted request for proposals prior to issuance in order to review scope, selection criteria, and DBE participation goals.

Professional services are anticipated for hydrologic and hydraulic evaluations for the structures along the Corridor, Environmental/Flood plain permitting for the structures as well as the new construction project areas, surveying/ mapping, and ARRA reporting.
4.3 Contractor & Material Procurement

4.3.1 Illinois Department of Transportation

In accordance with the requirements of IDOT, IDOT will procure the services, including as appropriate, the supply of material for the construction of fixed facilities. IDOT will procure contractors using the IDOT Construction Contractors Bulletin. This Bulletin is the official publication and invitation for construction bids by the Illinois Department of Transportation. Lettings are subject to and governed by the rules of the IDOT adopted at 44 Illinois Administrative Code 650 and 44 Illinois Administrative Code 660, and by the provisions of the Bulletin. Additional details can be found at http://www.dot.state.il.us/dobuisns.html#letting

Contractor procurement by IDOT is anticipated for construction related to complex road crossings along the Corridor.

4.3.1 Union Pacific Railroad

The majority of the material and contractor procurement will be performed by UPRR. Due to the specialized nature of the construction, a large portion of the material and contractor procurement will be via existing long term Master Services agreements. Additional material and contractor services will be procured using the UPRR suppliers; see UPRR’s website: http://www.uprr.com/suppliers/index.shtml

UPRR will provide IDOT an opportunity to review bid packages prior to issuance to provide input regarding scope, terms and Disadvantaged Business Enterprise (DBE) participation goals.

4.4 Equipment Procurement

In conformance with IDOT, FRA and Amtrak requirements, 110 MPH-capable certified rolling stock, including passenger cars and locomotives, to be used on the Chicago-St. Louis Corridor, will be procured. The equipment will utilize specifications and procurement strategy developed as part of Passenger Rail Investment and Improvement Act of 2008 (“PRIIA”), section 305 technical committee work. Industry review will occur as part of PRIIA process. After the PRIIA specifications are completed, IDOT will select and add any custom components to the specifications and release a bid package.

Rolling stock procurements using federal funds will be subject to Buy America requirements. Also included in this area of responsibility are units of maintenance equipment, both mobile and fixed, and automatic reservation and ticketing devices, if required.

4.5 Right-of-Way Acquisition

In accordance with the requirements of IDOT, IDOT will provide for the acquisition of any necessary right of way required for establishment of the transportation system. This function must be coordinated with the UPRR real estate group, other involved rail carriers (such as at a complex junction, etc.), and affected communities (as it relates to station improvements).
4.6 Railroad Agreements

Agreements will be established as required with each of the host/owning railroads for access to the railroad property and for all other facets of the program which require the sign-off and/or permission of the rail carriers (access to drawings and data, etc.). These or other agreements that may be required will set forth the roles and responsibilities of the each of the parties. It is IDOT’s intent that the agreements will make provision for the assignment of liability and risk, provide for indemnity as permitted, establish standards and provisions for maintenance, standards for dispatch, establish Force Account Agreements for cost reimbursement and, possibly, incentives for exemplary performance. They will also provide for timely communication during operations and methods for the resolution of disputes.

The work performed as part of the 2010 TRT Project & Advance Program Work is guided by the construction agreement (dated July 16, 2010) between IDOT and the UPRR. The contract between UPRR and IDOT for construction work to be performed as part of the Corridor Improvement Program for 2011 was executed on March 4, 2011. In addition, IDOT and the UPRR are in the process of negotiating a maintenance agreement which should be finalized in the near future. IDOT, UPRR and Amtrak have also executed a Service Parameters agreement (December 2010). A summary of the anticipated railroad agreements as part of the Corridor Improvement Program is shown below. Note, these agreements are subject to change/modification. While the agreements are not directly applicable to the PE/NEPA study, they do show that the State and affected railroads are able to work together to achieve a common goal.
<table>
<thead>
<tr>
<th>Agreement Name</th>
<th>Purpose</th>
<th>Parties to Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Agreement</td>
<td>Pertains to track reconstruction, structural work, signal work and the procurement and testing of new equipment.</td>
<td>UPRR and State of Illinois</td>
</tr>
<tr>
<td>Maintenance Agreement</td>
<td>Agreement to describe UP’s maintenance responsibility for improvements placed on its property which are funded through FRA.</td>
<td>UPRR and State of Illinois</td>
</tr>
<tr>
<td>Service Outcome Agreement</td>
<td>Agreement to describe service parameters once HSIPR service on the UP line begins</td>
<td>UPRR, State of Illinois, and Amtrak</td>
</tr>
<tr>
<td>Station Improvement-Dwight, Pontiac, Lincoln, Carlinville, Alton, Springfield</td>
<td>Station improvement in support of 110 mph rail service</td>
<td>State of Illinois and applicable community and/or private owner</td>
</tr>
<tr>
<td>Cab Signal Implementation Agreement</td>
<td>Equipment requirements, design and construction services for implementation of cab signal overlay on Dwight-Pontiac line section. Also covers testing and cut-in of signal system for revenue service.</td>
<td>IDOT, ICC, UPRR</td>
</tr>
<tr>
<td>PTC Implementation Agreement</td>
<td>Equipment requirements, engineering and construction services to implement PTC on the balance of the corridor. Will also cover ITCS interfaces, testing and cut-in system for revenue services</td>
<td>IDOT, ICC, UPRR</td>
</tr>
<tr>
<td>Dispatch control agreement between UP and TRRA</td>
<td>Covers the East St. Louis to St. Louis line section.</td>
<td>UPRR, TRRA, State of Illinois and Amtrak</td>
</tr>
<tr>
<td>Dispatch control agreement between UPRR and KCS</td>
<td>Covers the Alton-East St. Louis line section.</td>
<td>UPRR, KCS, Amtrak</td>
</tr>
<tr>
<td>Dispatch control agreement between UPRR and NS at Iles</td>
<td>Crossing of two rail carriers in downtown Springfield</td>
<td>UPRR, NS, and Amtrak</td>
</tr>
<tr>
<td>Maintenance agreement between UPRR and KCS</td>
<td>Covers the area between Alton and East St. Louis</td>
<td>UPRR, KCS and Amtrak</td>
</tr>
<tr>
<td>Illinois Commerce Commission required agreements</td>
<td>Necessary access agreements/ letters</td>
<td>IDOT and Illinois Commerce Commission</td>
</tr>
</tbody>
</table>
4.7 Contract Administration

Under the cost accounting provision, the PMC will review contract invoices and provide for the accounting and control of deliverables. The PMC will provide protocols for contract change management, contract termination, review and settlement of claims, and provide for contract closeout and audit. See PMP section 2.8, Dispute Resolution, for details regarding claim evaluation and arbitration.

4.7.1 Change Management Process

The purpose of change management between UPRR and IDOT is to realign budget line items within an IDOT/UPRR agreement to reflect actual prices and costs. These actual prices/costs replace the estimated line item costs developed when the agreement was originally compiled. Note, the bottom line total dollar amount of the contract will NOT increase or decrease under the change management process. Rather, the change management process is limited to line item changes. The procedure for the Change Management process is shown below:

1. Identification - First, the need to realign the line item in the subject budget must be identified by IDOT, the PMC or UPRR. The line items are based on UPRR’s work orders identified in the subject contract. The work orders contain a series of tasks with a line item for labor, material and/or contract values.

   Typically, adjustments/modifications to the line items within the work order will utilize the contingencies so as not to adjust the overall cost of the agreement.

2. Reason for Change - Next, a written statement supporting the requestor’s change request must accompany the request. It shall include an outline of the line item(s) being identified for change and a chronology of events leading up to the change request is required. The outline shall also include an estimate or exact change in the cost (where known) or duration.

   The requestor identifies what the change request results from, such as the items set forth below.

   - Adjusted Quantity
   - Adjusted Unit Cost
   - Adjusted Contract/Subcontract
   - Modified Scope
   - Differing Conditions
   - Regulatory Agency Requirements
   - Other Conditions (requires explanation)

3. Support - The requesting party must then identify and gather support for the requested change. Typical support documents include, but are not limited to, correspondence, bills/invoices, receipts, chronologies, and actual quantities.

4. Submittal - The request for change and the support documents shall be submitted to the PMC by the UPRR who will review and discuss the items and their adjustment. Once satisfied that the information within the package explains the issues associated with the change request, the package will be passed to IDOT for a final review and concurrence.
5. Review - The request for change shall be reviewed by UPRR, IDOT and the PMC. All three parties must agree that the change is necessary before it will be effectuated. If all parties do not agree to the requested change, the requestor shall have another opportunity to provide additional justification and/or documentation. Once a decision has been reached on the request for line item change, all parties execute an Agreement Modification Notice (see sample, below). “Approve/Concur”, “For Information Only”, and “No Comment” are considered as final or “Closed” dispositions or status.

6. Dissemination of Information - Modification to the PMC’s tracking sheets and other related documents may be required. These changes are to be posted and reviewed on a regular basis.

The line item change will be tracked within a log and with a cover sheet. Each change is managed within a shared system. Once items are closed, the appropriate modifications to the related documents/line items will be made to reflect the adjustments to each line item.
### Change Management Form

**Illinois High Speed Rail**  
**Chicago - St. Louis Corridor**  
**Agreement/Modification Notice**

**Vendor/Contractor:** Union Pacific Railroad  
**Agreement/Contract No.:** SAMPLE

**Project Information:**  
**Work Order No. / Project No.:** 06363 / 68516  
**Description of Work:** 2010 Concrete Tie Program - Springfield Subdivision MP 187.60 - 249.32  
Install 160,350 Concrete Ties and 61.03 Miles of Rail; Replace 42 Road Crossings

**Change Information:**  
**Change No.:** UP-06363-001  
**Change Title:** ____________________________________________________________________________________

<table>
<thead>
<tr>
<th>Item Nos. Changed</th>
<th>Labor</th>
<th>Materials</th>
<th>Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Description of Change:** ____________________________________________________________________________________

<table>
<thead>
<tr>
<th>Y/N</th>
<th>Time Adjustment of (Number) Calendar Days</th>
</tr>
</thead>
</table>

**Justification for Change:** ____________________________________________________________________________________

**Reason for Change:**  
**Disposition:**  
**Status:**

- Adjust Quantity  
- Adjust Unit Costs  
- Adjust Contract/Subcontract  
- Modified Scope (add/deduct)  
- Differing Conditions  
- Regulatory Agency Requirements  
  - ICC, OSHA, etc.  

- Approve/Concur  
- Revise/Resubmit - Further Justification Required  
- Not Accepted  
- For Information Only  
- No Comment  
- Potential  
- Open/Pending  
- On-Hold  
- New  
- Closed  
- Past Due  

**Contract Summary:**  
**Dollar Amount This Change**  
**Labor** $ - $ - $ -  
**Materials** $ - $ - $ -  
**Total** $ - $ - $ -

<table>
<thead>
<tr>
<th>Original Work Order</th>
<th>Total of Previous Changes</th>
<th>Revised Work Order incl This Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 7,973,604.00</td>
<td>$ 350,000.00</td>
<td>$ 8,323,604.00</td>
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<tr>
<td>$ 46,020,697.00</td>
<td>$ 250,000.00</td>
<td>$ 46,270,697.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 53,994,301.00</td>
</tr>
<tr>
<td>$ 600,000.00</td>
</tr>
<tr>
<td>$ 54,594,301.00</td>
</tr>
</tbody>
</table>

**SEE ATTACHED DOCUMENTATION FOR DETAILS RELATED TO THIS CHANGE (Estimates, Line Items, etc.)**

**Union Pacific Acceptance:**  
**PMC Acceptance:**  
**IDOT Acceptance:**  
**Date:**

---

**Figure 4.1 – Change Management Form**

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**IDOT Bureau of Railroads Page 31 of 59 November 30, 2010**
4.7.2 Change Order Process

Change orders are modifications to the contract. This includes work that is added to or deleted from the original scope of the contract which alters the original contract amount or completion date.

Construction by Union Pacific Railroad

IDOT and the UPRR are currently negotiating the procedure for processing change orders to the UPRR-IDOT construction agreement. This procedure will be inserted into this PMP after the construction agreement is signed (anticipated December 2010).

Construction by IDOT Contractors

While the majority of the Program construction will be performed by UPRR forces / contractors, IDOT may let construction contracts for the complex road crossing improvements and station improvements. Change orders to this construction will be governed by the Standard Specifications for Road and Bridge Construction (IDOT – January 1, 2007), Division 100 – General Requirements and Covenants. Section 104 (Scope of Work) and Section 109 (Measurement and Payment) specifically address change order procedures.
4. FINANCIAL

5.1 Funding Sources

The PMC will work with IDOT to assist in the identification, tracking and as required, tap sources of capital funds for the establishment of the transportation system. The sources of capital funds may be equity, debt, bonds and grants (including unobligated FTA funds for related transportation improvements, etc.). Sources and uses of capital funds shall be identified and reported to IDOT, FRA and FTA.

On July 13, 2009, a $31 billion State of Illinois capital bill, “Illinois Jobs Now!” was signed into law. This bill includes funding for high-speed rail and the State of Illinois’ match applicable to the cooperative agreement (5%) will come primarily from this bill. See the Corridor Improvement Program Financial Plan for more details regarding funding.

5.2 Risk Management

A Risk Management Plan will be developed by the PMC. The Risk Management Plan (“RMP”) will identify potential risks, the likelihood of occurrence, and the impact to the project. The PMC will perform risk assessments systematically and periodically throughout the project development at significant milestones. IDOT and the PMC will coordinate this effort with FRA and UPRR.

Risk Management Plan Methodology

A RMP will be implemented as follows:

Step 1: Identify Risks

A well thought-out and consistent approach to identify a comprehensive list of potential risk events will be employed. Specifics will be used to identify and describe the risk. Some techniques to identify risk are brainstorming and expert interviews as part of a risk assessment workshop.

Step 2: Quantify Risks

Develop a risk management matrix with all the risks grouped in categories. Assign the risk to the owner, contractor or other parties (to be agreed) and show on the matrix.

Determine the probability of the occurrence and impact to cost and/or schedule for each risk and show on the matrix using qualitative designations. (i.e. Low, Medium, High)

Use this matrix to compare the probability to the level of impact for each risk.
Step 3: Analyze and Prioritize Risks

Identify the top 20% of the risks based on the risk exposure (probability and impact) that must be monitored using the matrix. Identify the estimated dollar value and/or length of delay for each monitored risk. Prioritize the monitored risks using dollar estimates and time schedule delays. A technique to prioritize is paired comparison, which takes into account the degree of control the project team has over the risk event followed by the timing of the risk event. (i.e., High Probability-Medium Impact).

Identify the responsible party for each risk.

Step 4: Planning for Risks

Create risk response strategies for each monitored risk. Evaluate and select a primary response. Incorporate options into the risk and project plans.

Step 5: Periodic Updates

The risk register is dynamic document that will be updated each month to reassess risks and response strategies.

An initial risk register for the Corridor Improvement Program work has been created. This register, which addresses potential risks, responses to the risk and risk reduction strategies is contained in the appendix of the Financial Plan for the work. This initial risk register will be expanded during the Corridor Improvement Plan risk workshop scheduled to occur in January 2011.

5.3 Ridership and Revenue Assessments

5.3.1 Ridership Estimates and Surveys

The PMC will perform investment-grade ridership forecasts and revenue estimates. Forecasts must meet the expectations of the financial marketplace. The PMC will conduct focus group and other investigations to provide IDOT, Amtrak and FRA with realistic insight into the demographic of the customer base and trip purposes serviceable by the system. Market research is to be used as the basis for train sizing and schedule development. Upon completion of the ridership forecasts and revenue estimates, this information will be inserted into the Corridor Improvement Program Financial Plan.

5.3.2 Customer Service Plan

The results of ridership investigations will be utilized to establish and optimize a customer service plan for the Chicago-St. Louis Corridor that will maximize the cost-benefit aspects of the program and meet the customer expectations for dominate trip purposes. Since enhancing the feasibility of the Amtrak connections at either end of the Corridor is a key objective of this program, the PMC will work closely with Amtrak and IDOT in the development of a comprehensive program to optimize connections to key destinations beyond the geographic limits of the Corridor.
5.3.3 Pricing Plan

Results of ridership investigations will be used to define a pricing plan for ticketing and the provision of other customer services on the Chicago-St. Louis Corridor trains.

5.4 Financial Market Interface

The PMC shall establish and maintain relationships in the financial marketplace to stay abreast of conditions that may affect the financing of the Corridor Improvement Program. Marketplace conditions shall be reported regularly to IDOT, Amtrak and the FRA.
5. QUALITY ASSURANCE / QUALITY CONTROL PROGRAM

The PMC has prepared a Quality Management System ("QMS"). The Quality Management System includes a Quality Assurance Manual and associated Quality Procedures that will define the quality system objectives, responsibilities, on-going quality control requirements, and quality assurance oversight and audit requirements. As of the date of this document, the Quality Assurance Manual has been prepared, reviewed by IDOT and is in the process of being finalized for issuance. The associated quality procedures are also being developed. These documents are 'living documents' and will be updated as necessitated by the project.

6.1 Quality Management System Overview

The safety, reliability, maintainability, and human factor considerations within High-Speed Rail related projects or programs demand that systematic, consistent, and authoritative process controls be implemented. Early identification of conditions that may affect a project’s ability to perform satisfactorily, and timely corrective action that precludes repetition of problems, requires the establishment of clear, concise quality criteria. Attainment of these criteria is achieved through sound planning, engineering design, effective procurement and contract procedures, proper contractor/supplier selection, and effective implementation and control of manufacturing, construction, installation, testing, and operational activities.

The controls necessary for preserving the integrity of the quality activities and the documentation of the results of these activities are categorized into three general areas:

- Review of design, contract, and procurement documents, as well as testing, operating, and maintenance procedures to verify that quality aspects have been considered.
- Surveillance and/or witness of manufacturing, construction installation, and integrated testing activities for adherence to design, contract, and operational requirements.
- Audits of Quality Management Systems for adequacy and compliance with requirements.

The QMS for the Corridor Improvement Program is based on the Quality Assurance and Quality Control Guidelines developed by the Federal Transit Administration ("FTA"), a sister agency to the FRA with both agencies being a part of the U.S. Department of Transportation. These guidelines are well developed and have been successfully used for many years for projects of similar size and characteristics as this Project. In this regard, the Quality Management System for this Project will satisfy the requirements of 49 CFR Part 633.25 and follows the format recommended by the Federal Transit Administration (FTA) in FTA-IT-90-5001-02.1, Quality Assurance and Quality Control Guidelines, February 2002.
The Quality Management System will address fifteen quality management system elements mandated by the FTA and includes an additional element to measure, analyze and improve processes affecting quality:

1. Management Responsibility  
2. Documented Quality System  
3. Design Control  
4. Document Control  
5. Procurements  
6. Product Identification and Traceability  
7. Process Control  
8. Inspection and Testing  
9. Inspection, Measuring, and Test Equipment  
10. Inspection and Test Status  
11. Nonconformance  
12. Corrective and Preventive Action  
13. Quality Records  
14. Quality Audits  
15. Training and Resource Management

6.2 Project Quality Manual Goals and Objectives

The goal of the QMS is to ensure that all work and deliverables prepared by the PMC conforms to IDOT, FRA or other regulatory agency standards of Quality Assurance and Quality Control.

The objectives of the Project Quality Manual (“PQM”) are to:

- Establish a guiding document which provides overall critical direction and support for implementation of the Corridor Improvement Program Rail Program Quality Management System. The PQM outlines the elements of the QMS, and defines the IDOT policy regarding those elements.
- Establish a systematic approach to ensure that contracted products and services are produced and delivered as specified in a timely and cost-effective manner.
- Ensure attainment of the expected level of quality on the IDOT ChiSL corridor High Speed Rail Program.
- Provide a quality standard for contractors’, consultants’, and suppliers’ generated quality management systems
6.3 Project QA/QC System

6.3.1 General QA/QC Approach

It is the intent of the PMC to maintain oversight of project quality implementation throughout the Project by imposing requirements for consultants /contractors /suppliers to have an effective Contract Quality Management System (“CQMS”). Each consultant/ contractor/ supplier will be required to submit a CQMS, which is adequate for the applicable scope of their contract. The submittal will be reviewed against the requirements of this PQM and approved by the IDOT ChiSL corridor High Speed Rail Program Quality Assurance Manager for adequacy and acceptance prior to implementation.

Specialty subcontractors may be required to conform to and maintain their certification in applicable ISO Standards or equivalent Quality Standards. Towards that end, the PMC’s QA/QC program will include regular review and periodic audit requirements to ensure that standards are being maintained.

The PMC’s QA/QC Approach for the Corridor Improvement Program construction work will include a combination of verification of quantities of materials and production for the work performed, and verification of quality of the materials to be used for the construction process. If discrepancies are found with either the quantity or quality of material for the project, UPRR will be notified immediately so discussions can commence to investigate and resolve the issue.

6.3.2 Material Testing Policies and Procedures

Purchasing requirements for materials used for the Corridor Improvement Program are stated in applicable contract documents and apply to all suppliers, program consultants, design consultants, construction management consultants, construction contractors, and material manufacturers/suppliers. The quality requirements placed on the supplier, consultant or contractor depend upon the nature of the service or product.

The contract or purchasing requirements clearly specify the expectations of the Corridor Improvement Program, including relevant standards; drawings; specifications; process requirements; inspection instructions; and, approval criteria for materials, processes, and product. The procurement documents are reviewed and approved by a designated authority for adequacy of specified requirements prior to release.

Because inspection and testing are primarily the contractor’s responsibility, the contractor must develop a project-specific testing and inspection plan that is subject to review and acceptance by the PMC. The contractor may utilize an independent testing agency if required, to ensure that testing and inspection is carried out in accordance with project requirements.

Inspection and testing procedures are planned and executed as necessary to verify quality. Procedures control the acceptance of incoming product, the evaluation of work in progress, and the conduct of final inspection and testing. Records of inspections and tests clearly indicate whether the product has passed or failed the inspections and/or tests according to defined acceptance criteria. Records also identify the inspection authority responsible for the release of product.
6.3.3 Track Materials QA/QC Approach

Track materials constitute a significant portion of the total material items anticipated to be required for the Corridor Improvement Program. The QA/QC efforts for track materials will principally comprise verification of quality and quantity of the key material items to be used for the Corridor Improvement Program, which includes the following material components:

- Concrete Ties
- Ballast
- Running Rail
- Turnouts
- Rail Welds
- Rail Clips/Fasteners
- Concrete Grade Crossing Panels

Materials quality verification for these items for the Corridor Improvement Program work will include obtaining documents from both the manufacturer and the UPRR to verify that the materials were inspected, tested and certified, as applicable and required in accordance to UPRR's procurement specifications for these materials. This documentation may be supplemented by additional field and/or laboratory testing to verify material quality. Typical track material standards that are anticipated to applicable to the Corridor Improvement Program include those from the American Railway Engineering and Maintenance of Way Association (AREMA), the American Society for Testing and Materials (ASTM), UPRR's own specific standards and others.

Material quantity and production quality verification will be comprised primarily of spot verification. The development of specific material and production quantity and quality verification procedures will be a function of the PM Team’s Resident Engineer.

6.3.4 Concrete Tie QA/QC Approach

The concrete ties to be used on the Project work have been identified as a key element of the QA/QC program. Because of the special nature of concrete ties, staff members from the University of Illinois at Champaign-Urbana (UIUC) will perform this work, operating as Transportation Technology Transfer (“TTT”), LLC. TTT will contract directly with the PMC and operate under the direction of the PMC and IDOT.

The focus of TTT is to confirm the quality processes involving the concrete ties to be used in the program and provide recommendations for quality improvements. TTT will provide guidance on the necessity and requirements for tie testing through field testing and/or an independent laboratory. TTT will also assist with the oversight of field testing and and/or independent laboratory tie testing that may be performed.

Specifically, the TTT proposal includes the following four-step concrete tie manufacturer QA/QC investigation activities. The complete TTT draft scope of work and proposal is attached to this document as Appendix B.

1. Evaluate the design and performance plans and specifications used for the manufacture of concrete ties for UP/IDOT.
2. Evaluate all QA/QC processes and procedures in use by the tie manufacturer(s) for the concrete ties supplied to UP/IDOT.

3. Evaluate the internal QA/QC processes that UP and IDOT use to ensure the concrete ties received from the tie manufacturer meets the plans and specifications.

4. Provide technical oversight and comment for any required laboratory or field testing of concrete ties and fastening systems, as requested by the PMC, IDOT and/or the FRA.

The results of the combination of in-plant test validation and supplemental independent lab testing will provide an indication of the manufacturing quality and compliance to specifications of the concrete ties used on the Project. Should the assessments and tests reveal concerns, discussions between IDOT, UPRR and CXT would ensue to determine what remedial action may be appropriate. Concrete Tie warranty provisions between UPRR and CXT are addressed in Section 6.3.3, below.

The results of these quality assessment tests will also lay the foundation for development of focused QA/QC procedures for independent inspection at the concrete tie manufacturing facilities for follow on work in the Corridor Improvement Program. The concrete tie QA/QC work may also provide information to UPRR and IDOT for recommendations for possible changes to the UPRR specification for concrete ties for future programs.

Additional details of proposed concrete tie QA/QC plans are provided in the “Concrete Tie QA/QC Plan” (10/19/10) document included within Appendix B.

Concrete Tie Warranty Provisions

The UPRR Concrete Tie Specification for the Springfield/Joliet Subdivisions dated April 2010 includes the following warranty provisions in specification Section 15, on page 20 of 20:

- The concrete ties shall be guaranteed by the manufacturer, effective from the month and year of manufacture shown on the tie for a period of 5 years against any defect attributable to manufacturer.
- During the warranty period, if substantial quantities of ties have to be withdrawn from service due to a potential manufacturer’s defect, a laboratory examination shall be performed.
- In cases where a manufacturing fault is detected during the examination, the manufacturer shall provide replacement ties for all defective ties at a rate of 1.5 replacement ties for each defective tie.
- If no agreement can be reached during the examination referred to above, the matter shall be referred to independent specialists, acceptable to both parties, to settle the dispute. The cost shall be borne by the party found to be responsible.
- Defective ties shall remain the property of the railroad.
6.3.5 Rolling Stock & Motive Power QA/QC Approach

Procurement of high quality Rolling Stock and Motive Power units will be assured through a rigorous system of ongoing inspection and testing. Within this industry a high level of Quality Assurance and Quality Control is expected and it is anticipated that the manufacturer(s) who are awarded these contracts will have sophisticated quality management system(s) that as a minimum, meet the requirements of the Project Quality Program and those standard industry manufacturing requirements to comply with ISO 9000:2008 or a demonstrated equivalent quality standard.

A key early deliverable for the rolling stock contractors will be the submittal and acceptance of their management and quality assurance plans including detailed Test and Inspection Plans. It is envisioned that these plans are required within two-three months of award of contract for the car and locomotive procurements and must be accepted before proceeding to the submittal of the preliminary design drawings and documentation.

6.3.6 Positive Train Control QA/QC Approach

Part of the Corridor Improvement Program involves the design and building of infrastructure for positive train control ("PTC"), a new technology that works as an overlay with existing safety systems to ensure compliance with train movement authorities, signals and speed limits. It is anticipated that UPRR will be the lead designer and contractor for this work utilizing the services of various specialized sub-contractors. As with the rest of the Project, QA/QC will be of paramount importance and all design and construction activities will follow an approved Quality Program. Specialist designers will be required to submit their quality programs and their detailed test and inspection plans to both the UPRR and the PMC Quality Assurance manager for approval.
6. SAFETY AND SECURITY PROGRAM

7.1 Safety Approach

The program will develop and adopt a System Safety Program Plan (“SSPP”) to support and enhance a culture of safety. This plan will adopt rules and procedures to protect project personnel and others in the office and in the field. The plan will address the need for project personnel to be aware and trained, retrained, and if necessary, certified in safety practices of the host railroads, the FRA, and others if entry upon railroad properties is required. This document will also provide procedures for enforcement, corrective action and reporting.

FRA will be issuing regulations requiring a SSPP for each high speed rail corridor and detailing what must be included in the SSPP, with specific regulations governing each category of information required. In addition, many of FRA’s existing regulations are applicable regardless of the speed of the track. Furthermore, agencies such as the Illinois Commerce Commission and IDOT are exercising their jurisdiction over various aspects of safety in the Project Corridor. The host railroads, primarily UPRR and the passenger railroad (Amtrak) also have responsibilities for specific elements under existing FRA regulations.

The UPRR point of contact for safety issues is currently John Brennan. Anyone on the project team visiting the UPRR property will annually be required to participate in the contractor orientation course and evaluation via www.contractororientation.com. A course completion card will be issued by UPRR upon completion of the orientation courses and must be carried while on UPRR property.

In advance of the FRA’s issuance of SSPP regulations, the SSPP plan will include the following points based on the Code of Federal Regulation’s Rail Fixed Guideway System; State Safety Oversight, 49 CFR Part 659.19.

7.1.1 Policy Statement and Authority for SSPP

A policy statement signed by the High-Speed Rail (“HSR”) program’s chief executive that endorses the safety program and describes the authority that establishes the SSPP.

7.1.2 Goals and Objectives

A clear definition of the goals and objectives for the HSIPR safety program and stated management responsibilities to ensure that they are achieved.

7.1.3 Overview of Management Structure

An overview of the management structure of the HSIPR program, including: (i) an organization chart; (ii) a description of how the safety function is integrated into the rest of the organization; and (iii) clear identification of the lines of authority used by the HSIPR program to manage safety issues.
7.1.4 SSPP Control and Update Procedure
The process used to control changes to the SSPP, including: (i) specifying an annual assessment of whether the SSPP should be updated; and (ii) required coordination with the oversight agency, including timeframes for submission, revision and approval.

7.1.5 SSPP Implementation Activities and Responsibilities
A description of specific activities required to implement the system safety program, including: (i) tasks to be performed by HSIPR program safety function, by position and management accountability, specified in matrices and/or narrative format; and (ii) safety-related tasks to be performed by other HSIPR program departments, by position and management accountability, specified in matrices and/or narrative format.

7.1.6 Hazard Management Process
A description of the process used by the HSIPR program to implement its hazard management program, including activities for: (i) hazard identification; (ii) hazard investigation, evaluation and analysis; (iii) hazard control and elimination; (iv) hazard tracking; and (v) requirements for ongoing reporting to the oversight agency regarding hazard management activities and status.

7.1.7 System Modification
A description of the process used by the HSIPR program to ensure that safety concerns are addressed in modifications to existing systems, rolling stock, and equipment, which do not require formal certification but which may have safety impacts.

7.1.8 Safety Certification
A description of the safety certification process required by the HSIPR program to ensure that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace rolling stock and equipment will be created.

7.1.9 Safety Data Collection and Analysis
A description of the process used to collect, maintain, analyze, and distribute safety data, to ensure that the safety function within the HSIPR program receives the information necessary to support implementation of the system safety program.

7.1.10 Accident/Incident Investigations
A description of the process used by the HSIPR program to perform incident notification, investigation and reporting, including: (i) notification thresholds for internal and external organizations; (ii) investigation process and references to procedures; (iii) the process used to develop, implement and track corrective actions that address investigation findings; (iv) reporting to internal and external organizations; and (v) coordination with the oversight agency.

7.1.11 Emergency Management Program
A description of the process used to develop an approved, coordinated schedule for emergency management program activities, which include: (i) meetings with external agencies; (ii) emergency planning responsibilities and requirements; (iii) process used to evaluate emergency
7.1.12 Internal Safety Audits

A description of the process used to ensure that planned and scheduled internal safety audits are performed to evaluate compliance with the SSPP, including: (i) identification of departments and functions subject to review; (ii) responsibility for scheduling reviews; (iii) process for conducting reviews, including the development of checklists and procedures and issuing of findings; (iv) review of reporting requirements; (v) tracking the status of implemented recommendations; and (vi) coordination with the oversight agency.

7.1.13 Rules Compliance

A description of the process used by the HSIPR program to develop, maintain, and ensure compliance with rules and procedures having a safety impact, including: (i) identification of operating and maintenance rules and procedures subject to review; (ii) techniques used to assess the implementation of operating and maintenance rules and procedures by employees, such as performance testing; (iii) techniques used to assess the effectiveness of supervision relating to the implementation of operating and maintenance rules; and (iv) process for documenting results and incorporating them into the hazard management program.

7.1.14 Facilities and Equipment Inspections

A description of the process used for facilities and equipment safety inspections, including: (i) identification of facilities and equipment subject to regular safety-related inspection and testing; (ii) techniques used to conduct inspections and testing; (iii) inspection schedules and procedures; and (iv) description of how results are entered into the hazard management process.

7.1.15 Maintenance Audits and Inspections

A description of the maintenance audits and inspections program including identification of the affected facilities and equipment, maintenance cycles, documentation required, and the process for integrating identified problems into the hazard management process.

7.1.16 Training and Certification Program for Employees and Contractors

A description of the training and certification program for employees and contractors, including: (i) categories of safety-related work requiring training and certification; (ii) a description of the training and certification program for employees and contractors in safety-related positions; (iii) process used to maintain and access employee and contractor training records; and (iv) process used to assess compliance with training and certification requirements.

7.1.17 Configuration Management and Control

A description of the configuration management control process, including: (i) the authority to make configuration changes, (ii) process for making changes, and (iii) assurances necessary for all involved departments to be formally notified.
7.1.18 Local, State, and Federal Requirements

A description of the safety program for employees and contractors that incorporates the applicable local, state, and federal requirements, including: (i) safety requirements that employees and contractors must follow when working on, or in close proximity to, active railroad tracks/property; and (ii) process for ensuring the employees and contractors know and follow the requirements.

7.1.19 Hazardous Materials Program

A description of the hazardous materials program including the process used to ensure knowledge of and compliance with the program requirements.

7.1.20 Drug and Alcohol Program

A description of the drug and alcohol program and the process used to ensure knowledge of and compliance with program requirements.

7.1.21 Procurement Process

A description of the measures, controls, and assurances in place to ensure that safety principles, requirements and representatives are included in the HSIPR program procurement process.

7.2 Security Approach

Security procedures for field work will follow the host railroad’s existing security procedures. The project will follow UPRR’s security program. The goals of the UPRR program are:

1. Initiate a personal background check.
2. Provide safety training
3. Provide security awareness training
4. Provide authorized access credentials (Photo Identification Badge)

This Program will be administered by e-VERIFILE, Union Pacific’s contracted Background Investigation Company and the program will be known as e-RAILSAFE. The requirements of the UPRR program are:

- Railroad Contractors to register their company with the “e-RAILSAFE program.” The web address is www.e-railsafe.com
- Railroad Contractors must secure Background Consent Forms (waivers) from each of their employees who, in the scope of their duties, will need to enter onto the property of Union Pacific. Any contractor employee who refuses to provide consent to a background check will not be allowed to provide services to the Union Pacific Railroad.
- Railroad Contractors will submit necessary employee information to the “e-RAILSAFE program” via the website.
- Contract employees (Contractees) will be required to provide their electronic photo to the contractor, for their submittal to the e-RAILSAFE program. The Contract employee will then complete the on-line training for Railroad Safety and Railroad Security Awareness via “e-RAILSAFE program’s” website.
After the Contractee satisfactorily completes the training program, a background investigation is initiated.

The “e-RAILSAFE program” will then score that investigation to validate that it meets all the criteria for the issuance of a photo identification badge.

When a satisfactory score is rendered, the “e-RAILSAFE program” will automatically print a photo identification badge and mail the photo identification badge to the Contractor’s business address for distribution to the Contractee.

The Contractee is responsible to wear the approved badge, as well as carry another form of government issued ID on them at all times when on railroad property. Contractor employees without the identification card will not be allowed to work or on Union Pacific property. If already on our property, the contractor employee will be required to leave until the appropriate ID card is obtained. Employees leaving the employment of a contractor must surrender the identification card to either the contractor or to Union Pacific.

UPRR will conduct unannounced audits to inspect employees government issued photo I. D’s to ensure they match of the employees’ contractor identification card. Contractor personnel unable to provide both forms of identification will be removed from UPRR property.
7. SYSTEM STANDARDS AND INTEGRATION

8.1 System Vision

In conjunction with IDOT and using the Service Development Plan as the basis, the PMC will develop a Vision Statement for Chicago-St. Louis high speed rail and enhanced passenger services to be offered and the configuration of the transportation system necessary to deliver that service. The Vision Statement will address issues of service branding and brand management. Using Public Involvement resources, the PMC and IDOT will vet the initial vision with the potential customer base (the public) to refine the Vision Statement. The PMC will provide for periodic review of the vision statement and the service program which delivers on the vision. The work will include liaison with the immediately adjacent states and Amtrak in this iterative process.

8.2 System Concept and Integration Plan

In accord with the System Vision, the PMC will establish a plan for system configuration, including but not limited to station locations, platform types, track configuration, signal and communication system configuration including Positive Train Control, motive power and passenger equipment configuration, maintenance standards and methods. The PMC will provide a plan to assure all system components function as a unit, including training and certification requirements for system operation.

8.3 Technical Standard Development

The PMC will establish technical standards, and detailed specifications for track construction and maintenance (suitable for sustained 110 MPH passenger train operation, but also recognizing the requirements of the various types of freight services which will continue to operate on the Chicago-St. Louis Corridor), the 110 MPH-capable passenger equipment and motive power, communications and train control systems, maintenance (appropriate for dealing with the diverse needs of this mixed-use corridor), operating and station facilities. (for both the “IL-Dwight-St. Louis-Corridor Improvement Program” and the “IL-Chicago-St. Louis Double Track” projects).

These ranges of capital investments affect the layout and design of the physical plant and the station facilities. For example, in the double-track project, many stations will have second platforms installed, each of which must have the full range of amenities installed (consistent with Amtrak guidelines and standards). The platforms themselves will be ADA compliant, and will have grade-separated, ADA-compliant passenger access provisions installed at that time.
8.4 Operating Standards

8.4.1 Operating and Safety Rule Integration

In cooperation with Amtrak, the host railroads and the FRA, the PMC will review and supplement as appropriate for passenger operations, the Operating and Safety Rules. This effort may include provision for the acceptance of changes and modification of Rules by the host railroads. The implementation of high-speed passenger train operation, double-tracking of the complete corridor and the consequent increase in the volume of high-speed passenger train movements, may introduce new and/or unique rules and operating procedures requirements.

This effort will include a joint PMC, Amtrak and host railroads rules and procedures committee (or similar) to develop and refine the rules and procedures required to safely conduct Corridor operations.

8.4.2 Training Standards

In cooperation with Amtrak, the host railroads and the FRA, the PMC will establish a program of training for operating personnel to assure a safe operation in compliance with the Operating and Safety Rules established. This effort will include the necessary certification, licenses and permits needed to safely and reliably operate this joint-use, high-speed corridor and to ensure that a high standard of customer service is delivered by all crews, each and every day.

As with the rules and procedures committee, a training standards committee approach may be used as the delivery method.

8.5 Railroad Interface

The PMC will provide for the review, comment and acceptance of the system configuration, technical standards and specifications, system integration and operating standards by Amtrak, the host railroads and the FRA.

8.6 FRA and ICC Interface

The PMC will provide for the review, comment and acceptance of system configuration, technical standards and specifications, system integration and operating standards and rules by regulatory agencies with jurisdiction. Note that direct FRA involvement in the rules and procedures process is proposed above.

8.7 Customer Service Standards

Amtrak, the host railroads, IDOT, and the PMC will collectively work to establish train schedules that provide transportation service optimized to the dominant trip purposes on the Chicago-St. Louis Corridor, as identified by the ridership forecasting exercise.

UPRR will perform, with PMC review, performance modeling using the RTC simulation model. The PMC will coordinate acceptance of the train schedules by, IDOT, Amtrak and the host railroads. The PMC will ensure that coordination with key connecting services in Chicago and St. Louis is reflected in the simulation, and that these connections are optimized.
The PMC, with potential support from a PTB consultant, will specify desired standards for station operations and convenience, including personnel, cleanliness, ticketing and reservation access, security provisions, sanitary provisions, parking, baggage handling, ADA provisions, groundside transportation, food service, sundry service and other foreseeable customer amenities. IDOT, UPRR, and Amtrak will review and approve these specifications.

The PMC, with potential support from a PTB consultant, will establish standards for the provision of on-board customer services as are necessary or customary to passenger transport on a high-density corridor operation, such as the Chicago-St. Louis service will transition to. These standards shall include but not be limited to baggage provisions, environmental control, sanitary facilities, food service, internet access, ticket validation, emergency communication and egress, and on-board announcements. IDOT and Amtrak will review and approve these standards.

8.8 Special Studies and Investigations

As identified and necessary, the PMC with PTB consultant support, will provide methods to meet any requirements for special studies or investigations deemed necessary by IDOT, Amtrak, the FRA or the PMC to establish the safe and efficient operation of the Chicago-St. Louis High-Speed Rail Corridor. These studies have not yet been identified.

8.9 Engineering Consultant Oversight

8.9.1 Design Reviews

The PMC will provide for periodic review of standards and designs being developed by the section or facility design teams, whether contracted by IDOT, Amtrak, the host railroads or other entities. The PMC will establish formal standards of review and reporting of findings, comments, corrections and recording of final designs and modifications. The PMC will establish a system of configuration control and design acceptance.

8.9.2 QA/QC Audits

In accordance with the Program Quality Management System (as defined in Section 6), the PMC will require that all subcontractors shall have a conforming QA/QC plan for their specific assignments. The default position will be that the subcontractor will adopt all requirements of the PMC’s QA/QC Plan for their work.

Regardless of the source of the QA/QC Plan governing the work of an individual subcontractor, the PMC will require periodic audits on the QA/QC plan implemented by the subcontractor. These audits will consider preparation of plans and other documents, as well as manufacturing and construction activities, depending on the specific role and responsibility of the subcontractor. The audit procedures will be set forth, along with the process for identifying such occurrences and non-conformances, the review and reporting of same and the method for resolving these occurrences.
8.10 Value Engineering

The PMC will establish a system of value engineering reviews jointly between the PMC and the designers/other subcontractors to assure that the technical standards of all elements of the program are being met at a minimum life cycle cost.

The PMC will provide for the period review of design and manufacturing/construction cost estimates to ensure that sound value engineering principles are being applied throughout the process. The process for identifying cost reductions/method changes will be identified, along with reporting procedures and the method for resolving discrepancies.
8. PROGRAM EXECUTION

9.1 Environmental Clearance and Compliance Oversight

The PMC will conduct oversight of the program team to assure compliance with the requirements of the environmental clearance as required by the National Environmental Protection Act.

The PMC will oversee the development of project-level NEPA documents, as required, to support the Project. Necessary NEPA work, assumed to be re-evaluation documents, Categorical Exclusion or Environmental Assessment, will be performed if curves, turnouts, grade crossings, signals, easements, stations or other construction related activities fall outside the provisions of the ROD.

Field surveys will be conducted to review the project corridor to ensure that construction limits are contained within the ROD footprint. FRA has provided guidance indicating that the ROD footprint is defined as the existing railway roadbed. Additional coordination with FRA is currently underway to clarify this definition, namely whether this includes the existing foreslopes, ditches, or areas of previously removed 2nd track / yards.

The PMC will conduct environmental surveys and the creation of other documentation required by NEPA to allow work outside the ROD limits. If construction is anticipated to extend outside the existing roadbed, the project team will initially prepare a FRA Categorical Exclusion (CE) worksheet and submit to FRA for approval. A field visit will be conducted prior to construction to review any work areas with the potential to extend beyond the existing roadbed. A summary report of these field trips will be prepared and provided to FRA for concurrence.

A mitigation database will be developed to track and ensure that any commitments identified are implemented during construction. A review of county and municipal codes will be conducted to identify any local requirements that need to be implemented as part of the planning, design or construction for the program. A sustainability plan will be developed for the program covering environmental, economic and other areas. Review of the overall program to identify areas of opportunity for sustainability practices.

9.2 Design

Design tasks will be combined effort by the PMC, UPRR and its consultants, and other PTB Consultants selected by IDOT (see PMP section 4.2).

The PMC and PTB Consultants will perform design services that include specification development and design of civil and roadway facilities, communication and signal systems, operating and maintenance facility architecture, station architecture and oversight of rolling stock design, manufacture and delivery. The PMC will manage and oversee the PTB Consultant.

UPRR and its consultants will perform signal design, operations simulations, and develop / oversee the engineering and operational impacts for the capacity addition and modifications to UPRR and related mainline tracks. This also includes design activities for second mainline tracks, sidings, interlocking, related civil and drainage, related signal improvements, and highway/rail crossing warning device upgrades. UPRR consultants will provide Hydrologic and
Hydraulic evaluations for the structures along the Corridor, Environmental/Floodplain permitting for the structures as well as the new construction project areas, surveying/ mapping, and ARRA reporting.

The PMC will review UPRR designs for compliance with the technical standards and the ability of the design to meet the expectations of the system plan and the expectations of IDOT, Amtrak, the host railroads and the FRA, as appropriate.

See the Corridor Improvement Program – Statement of Work for a detailed description of design activities.

### 9.3 Right of Way Acquisition

Right of Way acquisition will be required to accommodate certain re-aligned curves, for improved grade crossing approaches, stations, and for other improvements. Once UPRR completes its aerial survey, properties required for curves, easements, crossings, stations, turnouts and/or signals will be identified. IDOT, the PMC, and UPRR will evaluate benefits, costs, and impacts and will jointly agree properties to acquire. The PMC will assure compliance with IDOT and host railroad requirements for right of way acquisition and compliance with federal rules regarding right of way and NEPA documentation.

1. If acquisition is needed; IDOT will request that UPRR acquire the real property and/or easements. Note, property and/or property rights may be needed for the Corridor Improvement Program. Other than stations, UPRR will be responsible for this task. Acquisition of property/rights for stations is the responsibility of IDOT and/or the affected community.

2. IDOT does not have eminent domain authority as it pertains to intercity rail service. State law, at 20 ILCS 2705/2705-440 (Intercity Rail Service) specifically states that IDOT: “shall not have the power of eminent domain”.

3. If eminent domain must be used to procure real property rights (including easements), IDOT will request that Union Pacific Railroad (“UPRR”) use its eminent domain authority to complete the acquisition. Per the July 16, 2010 construction agreement between IDOT and UPRR, at Attachment C, UPRR agrees to comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act, as amended (42 USC sec. 44602 et.seq.) and the Uniform Relocation and Real Property Acquisition for Federal and Federally Assisted Programs (49 C.F.R. Part 24), with respect to the project.

4. If property is to be acquired which does not involve eminent domain, UPRR will still comply with the regulations stated in #3, above.

5. IDOT recognizes FRA’s direction that real property interests acquired for the project be located within the Project limits.

### 9.4 Utility Relocation

The PMC will assure that utility relocations are accomplished in accordance with the design and are compliant with all agreements and other procedures the host railroad may have in place governing utility location on the right of way.
9.5 Roadway Projects

The PMC and IDOT will provide for field inspection, progress meetings, QA/QC audits, safety reviews and invoice reviews to assure that the design and construction of roadway facilities meet the contractual requirements and technical standards of the PMC, IDOT, Amtrak, the host railroads, the FRA and the ICC.

The following technical task force has been assembled to perform grade crossing diagnostics. Local authorities and private landowners will be involved as required to assure that all appropriate stakeholders are included in the investigative and decision making process for potential roadway projects.

<table>
<thead>
<tr>
<th>Road Crossing Diagnostic Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mike Garcia</td>
</tr>
<tr>
<td>Jeff Harping</td>
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<tr>
<td>Priscilla Tobias</td>
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<tr>
<td>Kyle Armstrong</td>
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<td>Marshall Metcalf</td>
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<tr>
<td>John Venice</td>
</tr>
<tr>
<td>Tom Hunter</td>
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<tr>
<td>Art Peterson</td>
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9.6 Communication & Signal Projects

The Corridor Improvement Program will be implementing PTC on the UPRR’s Joliet and Springfield Subdivisions, from Dwight to Q Tower, to meet Congressionally-mandated 2015 deadline. After the PTC system is designed by UPRR, the proposed system will need to be reviewed and approved by the FRA Office of Safety prior to its implementation. Due to the time required to design and obtain approval of the PTC system, the Project segment from Pontiac to
Dwight will utilize cab signals for the initial 110 mph operations. The cab signals will be replaced with PTC after design and approval is complete.

Scope includes software development, acquisition of communications and radio spectrum, GPS systems, new computer-aided train control and dispatch systems, installation of equipment along the right-of-way, signal relocations, installation of on-board equipment (in the locomotives and cab cars) and integration and testing of the system. Scope includes PE, FD, installation, testing and training.

The PMC will provide for field inspection, progress meetings, QA/QC audits, safety reviews and invoice reviews to assure that the installation and testing of all communications and signal systems meet the contractual requirements and technical standards of the PMC, IDOT, Amtrak, the host railroads, the FRA and the ICC.

9.7 Operating and Maintenance Facility Projects

The PMC will provide for field inspection, progress meetings, QA/QC audits, safety reviews and invoice reviews to assure that the design, construction, equipping and testing of operating and maintenance facilities meet all contractual requirements and technical standards of the PMC, IDOT, Amtrak, the host railroads, the FRA and the ICC.

9.8 Station Facility Projects

The scope of the station projects will include conducting the public involvement process and environmental review, conceptual site layout and design, PE, FD, and construction. The PMC along with a PTB Consultant selected by IDOT and managed by the PMC will provide for field inspection, progress meetings, QA/QC audits, safety reviews and invoice reviews to assure that the design, construction, equipping and testing of station facilities meet all contractual requirements and technical standards of the PMC, IDOT, Amtrak, the host railroads, the FRA and the ICC.

The stations to be upgraded include Dwight, Pontiac, Lincoln, Springfield, Carlinville, Alton, and East St. Louis. Bloomington-Normal will be improved by others outside the Corridor Improvement Program.

9.9 Rolling Stock Development

9.9.1 Rolling Stock Procurement

The rolling stock procurement task will be performed by the PMC along with a PTB Consultant selected by IDOT and managed by the PMC. The exact timeline for these tasks is dependent on the acceptance and release of the PRIIA Section 305 specifications by that committee’s executive leadership. Rolling stock procurement includes the acquisition of both locomotives and rail cars. Grantee anticipates that its current operator, Amtrak, will maintain the current equipment. Maintenance of new equipment could be performed by another.

IDOT and the PMC will submit a Fleet Management Plan for FRA consideration. The PMC and PTB consultant will Requests for Information preparation; discussions with manufacturers on industry-wide practices (also known as the “industry review” process); specifications development; competitive bidding/Requests for Proposal (“RFP”) preparation; equipment design
and manufacturing; design review and technical oversight; on-and-off-site manufacturing quality assurance/quality control, equipment packaging and delivery; operator and maintainer training, equipment acceptance testing; maintenance and training manuals; spare parts and tooling; and revenue service operations implementation

The PMC will also conduct pre-award and post-delivery “Buy America” audits in compliance with federal requirements for these rolling stock procurements. Ensure that the appropriate certifications regarding the meeting of the purchaser’s requirements are completed for the locomotive and car procurements at both the pre-award and post-delivery stages.

Additionally, the PMC will ensure that an appropriate test program at the Association of American Railroads center in Pueblo, Colorado leading to certification of the locomotives and cars as being suitable for sustained operation at 110 MPH is successfully completed. Similarly, the test program must include extensive pre-revenue testing on the entire Corridor.

9.9.2 Interim Improvements

The project segment from Dwight to Pontiac is scheduled for 110 mph operation in 2012. However, the new rolling stock described above will not be available by 2012. As a result, the existing Amtrak rolling stock will be modified and rehabilitated for safe 110 mph operation. At this time, it is assumed that P-42 locomotives, or modified P-40 locomotives, will be used at each end of the consist. The PMC will identify interim equipment improvements required for safe operation of the initial 110 mph service. These improvements (to be determined) will include rolling stock modifications to add cab signaling equipment as well as cosmetic improvements. Amtrak will manage and implement the proposed equipment modifications.

9.10 Schedule and Budget Coordination

The PMC will monitor schedule and budget adherence by its management and staff and by all other program team members. This review shall identify any non-conforming results along with a plan for corrective action. Follow-up review and reporting shall ensure that the correct actions have brought the result back into conformance/expectations. The PMC shall be fully cognizant of schedule and budget review, coordination and reporting requirements, as well as any updated/modifications. The PMC shall regularly report to IDOT on schedule and budget adherence and progress. The PMC shall establish schedule recovery plans with program team members as may be required to ensure that all scheduling objectives in this program are met.

9.11 Construction Oversight

IDOT’s role is not to directly supervise the work performed by a railroad owner. Rather, IDOT will provide construction oversight and inspectional services through the use of site inspectors guided and directed by the resident engineer. IDOT’s role includes:

1. Reviewing whether construction is performed and executed in accordance with the contract documents, and appropriate engineering and safety practices;
2. Determining whether work is performed and completed within the time frame of the contract;
3. Determining whether invoicing and changes, if any, are properly documented, reviewed and promptly processed;
4. Determining that pay estimate quantities are accurate and a true representation of actual material delivered, installed and contains sufficient supporting documentation which meets the quality guidelines in order to recommend payment;

5. Determining whether that material acquired, delivered, stored and incorporated into the work is free from manufacturer’s defects, shipping/freight and handling damage;

6. Ensuring that materials and products delivered, installed and commissioned are verified and in according to the contract documents, guidelines and engineering standards;

7. Other oversight work not specifically identified, but which is related to IDOT’s oversight role; and

8. Recommending appropriate cooperative and/or corrective action and remedies (such as, but not limited to, cure notices, pursuing warranty claims and breach of contract consideration) if products and/or are non-compliant with the construction agreement between IDOT and the UPRR and/or applicable UPRR material specifications.

9.12 Reporting

Various reports will be provided for the Program. The type of project and the funding source will affect the type of report provided. Typical reports include (but are not limited to) the following:

1. Engineering – actual engineering efforts expended and a listing of deliverables.

2. Construction:
   a. Daily status reports
   b. Reports to relate work in place against developed budget
   c. Turnout/switch construction report
   d. Bridge repair report
   e. Grade crossing installation report

3. Labor and material contract report

4. Accounting reports to indicate performance against budget

5. Invoice to Date reports – forms the basis for monitoring an overall agreement

6. Prevailing wage compliance report

7. Disadvantaged Business Enterprise report

8. As-built/As-installed drawings, calculations, reports and illustrations

9. QA/QC reports

10. Funding report requirements (e.g., those required by FRA)
9. SYSTEM INAUGURATION

10.1 Equipment Testing and Acceptance

As set forth above, the PMC will establish and conduct a program of equipment testing and acceptance, including as applicable, acceptance or certification by regulatory agencies with jurisdiction. Equipment includes rolling stock and motive power including on-board equipment, maintenance equipment, communication and train-control systems, ticketing and reservation systems (as applicable).

10.2 Final Inspections and Acceptance

The PMC will establish and conduct a program of final inspection and acceptance of fixed facilities including roadway, operating and maintenance facilities and stations. Furnishings shall be inspected for compliance with all technical requirements and in appropriate condition.

10.3 Training

The PMC will establish and conduct a program of training of operating, maintenance and customer-service personnel to meet any certification and licensing requirements, become proficient in the execution of emergency procedures and to meet customer service expectations. The PMC will review the training program and seek acceptance from IDOT, Amtrak, the host railroads and regulatory agencies with jurisdiction.

10.4 System Testing

As described in above, and in accordance with the requirements of IDOT, Amtrak, the host railroads, the FRA and the ICC, the PMC will conduct a program of pre-revenue service testing with successful completion of the test program being a mandatory step prior to commencing revenue operations on the Chicago-St. Louis Corridor.

10.5 Regulatory Authority Acceptance (Permits)

The PMC will verify all required regulatory agency acceptances, permits, licenses and certifications are obtained.

These permits are anticipated to include:

- Joint Permit Application: USACOE 404/ IEPA Section 401/ IDNR
- National Pollutant Discharge Elimination System (NPDES)
- County or township road closures
- State Road Closures
- Interagency Wetland Policy Act (IWPA)
- Utility Easements
The PMC will be responsible for ensuring compliance with Section 7 of Endangered Species Act of 1973 and NEPA requirements as described in Section 9.1 above.

1. NEPA Document (not a permit but required prior to construction), see Section 9.1
   - NEPA documentation is required by FRA for any federally funded project.
   - Work contained in Record of Decision (“ROD”). If work is outside of the ROD and there are no significant impacts, FRA may allow a reevaluation document.
   - IDOT PMC is responsible NEPA documentation.

2. Joint Permit Application (USACOE 404/ IEPA Section 401/IDNR)
   - Joint Permit Application required by: US Army Corp of Engineers, Illinois Environmental Protection Agency; and the Illinois Department of Natural Resources
   - Needed when proposed work is within 100 year regulatory flood plain (includes impacts to wetlands)
   - IDOT PMC is responsible for obtaining this permit
   - The Project is in two USACOE districts (Rock Island and St. Louis). May require two separate permit applications. Note, however that the St. Louis Corps district may coordinate the projects with Rock Island and then take jurisdiction of the needed permits. Corps may process is as a NWP 33 (used in the past for other shovel ready ARRA projects). Often, the NWP 33 can be processed in a short time period, based on field screening rather than full wetland delineation.

3. National Pollution Discharge Elimination System (“NPDES”)
   - NPDES required by Illinois Environmental Protection Agency
   - Needed when more than one acre of earth is disturbed
   - UPRR is responsible for acquiring the NPDES permit
   - Includes a Storm water Pollution Prevention Plan (“SWPPP”). NPDES are required if IEPA considers this a large project. It may not be required if IPEA deems the construction pads as 12 individual projects. Note, an NPDES this permit may be contractor based if it works on several sites that are greater than one acre.

4. County or Township Road Closures
   - Permit required by County Engineers (Madison, Jersey, Macoupin, and Sangamon) when any road closure is required
   - UPRR is responsible for obtaining these permits
5. State Road Closures
   - Permit required by IDOT Maintenance Engineer, Districts 6 (Springfield) and 8 (Collinsville)
   - Required if any State road closure is required
   - UPRR is responsible for obtaining these permits

6. Section 7 of Endangered Species Act of 1973
   - Permit required by the US Fish and Wildlife Service
   - Permit is required if any endangered species is identified
   - Responsible for obtaining permit: IDOT PMC

7. Utility Easements
   - Required by various utility companies in the Project area
   - UPRR will acquire utility easements

10.6 Owner Acceptance
    As required in the PMC agreement, the PMC will seek and obtain acceptance of the Chicago-St. Louis High-Speed Rail Corridor by IDOT, Amtrak and the host railroads.

10.7 Ready for Operation Declaration
    Upon obtaining all required acceptances and when meeting its own satisfaction, the PMC, IDOT, Amtrak, the host railroads, the FRA and the ICC shall declare the Chicago-St. Louis High Speed Rail Corridor Ready for Operation.
10. ENTERPRISE MANAGEMENT

The PMC shall establish a plan for the management of the revenue operations phase of the Chicago-St. Louis Corridor. The plan will provide for the procurement of an Operator (this is assumed to be Amtrak, the operator of the existing Chicago-St. Louis passenger rail service, but a formal process will be required). The revenue service management plans should account for the following major expense categories: General & Administrative costs; Marketing and Sales; Ticketing and Reservations; Security and Safety Management; Insurance Program and Claims Settlement; Legal Representation; Facility and Asset Management; Revenue and Cost Accounting; Operating Department Management; On-Board Service; Maintenance of Equipment; Maintenance of Way; Customer Service Department Management; Internal Auditing and Quality Management; and on-going interface with the service operator, the host railroads and other key entities.
11. APPENDICIES

Two appendices are included as part of this PMP. They include:

- Appendix A – Corridor Improvement Program Construction Schedule
- Appendix B – Concrete Tie QA/QC Plan – 10/19/10
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
   Financial Planning Documentation (upload#6)
FINANCIAL PLAN

IL-METRO ST. LOUIS AREA STATION PE-NEPA

MARCH 31, 2011
FINANCIAL PLAN

IL-Metro St. Louis Area Station PE/NEPA

The purpose of this Financial Plan is to document the recent and forecasted financial condition of the Illinois Department of Transportation (IDOT), and others, that will provide funding for a PE/NEPA which will consider the alternatives for a passenger rail station in the metropolitan St. Louis area on the Chicago-St. Louis rail corridor (Corridor).

1. Introduction
The Chicago-St. Louis rail corridor has been an integral part of the U.S. passenger rail network and was part of the original Amtrak network. The state of Illinois (“State”) has supported the operation and improvement of rail service as well as the enhancement of the physical aspects of the Corridor for over 40 years. Currently, five daily round trip passenger trains operate on the Corridor at speeds up to 79 mph; four are Lincoln Service corridor trains, with three round trips funded by the State; and a fifth is the long distance Texas Eagle service, which operates south of St. Louis and beyond the Corridor.

In 2009, the Federal Railroad Administration issued notice of funding availability for the High Speed Intercity Passenger Rail (“HISPR”) program. The State was awarded $1.1 billion in funds for the HISPR project which will allow it to make improvements to increase passenger rail speed in the Corridor up to 110 mph (See Cooperative Agreement between FRA and IDOT, number FR-HSR-0015-11-01-00 and amendment number one to the agreement, FR-HSR-0015-11-01-01, December 2010). The geography covered by the Grant award extends from Dwight Illinois to the East St. Louis area. In March, 2011, the FRA issued a new notice of funding availability (NOFA). This Financial Plan supports IDOT’s application for a PE/NEPA study to consider the alternatives for providing a new rail station (which also includes parking and platforms) on the Chicago – St. Louis rail corridor (Corridor) to serve passengers in the Illinois portion metro-east St. Louis area (Project).

2. Project Description and Benefit
Currently, trains operating on the Amtrak Chicago-St. Louis corridor (“Lincoln Service” and the “Texas Eagle”) make station stops in Alton, IL at mile post (MP) 257 and St. Louis, MO (MP 284), separated by about 27 miles. The lack of a station between these two points limits options and accessibility for residents on the east side of the St. Louis metropolitan area, particularly those that are transit-dependent. Providing a station in the Metro-east area, in addition to that currently located within central St. Louis, will likely increase project ridership by enhancing rail access. Following development of the metro-east St. Louis station (which includes platforms, parking areas and related improvements) PE/NEPA work plan and schedule, the first effort in the study will be to establish organizational links among IDOT planning and environmental units, metropolitan planning organizations (MPOs) and transit agencies, as well as at the Federal level. Next, the project team will formulate the Project vision and goal statement. This step will be followed by definition of the Project’s purpose and need. Next, a collaborative process with the stakeholders will lead to the development of screening criteria, which will then be used to reduce the number of alternatives under consideration. The Project team will identify the affected environment for the metro-east St. Louis station project, assess the possible environmental effects of the project and then determine the likely environmental mitigation activities. At the conclusion of this effort, the Project team will prepare a recommendation and report for the alternative that is to be carried forward through the design and construction process.
3. Location – (Primarily involving Granite City, St. Louis and East St. Louis)

The Project's geographic area is:
North - Interstate 270
West - Mississippi/State boundary
South - MacArthur Bridge and approaches
East – Illinois route 111, Collinsville Road and 10th Street
See Table 1 for further detail
4. **Timeline**

The estimated timeline for the Project study is nine months, from January 1, 2012 through September 30, 2012.

5. **Structure**

**IDOT**

The transportation network in Illinois is a collection of modal systems: highways, transit, airports, and railroads. The challenge for IDOT and all the State’s transportation providers and implementers is to integrate these systems into a seamless network that effectively and efficiently move people and goods.

The State’s highway system consists of more than 16,000 miles, including 2,050 miles of interstate roads, of which 282 miles are tollway, comprising the third largest system in the nation. Illinois also boasts 52 public transit systems serving an average of 600 million passengers a year, for which IDOT provides technical and financial assistance. Among these is the Regional Transportation Authority in Chicago, which oversees the second largest public transportation system in the nation. Another transportation asset is Illinois’ airport system, the second largest in the nation, which includes 138 airports, 280 heliports, and nine balloon ports. The largest, Chicago's O'Hare International, serves more than 76 million passengers annually, making it the second busiest airport in the United States.

Illinois’ rail program, one of the nation’s strongest, includes both freight and passenger components. Its long-term commitment to passenger service is demonstrated by the State’s General Assembly providing support from the general revenue fund for operating subsidies and capital improvements since 1971. The freight program provides grants and low interest financing to capital rail projects that benefit economic development in Illinois. Projects are evaluated based on a benefit/cost ratio.

Responding to several years of steadily increasing demand for trail passenger service, Illinois increased state funding from $12 million in FY 2006 to $24 million in FY 2007. Program appropriations rose to $28 million in both 2009 and 2010 and $26 million for 2011. The additional funding allowed Illinois to add two State-supported trains on the Chicago-St. Louis route (with three Lincoln Service trains funded by the State), one on the Chicago-Carbondale corridor and one on the Chicago–Quincy route, in addition to increasing its level of support for the Chicago-Milwaukee “Hiawatha Service,” (seven daily trains) also supported by the Wisconsin Department of Transportation. These investments yielded substantial ridership increases on all corridors:

- On the Chicago – St. Louis Corridor, ridership rose 55.8% the first year, 16.5% from 2007 to 2008, 6.3% from 2008 to 2009 and, 13.1% from 2009 to 2010.
- On the Chicago-Carbondale route, ridership rose 41.4% the first year, 18.5% from 2007 to 2008, and 2% from 2009 to 2010.
- On the Chicago-Quincy route, ridership rose the first year 41.4% in 2007, 19.8% from 2007 to 2008, and 3.4% from FY 2009 to FY 2010.

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1 Airports Council International

2 Source: Amtrak Illinois Fact Sheet, Fiscal Year 2010
The freight program provides grants and low interest financing to capital rail projects that benefit economic development in Illinois. Projects are evaluated based on a benefit/cost ratio.

Another element of IDOT’s efforts to support freight and passenger rail service is the Chicago Region Environmental and Transportation Efficiency (CREATE) program. CREATE is a partnership among the state of Illinois, the city of Chicago, and six major national freight rail carriers (BNSF Railway, Canadian Pacific Railway, CN, CSX Transportation, Norfolk Southern Corporation, and Union Pacific Railroad). The CREATE program will invest an estimated $1.5 billion in capital projects to improve transportation efficiency in the Chicago region.

On July 13, 2009, a $31 billion State capital bill, “Illinois Jobs Now!” was signed into law. This bill includes $400 million for high-speed rail, $150 million for conventional intercity passenger rail, and $322 million for the CREATE program. Funding for the Illinois Jobs Now! will be provided by issuing 20-year bonds financed by various fee increases for Secretary of State Services (certificate of title fees, transfer of registration fees, passenger and truck B registration fees, driver’s license fees, and fines for overweight trucks), tax revenue enhancements (sales tax on candy, sales tax on sweetened tea, coffee, grooming and hygiene products, and volume tax on wine, spirits, and certain beer products), and video gaming terminals.

Union Pacific Railroad (UPRR)

UPRR owns and operates the vast majority of the Corridor where the PE/NEPA study will be conducted. UPRR is a heavy freight hauling railroad; it leases operating rights to Amtrak for regularly scheduled passenger service. UPRR is a stable company having been in business for over 100 years. As of December 31, 2009, UPRR had 32,094 route miles over 23 states. It reported operating revenue in 2009 of $14.1 billion.

Amtrak

Amtrak, the National Railroad Passenger Corporation is the operator of passenger rail on the Corridor. It is authorized to operate a system of passenger rail transportation pursuant to the Federal Rail Passenger Service Act of 1970 for which it receives annual appropriations from the Federal government. Amtrak has seen record ridership, with numbers rising to 28.7 million in fiscal year 2008 accompanied by record ticket revenues of $2.45 billion.

A section of the act creating Amtrak allowed states to contract with the carrier for additional service beyond what was provided in the basic system. Illinois was first to take advantage of this provision in 1971 with the Illinois Zephyr service to Quincy and has continued its support over the years. Administered by IDOT’s Division of Public and Intermodal Transportation, Bureau of Railroads, the program is now second only to California’s state-supported passenger rail network.

Source: Union Pacific Corporation 2009 Analyst Fact Book
6. **Projected Costs** - The total estimated amount for the metro-east St. Louis area station location PE/NEPA study is $1,000,000.

7. **Funding Sources** - Out of the $1,000,000 cost investment, IDOT proposes an 80% FRA and 20% IDOT cost share.

<table>
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<tr>
<th></th>
<th>Federal Funding</th>
<th>IDOT Match (20%)</th>
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<td>PE/NEPA Study</td>
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8. **Cash Flow Forecast** (in FY 2011 dollars)

The funds are expected to be expended during three quarters of 2012, as follows.

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<td>FRA Funds</td>
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<td>$400,000</td>
<td>$120,000</td>
<td>$800,000</td>
</tr>
<tr>
<td>State of Illinois</td>
<td>$70,000</td>
<td>$100,000</td>
<td>$30,000</td>
<td>$200,000</td>
</tr>
<tr>
<td>Total</td>
<td>$350,000</td>
<td>$500,000</td>
<td>$150,000</td>
<td>$1,000,000</td>
</tr>
</tbody>
</table>

9. **Funding Sources**

IDOT has the authority to accept and expend funds granted by the Federal Railroad Administration (FRA). IDOT has previously received funds from the U. S. Department of Transportation (US DOT) and the FRA. The Project will be financed through a combination of Federal funds and dedicated State funds. The State agrees to provide 20% of the total Project cost.

On July 13, 2009, a $31 billion State capital bill, “Illinois Jobs Now!” was signed into law. This bill includes a commitment of $400 million for high-speed rail, $150 million for conventional intercity passenger rail, and $322 million for the CREATE program. Funding for the Illinois Jobs Now! is provided by the issuance of 20-year bonds financed by various fee increases for Secretary of State Services (certificate of title fees, transfer of registration fees, passenger and truck registration fees, a driver’s license fees, and fines for overweight trucks), tax revenue enhancements (sales tax on candy, sales tax on sweetened tea, coffee, grooming and hygiene products, and volume tax on wine, spirits, and certain beer products), and video gaming terminals. The State’s FY2011 (July 1, 2010 to June 30, 2011) Capital Budget contains a $400 million appropriation for Statewide High Speed Rail projects. The FY2011 Capital Budget and Capital Projects List can be viewed and/or downloaded at the following website: [http://www.state.il.us/budget/](http://www.state.il.us/budget/)
With the approval in 2009 of Illinois Jobs Now!, a $31 billion capital program enacted in 2009, IDOT has received a commitment from the State of Illinois, of $400 million for the Chicago – St. Louis high speed rail corridor.

Through September 14, 2010 the State has released 27.0% ($108,112,722) of the $400 million appropriation established in the FY2011. The remaining $291,887,278 high speed rail appropriation will be released incrementally to meet the funding needs of the Corridor Improvement Program including the PE/NEPA funding subject to this application. Additionally, the State has a process for bridging costs associated with the capital improvements while IDOT requests reimbursements from FRA or local municipalities.

State High Speed Rail Capital Funding

<table>
<thead>
<tr>
<th>Description</th>
<th>Date</th>
<th>Funding</th>
<th>Obligations</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2011 Capital Budget Appropriation</td>
<td>Mar 10, 2010</td>
<td>$400,000,000</td>
<td></td>
</tr>
<tr>
<td>State OMB Release No. 5748</td>
<td>May 06, 2010</td>
<td>$9,800,000</td>
<td></td>
</tr>
<tr>
<td>State OMB Release No. 6347</td>
<td>Sep 14, 2010</td>
<td>$98,312,722</td>
<td></td>
</tr>
<tr>
<td>Remaining Appropriation</td>
<td></td>
<td>$291,887,278</td>
<td></td>
</tr>
</tbody>
</table>

The State’s Capital Budget is a spending blueprint identifying capital projects that generate assets with a long economic life, such as roads and bridges, transit facilities, schools, economic development projects, environmental infrastructure, energy programs and state facilities. While the State’s operating budget provides annual funding for the day-to-day services, programs, and operations of the State, the Capital Budget provides funding for projects requiring multi-year appropriations.

Capital appropriations are made up of new appropriations for capital projects that will be initiated starting in a specific fiscal year but may require two or more years to complete, and re-appropriations of projects and programs first appropriated in prior years and not yet completed. The $400 million high speed rail appropriations were first appropriated in FY 2010 and then re-appropriated in the FY 2011 Capital Budget.

Additionally, financial and investment rating services and firms continue to confirm Illinois’ relatively sound financial rating. The State’s special obligation bond ratings did not change during FY 2009. As evidence of the project backing financial health, Illinois’ bond rating on special obligation – Build Illinois Bonds from Moody’s Investor Services, Standard and Poors, and Fitch Ratings remained at Aa3, AAA and AA, respectively. Since June 30, 2009, Moody’s Investor Services lowered the State’s special obligation bond rating for Build Illinois Bonds to A1 and Fitch recalibrated its rating to AA+.

Note, while Illinois experienced significant financial difficulties during the recent recession, those financial difficulties have not impaired the State’s financial wherewithal to meet the funding requirements of the Corridor Improvement Program. Because the Program funding is primarily financed through the Illinois Jobs Now! capital program and is not reliant on the State’s General Fund.
10. Risks

There are a few risks associated with the PE/NEPA study of the metro-east St. Louis station (including platforms and parking areas). The risks include: 1) funding cancellation; 2) a decline of public or political support for the project; 3) lawsuits filed on behalf of specific interest groups to stop the PE/NEPA study; and 4) the extension of PE/NEPA work extends beyond statutory, agency and agreed upon deadlines. The PMC performed a risk analysis of these risks and concluded they are in the low risk category. A copy of the risk register, including response strategies for each of the risks set forth herein is attached to this Financial Plan.
# Project Title
IL-Metro St Louis Area Station PE-NEP

## Project PIN #

## Date
29/3/2011

## Project Manager
Philip Pasanesk

---

## Project Risk Management Plan

### Risk Identification

<table>
<thead>
<tr>
<th>ID #</th>
<th>Functional Assignment</th>
<th>Type</th>
<th>Probability</th>
<th>Severity</th>
<th>Risk Matrix</th>
<th>Strategy</th>
<th>Response Actions including advantages and disadvantages</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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### Qualitative Analysis

<table>
<thead>
<tr>
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<th>Severity</th>
</tr>
</thead>
<tbody>
<tr>
<td>VH</td>
<td></td>
</tr>
<tr>
<td>H</td>
<td></td>
</tr>
<tr>
<td>L</td>
<td></td>
</tr>
<tr>
<td>VL</td>
<td></td>
</tr>
</tbody>
</table>

### Response Strategy

<table>
<thead>
<tr>
<th>Response Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acceptance</td>
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</tbody>
</table>

### Monitoring and Tracking

<table>
<thead>
<tr>
<th>Responsibility Task Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>G. Weber</td>
</tr>
</tbody>
</table>

---

## Risk Types

### Financial Risks

<table>
<thead>
<tr>
<th>ID #</th>
<th>Active</th>
<th>Date Identified</th>
<th>Event/Trigger Type</th>
<th>Probability</th>
<th>Severity</th>
<th>Risk Score</th>
<th>Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>PE-C-01</td>
<td>15</td>
<td>29/3/2011</td>
<td>Cancel of funding for the study/PE work required.</td>
<td>Cost</td>
<td>Very Low</td>
<td>Moderate</td>
<td>Acceptance</td>
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</table>

### Stakeholder & Outside Influences

<table>
<thead>
<tr>
<th>ID #</th>
<th>Active</th>
<th>Date Identified</th>
<th>Event/Trigger Type</th>
<th>Probability</th>
<th>Severity</th>
<th>Risk Score</th>
<th>Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>PE-C-02</td>
<td>50</td>
<td>29/3/2011</td>
<td>Public and political support for the Program diminishes. Federal funding is eliminated.</td>
<td>Cost</td>
<td>Low</td>
<td>High</td>
<td>Mitigation</td>
</tr>
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</table>

### Schedule Risks

<table>
<thead>
<tr>
<th>ID #</th>
<th>Active</th>
<th>Date Identified</th>
<th>Event/Trigger Type</th>
<th>Probability</th>
<th>Severity</th>
<th>Risk Score</th>
<th>Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>S-PE-01</td>
<td>30</td>
<td>28/3/2011</td>
<td>PMC PE/NEPA work extends beyond statutory, agency, and agreed upon deadlines.</td>
<td>Schedul</td>
<td>Low</td>
<td>Moderate</td>
<td>Acceptance</td>
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## Risk Scores

<table>
<thead>
<tr>
<th>Probability</th>
<th>Severity</th>
<th>Risk Scores are the product of Probability X Severity</th>
</tr>
</thead>
<tbody>
<tr>
<td>VH</td>
<td></td>
<td>VL=5 VH=1</td>
</tr>
<tr>
<td>H</td>
<td></td>
<td>VL=1</td>
</tr>
<tr>
<td>L</td>
<td></td>
<td>VL=5</td>
</tr>
</tbody>
</table>

---

## Notes

- Dates: 29/3/2011
- Project PIN: #
- Project Manager: Philip Pasanesk

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## Additional Information

- **Goal**: Range of Risk Scores from 40 - 200
- **Amber**: Range of Risk Scores from 25 - 50
- **Green**: Range of Risk Scores from 5 - 30

---

## Risk Score Table

<table>
<thead>
<tr>
<th>Probability</th>
<th>Severity</th>
<th>Range of Risk Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>VH</td>
<td></td>
<td>VL=1 VH=1</td>
</tr>
<tr>
<td>H</td>
<td></td>
<td>VL=1</td>
</tr>
<tr>
<td>L</td>
<td></td>
<td>VL=5</td>
</tr>
</tbody>
</table>

---

## Summary

- Project Title: IL-Metro St Louis Area Station PE-NEP
- Date: 29/3/2011
- Project Manager: Philip Pasanesk
- **Project PIN #**
- **Responsibility Task Manager**: G. Weber
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
Railroad and Project Sponsor Agreements
East St. Louis (upload#7)
March 18, 2011

Miriam Gutierrez  
Illinois Department of Transportation  
miriam.gutierrez@illinois.gov

Dear Ms. Gutierrez:

Thank you for the opportunity to learn and understand the plan for the much needed high rail system in the State of Illinois. I, along with members of my staff, City Officials, St. Clair County Board Chairman and legal counsel attended the City Official Open House on Wednesday, March 9, 2011 at the Holiday Inn in Alton, IL. We were impressed by the amount of information distributed at the meeting.

Furthermore, thank you for taking the additional time after the session to meet with us to hear our concerns about the importance of having an Illinois High Rail System station in East St. Louis. We are passionate about our request to consider East St. Louis as a location to place a high rail station.

The City of East St. Louis would be the prime location for high rail travel for the State of Illinois from Chicago to St. Louis for the following reasons:

1. All major interstates in the State of Illinois run through or connect through East St. Louis (i.e. I-64, I-55, I-70, I-255)
2. The City has the support of Metro Transit Bi-State system, in addition to active railroads.
3. The Metro transit system transports citizens throughout the St. Clair County area to other government based facilities such as the Federal Court Building and Junior College located in East St. Louis.
4. Growing Economic Development interests and efficient land mass to accommodate the populous that will travel high speed rail.

New Projects Currently underway:

a. Downtown Medical District
b. Downtown Redevelopment
c. Expansion of St. Louis Arch Walkover
d. New Mississippi River Bridge Project (currently being constructed by IDOT)
e. Goose Hill Area Trucking Plan
f. Port of East St. Louis
g. Development of the River Front (Long-Term Potential)
5. In addition, East St. Louis has the best prime real estate east of St. Louis, Missouri; and more than 100,000 people and cars travel through East St. Louis daily from neighboring communities such as:

   a. Belleville, IL
   b. Fairview Heights, IL
   c. Shiloh, IL
   d. Cahokia, IL
   e. Caseyville, IL
   f. Washington Park, IL
   g. Centreville, IL
   h. Sauget, IL
   i. St. Louis, MO

**Beneficial to St. Clair County, Illinois**

Cradled by the Mississippi River on the west, St. Clair County offers a variety of life styles ranging from the laid-back atmosphere of rural America to growing cities that offer all the dynamic opportunities of urban living.

Home to Scott Air Force Base, one of the top five employers in the St. Louis region, St. Clair County is just minutes away from St. Louis and offers the MetroLink light rail system with stops from Scott Air Force Base to Lambert St. Louis International Airport And Shrewsbury. St. Clair County is also home to MidAmerica St. Louis Airport which offers international cargo services.

The High Rail system will tie transportation from the Chicago area to the St. Louis area, which will include these and other Southern Illinois area facilities (such as the State Capital in Springfield, Southern Illinois University, and Illinois State University). It was evident from the amount of support at the Open House from other municipalities and corporate citizens to East St. Louis, that East St. Louis would be an ideal location for a high rail station.

In the event that negotiations between the states of Illinois and Missouri do not occur favorably in the near future, East St. Louis could be the final stop for the high rail system, east of the Mississippi River to St. Louis. The East St. Louis Station could service the masses of commuters that could be potentially serviced by a Downtown St. Louis location.

Your consideration to the City’s proposal is greatly appreciated. Feel free to contact me with any questions or concerns.

Sincerely,

[Signature]

Deletra Hudson,
City Manager
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:

Railroad and Project Sponsor Agreements

St. Clair County Board (upload #8)
FOR IMMEDIATE RELEASE

Statement by St. Clair County Board Chairman Mark Kern

Good afternoon my name is Mark Kern; I serve the citizens of St. Clair County as Chairman of the St. Clair County Board.

I am appearing; first to indicate my support and the support of the County Government for this badly needed rail project not only for St. Clair County but for the entire Southwestern Illinois community. Second, I want to emphasize that a station located in East St. Louis would be vitally important to the rejuvenation of that community and the citizens of St. Clair County. It would signify one more step in bringing and enhancing key public facilities to East St. Louis which will reinforce the governmental services that St. Clair County and the State of Illinois have already housed in that troubled community and represent a significant investment for the people of East St. Louis. These include the Federal Courts, the County Health Center, and a facility of Southern Illinois University in Edwardsville, the existing Metro Link Station and bus transfer center as well as Junior College facilities in East St. Louis.

The Chicago Metropolitan Area and the State Capital in Springfield as well as Illinois State University are among the most important destinations for St. Clair County and other downstate communities. A High Speed or Higher Speed rail facility will materially reduce travel time and enable additional service to be scheduled. In fact, a comparison of the projected time for train travel to the time expended for contemporary air service to access downtown Chicago or the Joliet
area, given the time normally expended for access to the airports with their attendant security requirement coupled with flight time suggest that time expended will be nearly equal on the train at lesser cost and greater reliability.

This service will provide as well a series of shorter and more convenient opportunities for travel between the population centers on the line. The existing service that now provides five round trips is heavily patronized and has demonstrated consistent ridership growth. With added frequencies and shorter travel time, ridership will surely increase. Already communities along the way are improving station facilities and making development plans to exploit the economic opportunities. In addition, the further development of transportation facilities in the core of Illinois central cities, small and medium sized communities aids in municipal revitalization.

The importance of an East St. Louis station cannot be overemphasized. There is a potential for a direct connection with MetroLink together with access to the St. Louis-Kansas City trains with their connections to the West Coast. Scott Air Base is an important travel generator as is the extensive residential development in Belleville, O'Fallon, Fairview Heights, Shiloh and the unincorporated portions of St. Clair County. East St. Louis is the hub for interstate highway traffic and serves as a gateway to the balance of Southern Illinois and is an important center of commerce and residential development. MetroLink provides direct and speedy access to a variety of destinations in Missouri and Illinois including all the areas I enumerated earlier.

St. Clair County, acting through the St. Clair County Transit District which currently provides MetroLink and bus service to the County, stands ready to coordinate the development of the East St. Louis station and joining the State of
Illinois will facilitate the development of a joint rail, bus and MetroLink station for the contemplated station.

I stand ready to cooperate with project development officials to arrange for the necessary cooperation and support that this important project requires.
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
   Railroad and Project Sponsor Agreements
    IL State Representative Holbrook (upload#9)
March 7, 2011

Mr. George Weber
Acting Deputy Director
Illinois Department of Transportation
100 West Randolph Street, Suite 6-600
Chicago, IL 60601

Dear Deputy Director Weber:

I was recently made aware of the Public Open House Meetings being held to discuss the proposed high-speed rail project from Chicago to St. Louis.

Although I will be in Session in Springfield on March 9th and won’t be able to attend either of the meetings this week, it is very important that East St. Louis be considered for a stop on this route. Please know I am in full support of a stop in East St. Louis along the high-speed rail route and will assist in any way I am needed to proceed with this important project.

Thank you for requesting input from stakeholders and working so closely with the public. Please contact me if you would like to further discuss this issue.

Sincerely,

Thomas Holbrook
State Representative
113th District

TH/jds.

CC: Mark Kern, St. Clair County Board
    Gary Hannig, IDOT
    Senator James Clayborne
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:

*Railroad and Project Sponsor Agreements*

Amtrak Support Letter (upload #10)
March 31, 2011

Mr. George Weber  
Acting Deputy Director  
Illinois Department of Transportation  
100 West Randolph Street, 6-600  
Chicago, IL 60601

Dear Mr. Weber:

The National Railroad Passenger Corporation (Amtrak) would like to take this opportunity to express its support for Illinois' High Speed Intercity Passenger Rail (HSIPR) grant application submitted in response to the March 16, 2011 Federal Register Notice issued by the Federal Railroad Administration (FRA) for the project listed below. This Notice announced the redistribution of funds authorized and/or appropriated in three pieces of legislation: the Passenger Rail Investment and Improvement Act of 2008 (PRIIA), the American Recovery and Reinvestment Act of 2009 (ARRA) and the Fiscal Year 2010 Consolidated Appropriations Act.

Amtrak's support relates to the following project:

PE/NEPA for a proposed new station stop at East St. Louis on the Chicago-St. Louis Corridor

It is our understanding that this project, upon completion, has the potential to improve intercity passenger rail service and benefit the Amtrak system. Based on the information made available to us regarding the project's eligibility, and subject to the development of such project-specific agreements as FRA may require, we support this application as a potential candidate for funding.

The advancement of projects like this will help develop high-speed and quality intercity passenger rail service in the United States. We appreciate your leadership in filing this application and look forward to working with you on this and future opportunities to improve intercity passenger rail service.

Sincerely,

Michael W. Franke  
Assistant Vice President, Policy and Development (Central Region)

cc: The Honorable Joseph C. Szabo, Administrator  
Federal Railroad Administration
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: **IL- Metro St Louis Area Station PE-NEPA**

Document Title:
*Railroad and Project Sponsor Agreements*

Eight State MOU (upload #11)
MEMORANDUM OF UNDERSTANDING

Involving

State of Illinois,
State of Indiana,
State of Iowa,
State of Michigan,
State of Minnesota,
State of Missouri,
State of Ohio,
State of Wisconsin, and
City of Chicago

For

The Implementation of High-Speed Rail Passenger Service and Connections

Involving Corridors Linking Cities in their Respective States

This Memorandum of Understanding (MOU) is entered into this 27th day of July, 2009, by the Governors in eight Midwestern states, including Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio and Wisconsin, and the Mayor of the City of Chicago (MOU Participants) for the purpose of coordinating and documenting individual applications to the Federal Railroad Administration (FRA) for funding from the American Recovery and Reinvestment Act of 2009 (ARRA) to develop the Chicago Hub High-Speed Rail Corridor (Midwest corridor). The Midwest corridor will connect cities throughout the Midwest with frequent and reliable high-speed and conventional intercity rail service, and will provide service connections to adjoining regional corridors.
This MOU establishes MOU Participants' respective roles and responsibilities in implementing actions relating to the establishment of high-speed and conventional intercity rail passenger service. This rail service is to be operated along corridors established as part of the Midwest Regional Rail Initiative (MWRRI), a collaborative effort by managers and directors of Midwestern State transportation agencies, established in 1996, to plan the rail priorities of the region. This MOU also recognizes Chicago as the hub of Midwestern rail operations, which is consistent with plans outlined in the FRA's "Vision for High-Speed Rail in America" and the regional vision for a Midwest corridor. This MOU further recognizes the importance of adjoining and complementary corridors not specifically recognized in the MWRRI plan, for purposes of connecting and providing service to all parts of the nation.

WHEREAS, the Chicago Hub is the center of our country's rail transportation network and includes regional intercity/interstate passenger rail corridors serving the multistate Midwestern region with corridor connections to the East Coast, to the West Coast, to the Gulf Coast and to Canada.

WHEREAS, the Midwest Regional Rail Initiative (MWRRI) and the Ohio and Lake Erie Regional Rail (Ohio Corridor), are collaborative efforts established to plan the rail priorities of the multistate Midwest region.

WHEREAS, all MOU Participants agree upon, support and understand the national and Midwest regional priority and importance of a nationwide network including a Chicago Hub that could host trains traveling up to 110 miles per hour serving major cities and mid-sized cities across the region, along with connections to adjoining regional corridors, as envisioned and outlined by President Obama and U.S. Transportation Secretary LaHood.

WHEREAS, the Congress of the United States has made available to the various states a total of $8 billion in funds through ARRA for the purpose of funding the Passenger Rail Investment and Improvement Act of 2008 (PRIIA) to establish and improve high-speed passenger rail service throughout the nation.

WHEREAS, all participating states, in partnership with the FRA, agree to advocate for additional appropriations through Congress, in support of these collaborative efforts.

WHEREAS, all MOU Participants agree upon and support a regional and national vision for developing a high-speed and conventional rail network across the Midwest that will provide expanded and ongoing service opportunities throughout the region, with connections to corridors across the nation.
WHEREAS, all MOU Participants recognize a priority to establish high-speed rail service from the Chicago Hub to corridors consisting of Chicago-St. Louis, Chicago to Milwaukee-Madison, and Chicago to Detroit-Pontiac, that would form a high-speed hub in the heart of the nation with high-speed and conventional passenger train service connections radiating to seven other Midwestern states and beyond:

- Connecting to the East by way of Indiana with the Ohio network and service to Toledo and the 3C Corridor: Cleveland-Columbus-Dayton-Cincinnati;
- Connecting to the Southeast to Indianapolis, Indiana and Cincinnati, Ohio;
- Connecting to the Northeast to Grand Rapids/Holland and Port Huron, Michigan;
- Connecting to the North to Green Bay, Wisconsin;
- Connecting to the Northwest to the Twin Cities of Minnesota;
- Connecting to the Southwest and West through St. Louis to Kansas City, Missouri;
- Connecting to the South to Carbondale, Illinois;
- Connecting to the West to Quad Cities, Ill.-Iowa City, Iowa-Des Moines, Iowa-Omaha, Neb.; and to Quincy, Illinois.

NOW, THEREFORE, be it resolved that the Governors and the Mayor of Chicago agree they will:

- Establish a high-level, multi-state steering group with a representative from each signatory to this MOU. The purpose of the Midwest Rail Steering Group will be to coordinate the region’s applications and work associated with all ARRA application to provide guidance, leadership and a single advocacy voice in support of the region’s collective high-speed rail priorities. The Steering Group shall identify a point of contact between MOU Participants and the U.S. Department of Transportation.

- Coordinate and cooperate fully in support of each MOU Participant’s individual state applications for high-speed and intercity rail funding.

- Coordinate and negotiate with the major railroads to sign agreements for the development of high-speed rail corridors, and the identified individual projects by stated priority.

- Be free to pursue individual memoranda of agreement or understanding among MOU Participants, related to specific projects involved in support of the overall application and vision for the Midwest corridor.

- Be separately responsible for any and all work taking place within their respective state boundaries.

- Allow other Midwestern or contiguous states the opportunity to join in this MOU at any time if they are willing to support all aspects of the agreement in place.

BE IT FURTHER RESOLVED THAT the parties may mutually agree in writing to amend this MOU and to develop such additional provisions and procedures as they determine to be necessary in order to pursue the development of high-speed and conventional Intercity passenger rail service.

AND, FINALLY, BE IT RESOLVED THAT in signing this MOU, the undersigned understand and accept the roles and responsibilities assigned to each of the parties. Each of the parties agrees to cooperate to the maximum extent possible to ensure that the project is developed in full compliance with Federal and State requirements and to ensure that there is maximum communication and minimum duplication of effort.
State of Illinois

Pat Quinn, Governor

Date 7/27/09

State of Indiana

Mitch Daniels, Governor

Date 7/27/09

State of Iowa

Chet Culver, Governor

Date 7/27/09

State of Michigan

Jennifer Granholm, Governor

Date 7/27/09

State of Missouri

Jay Nixon, Governor

Date 7/27/09

State of Minnesota

Tim Pawlenty, Governor

Date 7/27/09
State of Ohio

Ted Strickland, Governor

Date 7/27/09

State of Wisconsin

Jim Doyle, Governor

Date 7/27/09

City of Chicago

Richard M. Daley, Mayor

Date 7/27/09
Applicant: State of Illinois - Illinois Department of Transportation
Application Number: HSR2011000427
Program: PFP – Passenger and Freight Railroad Programs
Announcement: High-Speed Intercity Passenger Rail (HSIPR) Program:
Project Title: IL- Metro St Louis Area Station PE-NEPA

Document Title:
Additional Supporting Documents
Maps (upload#12)