

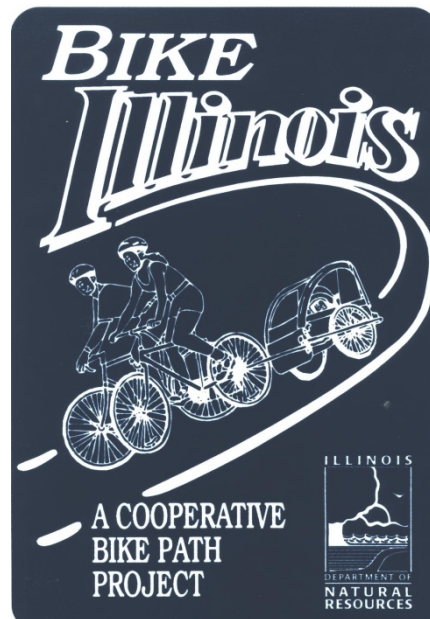


# Illinois Department of Natural Resources

## Illinois Bicycle Path Grant Program

### Development Projects

### Implementation & Billing Requirements



**IL Department of Natural Resources  
Office of Grant Management and Administration**

One Natural Resources Way  
Springfield, IL 62702  
Telephone: 217/782-7481  
Fax: 217-782-9599  
[DNR.Grants@illinois.gov](mailto:DNR.Grants@illinois.gov)

In this packet, you will find necessary information and instructions for implementing an approved development project involving IL Bike Path grant assistance through the Illinois Department of Natural Resources (DNR). **PLEASE READ THE FOLLOWING CAREFULLY!** Failure to comply with these instructions/guidelines could jeopardize grant reimbursement.

### **General:**

- 1) To maintain grant eligibility, the local project sponsor must satisfactorily complete ALL approved project elements as specified in the approved project application and signed Project Agreement. Any project scope changes (additions or deletions) must be approved by the DNR in order to maintain eligibility for grant reimbursement.
- 2) Project construction for which Bike Path funding assistance is requested may be accomplished by any of the following methods or combinations thereof: 1) competitively bid contract(s) per local/state procurement guidelines, 2) directly hired labor and material purchases IF qualifying as bid exempt and 3) using local agency Force Account labor (in-house staff).
- 3) For all Development projects, the local sponsor must comply with applicable state statutes and applicable local ordinances concerning bidding requirements for construction contracts and equipment/material purchases. DNR may request documentation from the local agency to verify compliance with applicable state statutes.
- 4) All facilities constructed with IL Bike Path assistance must be developed and designed to accommodate full accessibility standards as per the most current "Americans with Disabilities Act" (ADA) guidelines and "Illinois Accessibility Code". If you have any questions or doubts regarding the design standards being proposed for your project, it is strongly encouraged that "working drawings" be submitted to the DNR for review and approval prior to construction and/or bid solicitations.
- 5) Unless otherwise approved by the DNR, all bike paths must be constructed with a minimum finished tread surface width of eight feet (8'). It is recommended that construction be in compliance with the most recent edition of AASHTO's "Guide for the Development of Bicycle Facilities."
- 6) The approved IL Bike Path development project must be completed and ready for a final close-out/acceptance inspection by Illinois DNR staff AND all project costs for which reimbursement is expected **must be incurred no later than the expiration date specified on the signed Project Agreement, unless otherwise approved by Illinois DNR Grant staff.** Failure to have approved project components completed by the specified project expiration date could jeopardize approved grant reimbursement for the project.
- 7) The maximum allowable claim for "contracted" Architectural/Engineering (A/E) services used for the proper design and construction supervision/administration of an approved IL Bike Path development project shall not exceed the following percentages of actual grant-assisted, project construction costs:  
  
15.25% for Initial analysis, design & bid work and on-site construction supervision and final project acceptance/close-out work

**NOTE:** Project A/E services may be accomplished "in-house" (force account) IF qualified staff exists and approved by the Illinois DNR. (See page 5, item #6 under Force Account Labor Guidelines for funding limits.)

- 8) In connection with and **prior to construction**, and thereafter the subsequent operation and maintenance of the Bike Path grant assisted facilities, the Local Agency agrees that it shall be responsible for and obtain all necessary permits, licenses or forms of consent, as the case may be, from, but not limited to, the following agencies: **(Failure to do so can jeopardize grant reimbursement.)**
- a. U.S. Department of the Army, Corps of Engineers.
  - b. IL Dept. of Transportation (Div. of Highways).
  - c. IL Environmental Protection Agency.
  - d. IL Dept. of Natural Resources concerning "Interagency Wetlands Policy Act"(20 ILCS 830); "State Endangered Species Act" (520 ILCS 10/11); cultural resource impacts (20 ILCS 34/20, *coordinated with the IL Historic Preservation Agency*); and through the Office of Water Resources at IDNR, impacts to state waterways (615 ILCS 5/5).
  - e. IL Dept. of Public Health (Campground Licensing & Recreational Area Act, 210 ILCS 95/1).
  - f. Local building or zoning agencies or boards, where applicable.
- 9) Your agency may be subject to the audit requirements of the Grants Accountability and Transparency Act (GATA) which is governed by federal 2 CFR 200.500. Audit certification and submission is completed on the State of Illinois Grantee Portal- <https://grants.illinois.gov/portal/>
- 10) Status of project progress and spending must be reported to the DNR Grant Administrator assigned to the project **each January 1, April 1, July 1 and October 1** throughout the duration of project implementation (i.e., until the FINAL project billing is submitted to DNR). The enclosed "Periodic Performance Report" and "Periodic Financial Report" forms are required under the Grant Accountability and Transparency Act. **Failure to submit a required reports will result in no reimbursement (for projects over \$25,000.00) and may result in the local sponsor being placed on the statewide Stop Pay List (See 44 IL Admin Code 7000.80)**
- 11) Please contact DNR Grant staff for assistance at 217/782-7481 if you have any questions regarding program requirements as you proceed with project implementation.

### **Accessibility Specifications Guide:**

All facilities constructed with Illinois Bicycle Path grant assistance must be designed in accordance with standards of the most recent version of the Illinois Accessibility Code and most recent "Americans with Disabilities Act", whichever is more stringent.

A copy of the Illinois Accessibility Code may be obtained by calling 217/782-2864 (Springfield) or 312/814-6000 (Chicago) or by visiting the Illinois Capital Development Board Website:

<https://www2.illinois.gov/cdb/business/codes/IllinoisAccessibilityCode/Pages/default.aspx>

To supplement this information, the U.S. Architectural and Transportation Barriers Compliance Board pursuant to ADA has developed final guidelines for recreation facilities and outdoor developed areas. A copy of the guidelines can be obtained by writing to: *Access Board, Recreation Report, 1331 "F" Street, N.W., Suite 1000, Washington, D.C. 20004-1111. Telephone: 202/272-5434, or 800/514-0301, or contact their web site at [www.access-board.gov](http://www.access-board.gov).*

## **Open Competitive Bidding:**

- 1) EXCEPT as noted below in items #2 - #5, all open competitive bidding shall be done in conformance with the local sponsor's statutory requirements governing public procurements.
- 2) **Language comparable to the following shall appear in all "bid advertisements" relative to the approved grant project:**  
  
*"This project is being funded, in part, with State of Illinois Bike Path Grant Program funding assistance made available through the Illinois Department of Natural Resources."*
- 3) **The local sponsor shall encourage 1) "minority" business firms to submit bids on the approved project and 2) successful contract bidders to utilize minority businesses as sub-contractors for supplies, equipment, services and construction. *This stipulation should be noted in all bid solicitation notices.***
- 4) Contract award(s) shall be made to the lowest responsible bidder whose bid properly addresses and complies with the invitation, and is most advantageous to the local sponsor; price and other factors considered. (Factors such as discounts, transportation costs, and taxes may be considered in determining the lowest bid.) For contracts requiring "open competitive bidding", justification for acceptance of a no-bid contract or awarding of contracts to other than the lowest bidder **shall be subject to approval from the DNR.**
- 5) The bid proposal forms should be structured for flexibility. This can usually be done most effectively with add/deduct alternates and bidding the work by specific/distinct work elements.

The instructions to bidders in the bid specifications should clearly indicate what constitutes a valid bid and how the contract/bid will be awarded (lowest responsible/qualified bidder for all work items versus individual work items; base bid and selected bid alternates versus base bid separate from bid alternates, etc.). It should also specify whether substitutes will be accepted and whether scope of individual work elements can be modified.

In general, the Instructions and General Conditions section of the bid specifications should, at a minimum, address the following items:

- . Bid Opening Date
- . Number of days Bid must be held
- . Bid, Performance and Payment Bond/Security Requirements\*  
*(In accordance with the "Public Construction Bond Act", 30 ILCS 550/1 et.seq.)*
- . Contractor Insurance Requirements
- . Completion date and if liquidated damages occur for late completion
- . Terms of Payment to Contractor
- . Schedule of quantities/material list and Unit Costs
- . If Bid is for material or product supply, do not specify specific name brand without also accepting "or approved equal". Also, specifications for a particular product or material cannot be written in such detail to prevent a competitive bidding situation.

- (\*) Bonding requirements for all public works projects in Illinois are stipulated in the "Public Construction Bond Act" (30 ILCS 550/1 et.seq.) which states that every contractor on a public

works project must provide to the satisfaction of the public agency *good and sufficient bond with adequate sureties to guarantee construction performance and payment of materials and labor used in such work.*

**REMEMBER**, the approved Bike Path project should be completed by the date specified in the Project Agreement. The local sponsor should ensure that all bidders are aware of the expected completion date by specifying the expected start date and completion date for project construction in the bid specifications package.

- 6) In certain instances, conditions may arise after work has begun that are beyond the control of the local sponsor and contractor which necessitates a change in specification and/or price. To maintain grant eligibility, these changes must be done by formal change orders. **If the change order involves 1) the total deletion of an identified project component, 2) the addition of a new component for which reimbursement will be sought or 3) exceeds \$10,000 in value, the local sponsor must receive Illinois DNR approval in order to ensure grant eligibility is maintained.** *For change orders in excess of \$10,000 (pursuant to Section 33E-9 of the Criminal Code of 1961, as amended) written assurance MUST BE provided to the Illinois DNR by the local sponsor that such a change was not reasonably foreseen at the time of initial construction contract execution.*
- 7) In addition, 50% of the labor hours on the project must be performed by actual residents of the State of Illinois. Article 80 of the FY 10 Budget Implementation (Capital) Act, P.A. 96-37 (HB 2424.)

### **No-Bid Procurements & Force Account (FA) Labor Guidelines:**

- 1) Project construction can be completed by various means of procurement of material and equipment. For all development projects, the local sponsor must comply with applicable state statutes and applicable local ordinances concerning bidding requirements for construction contracts and equipment/material purchases. In addition, grant reimbursement can be provided for project construction completed using local agency in-house staff ("Force Account" labor).
- 2) Equipment rental necessary to complete "force account" labor construction is eligible for grant reimbursement. **HOWEVER**, the value of donated material, labor and equipment to a project IS NOT grant eligible nor is the purchase of non-consumable items (tools, etc.) necessary to complete project work.
- 3) For "Force Account labor", the local sponsor shall maintain accurate time records and complete the appropriate time sheet summary form (attached) for reporting "in-house" force account labor necessary and reasonable for completion of the approved project components. This includes only those employees directly involved in project construction and any associated design work, construction supervision, and overall project record keeping and administration. The value of such labor shall reflect actual wages paid to each employee, and may include fringe benefits. (Wages paid shall not be higher than those for persons on similar jobs within the local agency.) *Claims for clerical and administrative Force Account labor necessary for overall project record keeping and administration shall not exceed 2.5% of the total "direct" costs claimed for approved Force Account construction labor and "non-bid" material purchases (see item #6 below).*
- 4) For all small procurement (not required to be bid by state statute or local ordinance) material purchases, appropriate purchase orders and/or invoices and corresponding canceled checks must be recorded on the "Materials Itemization Sheet" (attached) according to each major project construction component for

which the materials were purchased. (Warning! Keep in mind that the local sponsor must comply with applicable state statutes and applicable local ordinances concerning bidding requirements for equipment/material purchases.)

**Please contact the DNR grant administrator assigned to your project if there are any questions regarding the completion of the forms mentioned in items #3 - #4 above.**

- 5) Overall guidelines for billing claims involving Force Account (FA) labor for project architectural/engineering (A/E) and administrative services are as follows:
- At least 90% of project costs must be for "direct" construction costs.
  - Design and Construction Supervision Costs -  $\leq 7.5\%$  of associated "direct" construction costs.
  - Administrative/Clerical Support Costs -  $\leq 2.5\%$  of "direct" FA & small procurement material costs.

### **Billing Requirements:**

- 1) Billing requests for grant reimbursement are processed after 100% project completion, unless otherwise approved by the DNR. Only costs incurred during the specified "project period" indicated on the Project Agreement and necessary to complete approved project components are eligible for grant reimbursement. **Billing documentation must be submitted as soon as possible after project completion.**
- 2) The following documentation is required for the final project billing:
  - A) One copy of record (as-built) drawings (**drawings must be no larger than 11 X 17**).
  - B) Copy of the environmental (CERP) sign-off letters/forms from the Illinois DNR (see page 2, item #8 of General information section.)
  - C) Completed "Development Project Billing Form" (containing original signatures) and "Final Project Performance Report". (forms enclosed)
  - D) Agreed Upon Procedures Report from CPA firm. Costs claimed on the "Development Project Billing Form" must be reviewed and attested to by an independent CPA<sup>(1)</sup> in accordance with the *Statement on Standards for Attestation Engagements* as established by the American Institute of Certified Public Accountants. The independent Attestation will be based on the "Agreed Upon Procedures" developed by DNR and identified on Attachment A.

**NOTE:** The cost of having the independent attestation of the Project Billing conducted is considered an eligible project cost and may be claimed for 50% grant reimbursement. Submit invoice from accounting firm and proof of payment.

- E) One photo of the sign acknowledging BIKE PATH grant assistance posted at the project site.

<sup>(1)</sup> It is recommended that the CPA firm that conducts the Grantee's regular agency-wide audit be used for this purpose.

**Information the Project Sponsor (grantee) will need to provide the CPA (auditor) in order to have the independent Billing attestation efficiently completed according to the established "Agreed Upon Procedures".**



Copy of the signed Project Agreement and any amendments executed thereto;

A “spread sheet or schedule” of all professional services (A/E) contracts and **publicly bid** construction and material/equipment purchase contracts and associated contract change orders (if applicable) issued pursuant to the approved Bike Path project for which grant reimbursement is claimed;

The schedule should list the following: contractor or A/E firm name, project element completed by contract, contract amount and, if applicable, itemized listings of any contract change orders. **(See Attachment B for example)**

Proof of bid advertisement for all publicly bid construction and material/equipment purchase contracts.

Copy of “Bid Tabulation” for each publicly bid construction and material/equipment purchase contract.

(If applicable) Justification for and proof of Board action, approving the awarding of any project construction and material/purchase contract to someone other than a low bidder.

A “Schedule of Professional Services (A/E) and Publicly Bid Project Contracts” and “Schedule of Project Expenditures” incurred pursuant to the approved Bike Path grant project for which grant reimbursement is claimed. **The schedule shall list, at a minimum, information shown in the example on Attachment B on page 8.** *The “schedule/spread sheet” must contain a “certification statement” signed by the Grantee’s chief fiscal officer and chief administrator / elected officer attesting to the accuracy of the information and must be included in the submitted project billing to IDNR.*

Copy of applicable state statutes and applicable local ordinances concerning bidding requirements for construction contracts and equipment/material purchases.

## **"Agreed Upon Procedures" for Bike Path Project Billing Attestation**

Costs claimed for Bike Path grant reimbursement on the Development Cost Summary Statement (Development Project Billing Form) must be attested to by an independent CPA licensed in the State of Illinois. The attestation shall be completed in general accordance with the Statement on Standards for Attestation Engagements as established by the American Institute of Certified Public Accountants and based on the following "agreed upon procedures" developed by the Illinois Department of Natural Resources.

Recommended "agreed upon procedures" for attesting to the eligibility of the costs claimed on the *Development Project Billing Form* signed and attested to by the local project sponsor (grantee):

Based on both 1) the "Schedule of Professional Services (A/E) and publicly bid Project Contracts" and 2) the "Schedule of Project Expenditures" provided by the local project sponsor (grantee) as supporting documentation for the *Development Project Billing Form*, perform the following procedures and provide a report detailing the results. The report should include copies of the aforementioned schedules and the signed *Development Project Billing Form* provided by the local project sponsor (grantee).

- A. Verify that all contracts listed on the schedule were for work germane to the scope of the approved Bike Path project as described on the signed Project Agreement and any amendments thereto, and, with the exception of project professional services (A/E) contracts, were executed after the project start date indicated on the signed Project Agreement. Identify and report any exceptions.
- B. With the exception of Professional Services (A/E) contracts, verify that the local project sponsor (grantee) has complied with applicable state statutes and applicable local ordinances concerning bidding requirements for construction contracts, and equipment/material purchases. Identify and report any exceptions.
- C. Verify that all publicly bid construction and material/equipment purchase contracts executed for the project were awarded to the low bidder. Identify and report any exceptions and attach written justification from local project sponsor (grantee) for their awarding any contract to someone other than the low bidder.
- D. Verify that all change orders to the construction and material/equipment purchase contracts are germane to the approved Bike Path project scope and that any change orders of \$10,000 or more were approved by DNR. Identify and report any noted exceptions and attach a copy of any change order noted as an exception.
- E. Sample a minimum of 25% of the project expenditures listed on the "Schedule of Expenditures" (sample shall represent at least 50% of total project expenditure value) and trace to the local project sponsor's accounting record system and verify the costs are germane to the project scope and, with the exception of project professional services (A/E fees), were incurred during the project period specified on the signed Project Agreement. Identify and report any noted exceptions.
- F. If Force Account labor (use of project sponsor's own staff to complete project construction) is listed/claimed on the "Schedule of Expenditures", sample a minimum of 20% of the listed Force Account labor charges (minimum 35% of FA labor value) to determine if the charges are allowable and germane to the project scope AND can be traced to supporting Project Sponsor time keeping records. Identify and report any unsupported charges.

Revised: 09/06



# ATTACHMENT B

## Schedule of Professional Services (A/E) and Publicly Bid Project Contracts

[EXAMPLE FORMAT]

Grant Project #: BP 04 - XXX

Firm Name	Project Element	Base Contract Amt	C. O. # and Amt	Total
John Doe & Associates	A/E services	\$10,500.00		\$10,500.00
Gonzo Construction Co.	Site Clearing/Grubbing	\$13,500.00	#1 - \$ 800.00	
			#2 - \$500.00	\$14,800.00
SG Contractors	Grading and Filling	\$35,900.00	#1 - \$2,500.00	
			#2 - \$1,520.00	\$ 39,920.00
Acme Paving Co.	Bike Path/Parking lot	\$108,000.00	#1 - \$3,000.00	
			#2 - \$1,000.00	\$112,000.00
Springdale Landscaping	Seeding	\$10,500.00	#1 - \$1,200.00	\$ 11,700.00
<b>TOTAL</b>				\$188,920.00

## Schedule of Project Expenditures

[EXAMPLE FORMAT]

Grant Project #: BP 04-XXXX

Vendor/Contractor Name	Project Element	Invoice Date and Number	Invoice Amount	Payment Check #	Amount	Amount Claimed for Grant Reimbursement
Gonzo Construction Co.	Clearing	12/15/03	52365	2535	\$14,800.00	\$14,800.00
SG Contractors	Grading	12/01/03	1539	2536	\$38,400.00	\$38,400.00
J. Doe & Associates	Plans	11/23/03	00256	2530	\$8,250.00	\$ 7,250.00
(Force Account Labor) Employee Name & S.S. #	Job Description	Hours Claimed (1)	Hourly Wage (Attach FA:DOC-1)			Amount Claimed for Grant Reimbursement

(1) Taken from Project Sponsor's time allocation records (time sheets)

### CERTIFICATION STATEMENT:

I hereby certify that the costs shown on this "Schedule of Project Expenditures" are true and correct and based on actual expenditures by the Project Sponsor for the referenced Bike Path project; that grant reimbursement/payment from the State of Illinois has not been received for these costs; and that the costs are in accordance with provisions of the Illinois Bike Path grant program (17 IL Adm Code 3040).

Signature: \_\_\_\_\_

Name & Title \_\_\_\_\_

ATTESTED BY: \_\_\_\_\_  
(Signature of local agency's chief fiscal officer)

Date: \_\_\_\_\_

## **Optional Bike Path Billing Documentation Procedure**

An optional project billing documentation procedure may be authorized by DNR, on a case-by-case basis, for some rural communities and small scale projects. **However, this alternate method of documenting a project billing may result in a delay in grant payment.** If the optional billing documentation procedure is approved by DNR for a project, the following project cost support documents must be submitted, as applicable, in addition to items 2 A) B) C) & E) listed under the Billings Requirements on page 5.

### 1) (Billing Claim for BID and NON-BID construction contracts)

Proof of bid advertisement from local newspapers (Bid contracts only); and  
Bid Tabulation for each project bid request.

Signed contract(\*) and change orders, if any, for each contractor;

Copies of each contractor pay requests along with canceled check(s) or final lien waivers verifying proof of payment;

(\*) only require cover page, signature page(s), contract amount/description page(s).

### 2) (Billing Claim for small procurement material costs and “force account” labor)

- Form FA/DOC-1 (Force Account Material Cost Summary). **[Form attached]**

Itemize all material purchases/costs by major project components, such as tennis court(s), picnic shelter(s), playground, ballfields, restroom buildings, parking, etc. For **each** major component list:

- a) the company/business for **each** material purchase;
- b) description of materials purchased, quantity, & the purchase order number; and
- c) payment check number and check amount. (Do not submit canceled checks, purchase orders, etc. to IDNR. These items should be kept with the grantees project file.)

- Form FA/DOC-2 (Force Account Labor Summary). **[Form attached]**

For "in-house" labor claims, the sponsor must determine by corresponding time sheet records the amount of local agency labor attributed to each project component and tabulate on this form.

### 3) Contracted Project Design Work (architectural/engineering services)

- Copy of signed contract/agreement
- Copy of each pay request and canceled check verifying proof of payment

## **Audit Requirements**

### **A. Record Retention**

As stipulated in the General Provisions of the grant Project Agreement, the local project sponsor (grantee) must maintain, for a minimum **three (3) year** period following project completion, satisfactory financial accounts, documents, and records associated with the project and the disbursement of grant funds pursuant to this Agreement, and shall make them available to the Illinois DNR and/or the State of Illinois, Auditor General, and the Attorney General for auditing at reasonable times. Failure by the grantee to maintain such accounts, documents, and records as required herein shall establish a presumption in favor of the State of Illinois for recovery of any funds paid by the State per this Agreement for which adequate records are not available to support their purported disbursement.

### **B. Audit Requirements**

Local agencies receiving a cumulative total of \$500,000 or more in state Bike Path assistance in a given year are required to have an agency-wide annual financial and compliance audit conducted as is generally required by 1) state law (65 ILCS 5/8-8-1 et seq. Or 55 ILCS 5/6-31001 et seq.) 2) by the grantee's own governing body, as applicable. A copy of the audit must be provided to DNR, upon request, OR if any findings (irregularities) involving the Bike Path grant are reported in the audit.

The audit must be conducted by an independent public accountant, certified and licensed by authority of the State of Illinois and conducted in accordance with generally accepted auditing standards adopted by the American Institute of Certified Public Accountants (AICPA, 1985) Procurement of the necessary audit(s) is the responsibility of the local agency and can follow established local procurement procedures, provided those procedure promotes an open and competitive environment.

### **C. Audit Resolution**

The grantee shall be responsible for timely action in resolving any audit findings or questioned project costs. In the event that questioned costs are ultimately deemed disallowed as determined by the Illinois DNR or its representative, the grantee shall be responsible for repayment of such costs.

STATE OF ILLINOIS  
DEPARTMENT OF NATURAL RESOURCES

**DEVELOPMENT PROJECT BILLING STATEMENT**  
(ILLINOIS BICYCLE PATH GRANT PROGRAM)

Project #: \_\_\_\_\_

Project Sponsor: \_\_\_\_\_

Project Title: \_\_\_\_\_

Project Billing #: \_\_\_\_\_

**DEVELOPMENT COSTS SUMMARY STATEMENT**

Cost Category		Expenditure
Construction Costs (Contracted)	bid contracts	
	Non-bid contracts	
Construction Costs (Force Account)	In-House labor	
	Material Supplies	
Architectural/Engineering Fees		
Other (specify)		
CPA Attestation Fee, if applicable (attach copy of invoice & proof of payment)		
<b>TOTAL</b>		
Less Local Agency Share		
<b>Amount of Grant Reimbursement Claimed</b>		

**CERTIFICATION STATEMENT:**

I do hereby certify that this Billing is correct and just and based on actual payment(s) of record by the Project Sponsor; that payment from the State of Illinois has not been received for these costs; and that the completed work and services or purchases are in accordance with provisions of the Illinois Bicycle Path grant program (17 IL adm Code 3040) and the signed Project Agreement, including amendments thereto, with the Illinois Department of Natural Resources.

BY: \_\_\_\_\_

NAME: \_\_\_\_\_  
(Signature)

TITLE: \_\_\_\_\_

AGENCY: \_\_\_\_\_

DATE: \_\_\_\_\_

(Document must be attested to by local agency fiscal officer)

ATTESTED BY: \_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title)

# FINAL PROJECT PERFORMANCE REPORT

## ILLINOIS BICYCLE PATH GRANT

Project #: \_\_\_\_\_

Project Sponsor: \_\_\_\_\_

Project Title: \_\_\_\_\_ Date: \_\_\_\_\_

(CONCISE / QUANTIFIED DESCRIPTION OF COMPLETED PROJECT):

--	--

(GENERAL COST BREAKDOWN OF COMPLETED MAJOR PROJECT COMPONENTS):

<u>Approved Project Component</u>	<u>Quantity</u>	<u>Actual Costs</u>	<u>Budgeted Cost</u>
TOTAL:			

Prepared by: \_\_\_\_\_

Title: \_\_\_\_\_

(Itemized by major project components)  
(MATERIALS ITEMIZATION SHEET)

PROJECT TITLE: \_\_\_\_\_

**I hereby certify that the above is true and correct and all materials were used exclusively on the referenced project.**

Date: \_\_\_\_\_



**PROJECT SPONSOR:** \_\_\_\_\_ **PROJECT #:** \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

Pay Periods from \_\_\_\_\_ to \_\_\_\_\_

EMPLOYEE'S NAME	JOB DESCRIPTION	HOURS WORKED ON PROJECT (*)	WAGES (HOURLY)	TOTAL WAGES
			TOTAL	

**I hereby certify that the above is true and correct and all materials were used exclusively on the referenced project.**

**Signature:** \_\_\_\_\_

**Name & Title:**

Date: \_\_\_\_\_



# STATE OF ILLINOIS PERIODIC PERFORMANCE REPORT

## Periodic Performance Report (PPR) Instructions

The Periodic Performance Report (PPR) is a standard, uniform statewide performance progress reporting format used by all state agencies to collect performance information from recipients of state grant awards. Unless statutorily exempt as documented in the Catalog of State Financial Assistance and the Grant Agreement (UGA), all grant awards are subject to periodic performance reporting.

General instructions for completing the PPR are contained below. **PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THE PPR.** Please contact the state agency's points of contact specified in the "State Agency Contacts" section of your UGA if additional support is needed completing the PPR.

If the UGA specifies an alternative file or external database for grant performance reporting, the grantee should mark the shaded box in the PPR accordingly. In the *File Name or Database Source* field, enter the name of the alternative file or database utilized. The grantee is not required to complete Sections 14 - 22 if the information is provided in an alternative format specified in the UGA.

### Report Submission

1. The grantee must submit the PPR cover page and any forms required by the awarding state agency as specified in the UGA.
2. The PPR must be submitted to the attention of the state agency's points of contact specified in the "State Agency Contacts" section of your UGA in accordance with the requirements established in the award document.
3. If additional space is needed to support the PPR, supplemental pages should be attached. As indicated on the PPR, responses to Sections 14 - 22 may be provided in a separate format. If additional pages are provided, the pages should be numbered and must reference:
  - a. Grant number
  - b. Grantee organization
  - c. DUNS number
  - d. FEIN
  - e. Period covered by the PPR

### Reporting Requirements

1. Unless statutorily exempt as documented in the Catalog of State Financial Assistance and the UGA, all grant awards are required to submit a PPR in accordance with the terms established in the UGA.
2. The frequency of the PPR is specified in the Notice of Funding Opportunity (NOFO) and the UGA. The PPR must be submitted within the specified time frames. A submittal will be considered "late" if it is more than 15 calendar days past the due date or the date specified by the State agency's JCAR Rules (including approved extensions.)
3. Under the terms of the Grant Funds Recovery Act (30 ILCS 705/4.1), "Grantor agencies may withhold or suspend the distribution of grant funds for failure to file requirement reports." If the report of more than 30 calendar days delinquent, without any approved written explanation by the grantee, the entity will be placed on the Illinois Stop Payment List. (Refer to the Grantee Compliance Enforcement System for detail about the Illinois Stop Payment List: <https://www.illinois.gov/sites/GATA/Pages/ResourceLibrary.aspx>.)
4. A final PPR shall be required at the completion of the grant award. For final PPRs, the reporting period end date shall be the end date of the project / grant period.



# STATE OF ILLINOIS PERIODIC PERFORMANCE REPORT

Section	Data Element	Section Instruction for PPR
1	Grantee Name (per UGA)	Enter the name of the grantee exactly as stated in the UGA.
2	Grant Number	Enter the number assigned by the awarding state agency; Grant Number specified in the UGA.
3	Grantee DUNS	Enter the grantee's Dun and Bradstreet number.
4	CSFA Number	Enter the number assigned to the program through the Catalog of State Financial Assistance.
5	Grantee FEIN	Enter the grantee's Federal Employer Identification Number provided by the Internal Revenue Service.
6	Program Name (per UGA)	Enter the program name exactly as stated in the UGA.
7	CFDA Number(s)	Enter the Catalog of Federal Domestic Assistance (CFDA) number(s) as stated in the UGA. If the program is funded by more than one CFDA, list each CFDA number.
8	State Agency (Grantor)	Enter the name of the state agency awarding the grant as identified in the UGA.
9	Agreement Period	Enter the agreement period established in the Grant Agreement. This may span multiple years, based on the terms of the UGA.
10	Report Period End Date	Enter the ending date of the reporting period. The reporting periods are specified in the UGA.
11	Final Report?	Mark appropriate box. Check "yes" only if this is the final or last PPR for the Agreement Period specified in Section 9.
12	Report Frequency	Select the appropriate term corresponding to the requirements specified in the UGA. "Other" may be used when a different reporting schedule is required due to Specific Conditions. State the frequency as state in the UGA Specific Conditions.
13	Prepared Date:	Enter date the PPR was prepared by the grantee.
Responses to Sections 14 - 22 may be provided in a separate format. All grantees must complete Section 23.		
14	Deliverable (if applicable)	<p>List all high-level deliverables required under the current, approved UGA. Enter one Deliverable per row.</p> <p>- Examples of Deliverables could include:</p> <ul style="list-style-type: none"> <li>o Provide IT training</li> <li>o Purchase equipment</li> <li>o Hire contractors</li> <li>o Conduct workshop</li> <li>o Submit document</li> </ul> <p>As delineated in the UGA, "Deliverables" are not "Performance Measures." Performance Measures are addressed in Section 18 - 22.</p> <p>Grantees are not required to report on deliverables that were due and completed in prior reporting periods.</p>
15	Due Date	Per the current, approved UGA, enter the Due Date for the corresponding Deliverable. This date may fall outside the time frame of the current PPR.
16	Date Completed	Enter the date the Deliverable task was completed. If the task has not yet been completed, leave this cell blank.



# STATE OF ILLINOIS PERIODIC PERFORMANCE REPORT

Section	Data Element	Section Instruction for PPR
17	<i>Deliverable Explanation</i>	<p>Briefly explain progress towards meeting the Deliverable to inform the awarding agency of challenges and successes. If additional space is needed, attach a supporting narrative.</p> <p>A description of the challenges and plans for overcome <b>must</b> be provided if:</p> <ul style="list-style-type: none"> <li>- Deliverable was completed after the Due Date,</li> <li>- Deliverable is not completed and the Due Date has passed, or</li> <li>- Grantee anticipates the Deliverable will not be completed by a future Due Date.</li> </ul> <p>If the grantee is on pace to complete a Deliverable that comes due after the reporting period, the grantee should, at a minimum, enter "On schedule" in Section 17.</p>
18	<i>Performance Measures</i>	Enter all Performance Measures required in Exhibit E of under the <u>current, approved</u> UGA. Enter one Performance Measure per row.
19	<i>Performance Standard/Frequency</i>	<p>Based on the <u>current, approved</u> UGA, enter the Performance Standard (or target) for the corresponding Performance Measure and the reporting frequency (annual/quarterly/monthly/etc.) based on Exhibit F of the Grant Agreement.</p> <ul style="list-style-type: none"> <li>- Examples of Performance Standards/Frequency could include: <ul style="list-style-type: none"> <li>o 1,000 Persons Trained/quarter</li> <li>o \$250,000 capital leveraged/year</li> <li>o 500 Patients Rehabilitated/month</li> </ul> </li> </ul> <p>If the Performance Standard fluctuates over time per the UGA, the Standard listed should apply to the specific report period.</p>
20	<i>Results/Accomplishments in Reporting Period</i>	Based on the <u>current, approved</u> UGA, enter the actual results for the corresponding Performance Measure for the specific report period.
21	<i>Required (R) or Inform Only (IO)</i>	<p>Based on the <u>current, approved</u> UGA, indicate whether the performance standard in Section 19 is a grant "requirement."</p> <ul style="list-style-type: none"> <li>- Enter "R" if meeting or exceeding the Performance Standard is necessary to satisfy grant terms. Failure to meet the Standard may indicate that the grantee in not in compliance.</li> <li>- Enter "IO" if the data is collected for programmatic or assessment purposes. Failure to meet an "IO" Performance Standard may not imply that the grantee is out of compliance.</li> </ul>
22	<i>Performance Explanation - Award to Date</i>	<p>Mark the appropriate check box based on whether or not <b>ALL</b> performance accomplishments are on schedule with performance standards.</p> <p>Section 22 is not limited to the reporting period. Responses are <u>award to date</u>.</p> <p>If any performance measure results / accomplishments (Section 20) are below the required standards (Section 19), an explanation <b>must</b> be provided to inform the awarding agency about the deviation. Consider internal and external factors that impact performance. Attach a supporting narrative if additional space is needed.</p> <p>Grantees are <i>encouraged</i> to highlight factors that enable grant performance to exceed performance standards.</p>



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Section	Data Element	Section Instructions for PPR
<b>All grantees must complete Section 23.</b>		
23	<i>Performance Accomplishment Correlated to Reported Expenses</i>	<p>Federal Uniform Guidance requires periodic reporting to correlate performance and expenses within a report period. Correlation reporting focuses on the degree to which expended resources are effectively achieving anticipated outcomes.</p> <p>Determine if grant performance (service / outcomes) is on schedule with the anticipated timing of incurred grant expenditures / earnings per the terms of the UGA. Mark the appropriate box. Per the UGA, the award may have services / outcomes that occur at a different time than the expense. The award may be on schedule because it is expected that expenses and services / outcomes occur at different intervals.</p> <p>Grantees <b>must</b> provide an explanation if grant performance to-date does not correlate to the timing of incurred expenses / earnings per UGA terms. Attach a supporting narrative if additional space is needed.</p> <p>Grantees are <i>encouraged</i> to inform the awarding agency if internal or external factors are causing a better than anticipated correlation.</p>
<b>Grantee Certification / State Agency Acceptance</b>		
<i>Grantee Certification</i>		
Federal Uniform Guidance (2 CFR 200.415) requires an authorized grantee representative certify the accuracy of the information provided in the PPR.		
24	<i>Name and Title of Authorized Individual from Grantee Organization</i>	Enter the name and title of the grantee representative certifying the PPR. This individual must be authorized to represent the grantee in this capacity.
25	<i>Phone Number</i>	Enter the phone number of the grantee representative certifying the PPR.
26	<i>Email Address</i>	Enter the email address of the grantee representative certifying the PPR.
27	<i>Name and Title of State Agency PPR Approver</i>	Enter the name and title of the state agency representative authorized to approve the PPR.
28	<i>Date Received</i>	Enter the date the state agency representative received the PPR.
29	<i>Date Approved</i>	Enter the date the state agency representative approves the PPR.



STATE OF ILLINOIS  
**PERIODIC PERFORMANCE REPORT**

**Report Transmittal**

1 Grantee Name (per UGA):		2 Grant Number:		3 Grantee DUNS:	
		4. CSFA Number: 422-11-1077		5 Grantee FEIN:	
6 Program Name (per UGA):				7 CFDA Number(s):	
8 State Agency (Grantor):					
9. Agreement Period:			10. Report Period End Date:		
Start Date (Month/Day/Year):		End Date (Month/Day/Year):		(Month/Day/Year):	
11. Final Report?		12. Report Frequency:			13 Prepared Date:
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-annually <input type="checkbox"/> Other (specify):			
<p>Responses to Sections 14 - 22 may be provided in a separate format. All grantees must complete Section 23.</p> <p><input type="checkbox"/> <b>Alternative file or database used.</b></p>					
File Name or Database Source:					
14. Deliverable (if applicable): (Separate line for each based on UGA)		15. Due Date (based on UGA)	16. Date Completed	17. Deliverable Explanation:	Add - Delete
Archaeological survey submitted (Include only if required by CERP form. If not required, enter N/A in 17 Deliverable Explanation)					ADD DEL
Wetland development plans submitted (Include only if required by CERP form)					ADD DEL
Anticipated Bid Advertisement Date set (Include date in 17. Deliverable Explanation)					ADD DEL





# STATE OF ILLINOIS PERIODIC PERFORMANCE REPORT

14. Deliverable (if applicable): (Separate line for each based on UGA)	15. Due Date (based on UGA)	16. Date Completed	17. Deliverable Explanation:	Add - Delete	
Construction permitting in progress (Describe what permits are still needed and their status in 17. Deliverable Explanation)					
All necessary construction permits secured					
Form FA DOC-1 submitted to DNR (Required if Force Account Labor is being used)					
Draft Bid Documents completed and include compliance requirement that contractors pay State Prevailing Wage (Prevailing Wage Act 820 ILCS 130/0 01-12)					
Project put out to bid					
Project bids received, contractor selection in progress (Include anticipated construction start and end dates in 17. Deliverable Explanation)					
Project under construction (Include percent complete in 17. Deliverable Explanation)					
Project construction complete (Include anticipated final billing submittal date in 17. Deliverable Explanation)			Final Billing Submittal Date:		
18. Performance Measures: (Separate line for each based on UGA Exhibit E)	19. Performance Standard- Frequency (Based on UGA Exhibit F)	20. Results - Accomplishments in Reporting Period		21. Required (R) or Inform Only (IO)	Add - Delete
Miles of trail completed	Final Report only			IO	ADD DEL
Estimated number of trail users impacted by project annually	Final Report only			IO	ADD DEL



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<b>22. Performance Explanation - Award to Date:</b>		<b>Add - Delete</b>
<input type="checkbox"/> All performance accomplishments are on schedule with performance standards.		
<input type="checkbox"/> Not all performance accomplishments are on schedule with performance standards Explanation(s) required below: (Separate lines as appropriate )		
<b>23. Performance Accomplishments Correlated to Reported Expenses:</b>		<b>Add - Delete</b>
<input type="checkbox"/> Performance is consistent with grant-to-date expected services and expenditures/earnings.		
<input type="checkbox"/> Performance is not consistent with grant-to-date expected services and expenditures/earnings Explanation(s) required below: (Separate lines as appropriate )		

**GRANTEE CERTIFICATION (2 CFR 200.415)**

By signing [authorizing] this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the [related] expenditures, disbursements, cash receipts and reported performance are for the purposes and objectives set forth in the terms and conditions of the award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

24 Name and Title of Authorized Individual from <u>Grantee Organization</u> :	25. Phone Number
	26 Email Address:

**STATE AGENCY USE ONLY**

27 Name and Title of <u>State Agency</u> PPR Approver:	28 Date Received:	28. Date Approved:
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