Illinois Department of Natural Resources

# Public Museum Grants
# Capital Grants Program Manual

## For State Fiscal Year

# 2020

## Program Information and Application Attachments for Grant Applicants

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# Grant Basics

The Public Museum Capital Grants Program enables public museums in Illinois to meet their mission through expansion and upgrades to facilities and by creation of new exhibits and other physical facilities. Funding is provided through State of Illinois bond funds; therefore, all project costs must be bondable capital expenditures.

The Public Museum Capital Grants Program (Museum Capital) is offered through the Illinois Department of Natural Resources (IDNR) (23 ILCS 3200 et. seq). The grant program provides up to 100% funding assistance to eligible museums depending on their annual attendance records. This manual is designed to provide information on the Museum Capital program and application instructions. Read the manual carefully before applying and follow the application checklist and instructions closely. The Museum Capital program is a reimbursement program; applicants must possess the ability to finance the full costs of an approved project prior to receipt of any grant reimbursement funds.

**PLEASE NOTE:** Actual funding assistance for approved projects is provided on a reimbursement basis after satisfactory completing the project at the 50% & 100% project completion levels as described in the construction schedule. This means the public museum must possess the ability to initially finance the cost of an approved project prior to receipt of grant reimbursement. Approved projects must be completed by the grant agreement expiration date. Upon satisfactory project completion, the public museum must submit a final project billing request to the IDNR showing proof of project completion and project cost/payment. (Detailed instructions for project billings are Exhibit B1 of all grant agreements and will be sent separately to the public museum at the time of project grant approval).

**Project applications must be received by the IDNR no sooner than March 2, 2020 and no later than 5:00 pm April 30, 2020 as specified by the Notice of Funding Opportunity (NOFO).** Applications received after 5:00 pm on April 30th will be rejected as ineligible.

**Applications must include all required documentation with original signatures to be considered eligible.** Inquiries regarding the Museum Capital grant program should be directed to:

IDNR, Office of Grant Management and Assistance
One Natural Resources Way
Springfield, IL 62702-1272
ATTN: Museum Grants

Telephone: 217-782-7481
E-mail: dnr.grants@illinois.gov.
Web address is https://www.dnr.illinois.gov/grants/Pages/Museum-Capital-Grants.aspx.

# Frequently Asked Questions

**How is the Museum Capital Grant Program funded?**
The Museum Capital program is funded through State of Illinois bond monies, the use of which limits the scope of allowable work to that which is considered a capital expenditure to those that are bondable.

**Who is eligible to apply for Museum Capital?**
The public museum must be located on land owned by and/or be operated by a unit of local government to be eligible for Museum Capital assistance. The applicant and the project must meet additional specific criteria. You will need to review the Eligibility Criteria section of this manual to make that determination.

**Does our organization have to be registered under the Grants Accountability and Transparency Act (GATA) to apply for these funds?**
Yes, the Grant Accountability and Transparency Act, 30 ILCS 708/1 et. seq. (GATA) requires all entities requesting grant funding from any State Agency must first be registered in the GATA system. Their website is: https://grants.illinois.gov/portal/. No applications will be accepted from any entity who is not registered on the Grantee Portal and fully prequalified.

**Are there additional forms that must be completed to comply with GATA?**
Yes, a GATA Uniform Application and a GATA Uniform Budget Template must also be submitted for your application to be considered complete.

**What is the minimum and maximum amount of funding assistance I can apply for?**
Museum Capital grant awards range from $25,000 to a maximum of $750,000.

**How much money is available through the grant program?**
For fiscal year 2020, approximately $25 million will be available.

**Is there an application or award fee?**
Yes, the Museum Capital program requires both an application fee and an award fee. A non-refundable application fee which is calculated as ¼ of 1% (0.0025%) of the grant request . The minimum fee is $100, and the maximum fee is $300. There is also an award fee which is calculated as 1% of the total funding assistance granted to the applicant. No award fee will exceed $5,000.00.

**When is the grant application deadline?**
The application deadline for Museum Capital Grants is **5:00 pm on April 30, 2020.** Applications received before application period opening date or after 5:00 p.m. on application period closing date will be ineligible – NO EXCEPTIONS. Project applications not approved for Museum Capital assistance will not be returned to the public museum

**Can applicants get help determining if a project idea is eligible?**
Prior to initiating an application, it is strongly recommended that IDNR grant staff be contacted at DNR.GRANTS@illinois.gov or 217-782-7481 to discuss the proposed project. Considerable time and effort may be saved by doing so.

**Can project costs be incurred prior to grant award?**
All project costs incurred prior to IDNR approval, except for eligible project architectural/engineering costs, are ineligible for Museum Capital assistance. Only *PROPOSED* development projects are eligible for grant assistance.

**Can applications be made for multiple grants in the same year?**
No, only one development project proposal is allowable per grant cycle.

**What is a "bondable" project?**
A bondable capital project is one for which the expenditures generally include, but are not limited to, one or more of the following purposes: architectural planning and engineering design; demolition (in preparation for additional work); site preparation and improvement; utility work; new construction of buildings and structures; reconstruction or improvement of existing buildings or structures; initial furnishings and equipment integral to the project; and replacement of currently utilized assets by a better asset; expansion of existing buildings or facilities; and any other work which significantly increases the service potential of a building or structure. A project site must be fully constructed and open to the public at the end of the grant period to be considered a bondable project.

**Is a project with multiple sites eligible?**
No, all project work must be for at a single project site.

**The amounts for the project components are only estimates, is this acceptable?**
IDNR realizes that the estimated cost of a proposed project as indicated in the grant application will not always reflect the actual project cost. However, grant awards are based upon the estimated project cost shown in the grant application so they should be as accurate as possible. Once a grant amount has been approved for a project, additional funds will not be available to cover project cost overruns.

**Can donated labor and equipment be used on the project?**
The use (value) of donated labor or equipment in a project is NOT eligible for grant reimbursement. Nonetheless, donated labor and equipment may be used to help reduce overall project costs. The cost of force account labor (public museum's employees) used to complete or assist in the completion of an approved development project is also NOT eligible for grant reimbursement.

**How are awarded projects selected?**
All applications undergo extensive review and professional staff members score all applications. Projects and scores are then reviewed by a peer review panel and approved by IDNR administration.

**How long does it take to award a project?**
Formal announcement by the IDNR will usually occur 6-8 months after the application period closes.

**How much time is allowed for projects to be completed?**
Grant agreements are for a two-year time period.

**Can I complete my grant application on-line?**
No, due to recent changes to application requirements, the IDNR on-line application system is not available. All applications and additional required documentation must be submitted as a hard copy to the IDNR by the stated application deadline.

**Are electronic copies of the grant application acceptable?**
Faxed or emailed applications will NOT be accepted. Original signatures are required on several forms and due at the time of application.

**How should the application be presented to IDNR?**
We will accept applications that are loose or in 3-ring binders. Do not permanently bind the application. Please do not send multiple copies of your grant application. Use of the application forms provided in this manual is required. Only 3 additional single-spaced sheets may be attached to the application forms for additional space.

**My project is on property owned by the State and/or Federal government but leased to our unit of local government and/or public museum. Is this property eligible for a development grant?**
No, the property must be owned by the Unit of Local Government which can lease it to the public museum.

# Definitions

Attendance: The documented number of visitors at the public museum's facility or facilities for the preceding calendar year.

Capital Expenditure: An outlay of capital that confers long-term benefits that permanently improve the property's value or usefulness. Capital expenditures generally include, but are not limited to, one or more of the following purposes: architectural planning and engineering design; demolition (in preparation for additional work); site preparation and improvement; utility work; new construction of buildings and structures; reconstruction or improvement of existing buildings or structures; construction of permanent exhibits; initial furniture and equipment integral to the project; replacement of currently utilized assets by a better asset; and expansion of existing buildings or facilities. Work that constitutes repairs, maintenance or remodeling of a limited nature or scope, which is not done as part of a larger bondable project, shall not be considered bondable capital expenditures. A non-bondable project is generally one that maintains or preserves the existing conditions, use or size of a capital asset and that is neither in the nature of a betterment nor a change to the capital asset's condition, use or size. Generally, such work does not significantly add to the value of the capital asset nor appreciably prolong the life of the capital asset.

The following are operating or other types of expenditures that are not considered capital expenditures:

- projects with a total cost of less than $25,000;
- acquisition of museum collections, objects, or specimens;
- feasibility studies, long-range development plans, master plans, and historical or archaeological research;
- development of temporary or traveling exhibits; repair to current exhibits;
- costs of repairs or maintenance that are normally anticipated to occur;
- remodeling of a limited nature or scope that is not done as part of a larger bondable project;
- costs of staff or resident labor and material; operational and administrative expenses;
- installation of fire alarms, smoke detectors, or connections of building monitoring systems to a central or off-site central monitor, unless included in a larger bondable project; and
- purchase of vehicles or construction equipment.

Care: The keeping of adequate records pertaining to the provenance, identification and location of the museum's holdings, and the application of current professionally accepted methods to their security and to the minimization of damage and deterioration.

Certification: An attestation by a unit of local government that a museum that is not operated by or located on land owned by a unit of local government meets the eligibility criteria established in State law.

Community: The population base normally served by the public museum.

Department: The Illinois Department of Natural Resources.

Director: The Director of the Department.

Fiscal Sponsor: An affiliated entity that may expend funds on behalf of the public museum for which the public museum will request reimbursement. A Fiscal Sponsor assumes legal accountability, fiduciary oversight, fiscal management and other administrative services of a related party. If grant funds are to be expended by a fiscal sponsor on behalf of the public museum, the chief executive officer of the public museum must sign a statement certifying:

1) that there is an ongoing relationship between the public museum and the fiscal sponsor;
2) that the fiscal sponsor may incur expenses for the public museum's project; and
3) that the fiscal sponsor may pay for incurred expenses for the public museum's project;
4) that grant funds will be used specifically for the public museum's project; and
5) that grant funds received by the public museum for reimbursement of IDNR approved expenses will be submitted to the fiscal sponsor for settlement of paid expenses.

Matching Funds: Local government and/or private funds committed to the proposed project. State and federal funds are not eligible as matching funds.

Nonprofit: The public museum has documentary evidence of its tax- exempt status under the regulations of the U.S. Internal Revenue Service.

Organized: The public museum is a duly constituted body with expressed responsibilities.

Permanent: The public museum has been open to the public, for its instruction and enjoyment, for at least 2 years and is expected to continue in perpetuity.

Professional Staff: The public museum has at least one paid employee, who commands an appropriate body of special knowledge and the ability to reach museological, zoological, aquarium, or botanical (whichever shall be applicable) decisions consonant with the experience of his or her peers, and who has access to and acquaintance with the literature of the field, and that such employee works sufficient hours to meet adequately the current demands of administration and care.

Public Museum: A facility that has been open to the public, for its instruction and enjoyment for at least two years and that is operating for the purposes of promoting cultural development through special activities or programs or performing arts and acquiring, conserving, preserving, studying, interpreting, enhancing, and, in particular, organizing and continuously exhibiting (subject to temporary interruption due to construction or catastrophe) specimens, artifacts, tangible objects, articles, documents and other things of historical, chronological, archaeological, industrial, scientific or artistic import.

Schedule: Regular and predictable hours which constitute substantially more than a token opening, so that access is reasonably convenient to the public.

Tangible Objects: Specimens, artifacts, articles, documents; non- domesticated plants or animals, including fish; and other things of historical, anthropological, archeological, industrial,

scientific or artistic import that form the public museum collections and have intrinsic value to history, science, art or culture.

Unit of Local Government: Counties, municipalities, townships, special districts and units, designated as units of local government by Illinois law, which exercise limited governmental power or powers in respect to limited governmental subjects, but does not include school districts.

# Guidelines to the Public Museum Capital Grant Program

## Introduction and Purpose

The Illinois Public Museum Capital (Museum Capital) program is a grant program that provides up to 100% funding assistance to eligible public museums for approved capital expenditure projects that confer long-term benefits that permanently improve the property's value or usefulness.

Capital expenditures generally include, but are not limited to, one or more of the following purposes: architectural planning and engineering design; demolition (in preparation for additional work); site preparation and improvement; utility work; new construction of buildings and structures; reconstruction or improvement of existing buildings or structures; construction of permanent exhibits; initial furniture and equipment integral to the project; replacement of currently utilized assets by a better asset; and expansion of existing buildings or facilities.

Funds for the program are derived from State bond sales and for that reason require the use and oversight of a Unit of Local Government's procurement guidelines to ensure the proper stewardship of said funds.

## Administration of the Museum Capital Program

The State agency responsible for administering the Museum Capital program is the Illinois Department of Natural Resources (IDNR), with special assistance from the Illinois State Museum. Allocations of grant funds to projects from this program are made in general accordance with the Administrative Rule governing this fund and the established Bondability Guidelines identified within this manual.

Project applications from public museums requesting Museum Capital assistance must be submitted to the IDNR for evaluation and consideration of project merit. Applications are objectively evaluated, on a competitive basis, in relation to evaluation criteria outlined in this manual.

## Applicant Eligibility Requirements

To be eligible for Museum Capital assistance an applicant must meet **all** of the following criteria:

- Must be a public museum that has been open to the general public, for its instruction and enjoyment, for at least two (2) years within the framework of a permanent site;
- It is located upon land owned by and/or is operated by a unit of local government;
- It is an organized, permanent institution that is tax exempt under the regulation of the U.S. Internal Revenue Service;
- It meets generally accepted professional standards and/or is accredited in one of the following types of programs:
    - American Alliance of Museums

- American Association for State and Local History
- Association of Zoos and Aquariums
- American Public Gardens Association
- Other appropriate organizations;

- Has a paid professional staff who commands an appropriate body of knowledge on presented subject matter;
- It cares for and owns or utilizes tangible objects;
- Is open to the public on a regular schedule and regularly collects attendance data and maintains sufficient records such that the attendance numbers can be audited;
- It presents regularly scheduled programs and exhibits that use and interpret objects for the public according to accepted standards;
- It has filed timely reports and complied with requirements for previous grant awards;
- It can provide matching funds of the following amounts:
  - $2 matching funds for each $1 of State money for a public museum with an attendance of 600,000 or more during the preceding calendar year; or
  - $1 of match funds for each $1 of State money for a public museum with an attendance of over 300,000 but less than 600,000 during the preceding calendar year; or
  - No matching funds are required for a public museum with an attendance of 300,000 or less during the preceding calendar year.

## Project Eligibility Requirements

Museum Capital grants are available for projects involving capital expenditures. Capital Expenditure is defined as an outlay of capital that confers long-term benefits that permanently improve the property's value or usefulness. Projects should generally have a 20-year life span. Applications must be for a single project site and the local applicant must be capable of accomplishing the project in the specified Museum Capital program time frame. See Section III of the manual for project implementation procedures and timelines. Project must be "bondable" in nature as described in the Bondablity Guidelines.

Eligible projects include, but are not limited to, the following:

- Architectural planning and engineering design;
- Demolition (in preparation for additional work);
- Site preparation and improvement;
- Utility work;
- New construction of buildings and structures;

- Reconstruction or improvement of existing buildings or structures;
- Construction of permanent exhibits with a life expectancy of at least 20 years;
- Initial furniture and equipment integral to the project;
- Replacement of currently utilized assets by a better asset;
- Expansion of existing buildings or facilities; and
- CPA attestation of Project Billings is an eligible expenditure

## Projects In-Eligible for Assistance

In general, Museum Capital assistance is not available for work that constitutes repairs, maintenance or remodeling of a limited nature or scope. Work which is not done as part of a larger bondable project, shall not be considered a bondable capital expenditure. A non-bondable project is generally one that maintains or preserves the existing conditions, use or size of a capital asset and that is neither a betterment nor a change to the capital asset's condition, use or size. Generally, such work does not significantly add to the value of the capital asset nor appreciably prolong the life of the capital asset. The following are operating or other types of expenditures that are not considered capital expenditures:

- Projects not on land owned by a unit of local government;
- Projects with a total cost of less than $25,000;
- Outdoor play structures (including playground type equipment);
- Acquisition of property, museum collections, objects, or specimens;
- Feasibility studies, long-range development plans, master plans, and historical or archaeological research;
- Development of temporary or traveling exhibits;
- Costs of repairs or maintenance that are normally anticipated to occur;
- Remodeling of a limited nature or scope that is not done as part of a larger bondable project;
- Cost for staff or resident labor and material;
- Operational and administrative expenses;
- Installation of smoke detectors or connections of building monitoring systems to a central or off-site central monitor, unless included in a larger bondable project; and
- Purchase of vehicles or construction equipment.
- Projects being done on State of Illinois-owned property.
- Projects led by organizations in a debarment period or on the State of Illinois Stop Payment List.

# Guidelines to Program Application & Evaluation Criteria

## How and When a Public Museum Applies for Assistance

The Museum Capital program does not necessarily operate on an annual recurring grant cycle. When an application period is open, completed project applications must be **RECEIVED by the IDNR within the application window** to be considered in that year's Museum Capital grant cycle. Applications received before the opening date or after 5:00 pm on the closing date will be considered ineligible (no exceptions). Prior to initiating an application, it is strongly recommended that IDNR grant staff be contacted at (217) 782-7481 or dnr.grants@illinois.gov to discuss the proposed project. Considerable time and effort may be saved by doing so.

## How Project Applications are Evaluated

Local project applications are evaluated on a competitive basis since funds available through the Museum Capital programs are typically not sufficient to provide funding assistance for all public museum project needs in the State.

The following criteria are used to prioritize eligible project applications for Museum Capital assistance:

a) Technical and Program Review

Department staff will review the project application for:

1) Completeness of application.

2) *Evidence that the public museum meets all eligibility criteria, as defined in 23 ILCS 3200* et. Seq. https://www.dnr.illinois.gov/adrules/documents/23-3200.pdf

3) Evidence that the capital project meets the eligibility criteria as defined in *23 ILCS 3200* et. Seq. https://www.dnr.illinois.gov/adrules/documents/23-3200.pdf

4) Evidence that the public museum has long term future occupancy rights for the property.

5) Evidence that the project is part of a capital planning process.

6) Project's feasibility with regard to operational capacities of the public museum.

7) Evidence of the public museum's ability to complete the project successfully, including the availability of adequate financial resources.

8) Adequacy of cost estimates and construction schedule estimates.

9) Evidence of community support and meeting community needs.

10) Effectively enhancing the public museum's ability to meet its mission.

11) Expanding audiences, including reaching underserved groups.

12) Compliance with requirements of previous grant awards.

b) Peer Review Panel

1) The Director will appoint a panel of 5 citizens with backgrounds and experience relevant to the activities of public museums and their educational contributions who will review proposals and then make recommendations for funding. Such citizens shall not be current employees of any museums in the State of Illinois that are eligible to apply for this grant program. The Director shall have the authority to call upon the expertise of non-residents of the State for additional advice on the program and its administration.

2) Names of candidates for the peer review panel will be solicited from museums throughout Illinois.

3) In developing recommendations for funding, consideration may be given to the scale of the project in relationship to the public museum's operating budget, annual attendance, and size and capacity of the staff.

c) Staff Recommendation

Department staff will evaluate proposals based on criteria outlined above, consider recommendations from the peer review panel, and recommend to the Director priorities for funding.

## Grant Fund Disbursement

The Museum Capital program operates on a reimbursement basis. No project costs can be incurred until **after** IDNR approval, except for preliminary engineering and design costs. After project approval and allocation of a fixed grant amount for the project, the public museum must proceed with and complete the proposed project, including payment of all costs, before submitting a 50% and/or 100% final project billing request to the IDNR for reimbursement.

It is at the public museums' discretion and IDNR's approval to bill at 50% project completion, it is not mandatory to do so. Any billing submitted must include all required documentation including the CPA Agreed Upon Procedures.

Processing of project billings and transmittal of approved grant reimbursement to the public museum takes approximately 45 – 60 days following approval of the billing request by the IDNR.

## Comprehensive Environmental Review Process (CERP)

Every application received for this grant program must undergo an assessment in the Comprehensive Environmental Review Process (CERP). The area of the CERP review most often cited in this program is the Cultural Resources Review. This review is specifically pursuant to the "Illinois State Agency Historic Resources Preservation Act" for state-assisted projects, ALL public museum grant projects must be reviewed for possible historic/cultural resource impacts. The IDNR is responsible for ensuring compliance with these laws and will coordinate all necessary project reviews with the State Historic Preservation Office (SHPO). **All awarded projects must receive an approved CERP document to begin or continue the project. No grant approved work can begin on a project until the CERP approval is received by the public museum.**

The historic value of buildings is determined in part by their age, architectural style, and building materials. These elements are to be considered in association with interior and exterior modifications proposed for the building, which may affect the structure's historic significance. Please include information on all these elements within your project description.

If impacts to historic resources are anticipated, the public museum is encouraged to consult with Illinois Department of Natural Resources as early in the planning process as possible. It is very possible that a project may be awarded but will be required to submit plans and specifications when they are 25%, 50% and even 75% complete before full approval of the SHPO will be granted.

The public museum will be required to submit photos with your CERP form for any structural remodeling/reconstruction. Include photos from all 4 sides of any building or structure being remodeled/reconstructed on the outside. Any interior remodel/reconstruction will need current photographs included along with close-ups of anything that could be considered architecturally significant.

# Project Implementation Procedures

## How an Approved Project is Implemented

Once a project is approved for Museum Capital assistance, notification will be made by the IDNR to all applicants. After the initial notification is made, a Programmatic Risk Assessment will be sent to all awarded applicants to complete and return. A Notice of State Award (NOSA) will then be produced in the GATA Grantee Portal that will need to be accepted by the applicant. At that time a project Agreement will be issued to the public museum outlining the approved project scope and costs, grant amount, and program compliance responsibilities. The execution date indicated on the Project Agreement commences the project period for which incurred project costs are eligible for Museum Capital reimbursement. Costs incurred prior to the designated project approval date, except for necessary architectural/engineering fees*, are ineligible for Museum Capital assistance. Costs are considered incurred on the date construction contracts are signed or actual physical work starts on the project (including ground clearing, material delivery to the project site, etc.).

* (Costs for site investigation including historic, cultural, and archaeological site reviews, preliminary design and cost estimates, and construction drawings and bid specifications necessary for proper construction of an approved project may be eligible for assistance although incurred prior to IDNR grant approval.)

The Museum Capital grant program requires a **Grant Award Fee** be submitted by *successful* applicants at the time the formal grant agreement is returned to the IDNR for final execution. This fee shall be calculated as 1% of the total funding assistance awarded and reflected in the grant agreement. No single Award Processing Fee will exceed $5,000.00.

EXAMPLES:

A $200,000 grant award would require a $2,000 Grant Award Fee
($200,000 x 0.01 = $2,000)

A $750,000 grant award would require a $5,000 Grant Award Fee
($750,000 x 0.01 = $7,500 which exceeds the $5,000 maximum)

**Grant Award Fees** shall be rounded up to the nearest whole dollar amount.

EXAMPLES:

A $54,750 grant award would require a $548 Grant Award Fee
($54,750 x 0.01 = $547.50 rounded up to the nearest whole dollar = $548)

The grantee may choose to consider the Grant Award Fee as an allowable reimbursement cost and include this cost in the identified costs of the project if so desired.

Grant agreements returned <u>without</u> the required Grant Award Fee, or with an incorrect amount, <u>will not</u> be accepted by IDNR. Failure of a Grant Award Fee to clear the bank it is drawn against will result in the automatic denial of the award and cancellation of the grant without further consideration.

In general, project implementation procedures are as follows:

A. Project work must be accomplished using the written procurement guidelines of the unit of local government identified on the MC/DOC-1 form #5.

(NOTE: Donated labor and/or equipment may be used in completing a project but are NOT eligible for grant reimbursement or use as any portion of a required match amount.)

B. Projects including any construction for the facility usually require the preparation of detailed work drawings and specifications. After IDNR grant approval, the public museum should immediately proceed with such drawings and specifications. The use of professional consultants in the formulation of detailed project design and specifications is encouraged and eligible for Museum Capital reimbursement.

A public museum may use its own architectural or engineering staff to complete such design work if they possess the necessary skills and qualifications. The cost for such in-house "force-account" work is not eligible for assistance or use as any portion of a required match amount.

Working plans and specifications shall be made available, upon request (see CERP Process), to IDNR representatives for review either prior to advertising for bids or the construction start date, or during on-site construction inspections and compliance reviews.

C. Public museums must comply with applicable State statutes and applicable local ordinances concerning bidding requirements for construction contracts and equipment/material purchases from their identified local unit of government. IDNR may request documentation from the public museum to verify compliance with the applicable State statues.

D. The public museum shall follow its identified local unit of government requirements relating to bid guarantees, performance bonds, and payment bonds.

E. The public museum should also incorporate/address the following in all <u>construction</u> contracts awarded on approved Museum Capital projects:

1. Contracts should contain such contractual provisions or conditions that will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms and provide for such sanctions and penalties as may be appropriate.

2. Contracts should contain suitable provisions for termination by the public museum including how it will be affected and the basis for settlement. Such contracts shall also describe conditions whereby the contract may be terminated because of circumstances beyond the contractor's control.

3. Contracts should include language ensuring that the contractor possesses adequate liability insurance ($1,000,000 minimum) and abides by state and federal labor laws relating to 1) fair employment practices, 2) prevailing wages, 3) worker compensation, 4) preference to Illinois laborers, 5) bid rigging and bribery of state officials, and 6) sexual harassment and drug-free workplace policies.

4. All construction contracts awarded by the public museum should include a provision to the effect that duly authorized State government representatives shall have access to any documents, papers and records of the contractor for making audit, examination, excerpts and transcriptions.

5) The public museum shall follow the Illinois Works Jobs Program Act (30 ILCS 559/) regarding the Illinois Works Pre-apprenticeship Program

F. During project development, it may become necessary to change scope, plans and/or specifications. The public museum shall obtain IDNR approval for any project change orders that represent significant deviations from the approved plans. Any change order **+ or -** $10,000 **must** have IDNR approval. Change orders should be made a part of the project file and kept available for audit.

G. During project implementation, IDNR staff may make on-site inspections, as deemed necessary in relation to the scope of the project, to check progress and compliance with all applicable laws and construction specifications. The public museum must also provide quarterly Performance Reports during the project to the IDNR regarding project status. It is the public museum's full responsibility for determining when all project construction has been satisfactorily completed and is ready for IDNR final inspection and acceptance.

I. Billing requests for grant reimbursement are processed after 100% project completion, however if needed a request for partial funds can be made once the *project* has reached 50% complete. (This is based on project completion not 50% of costs expended.) Only costs incurred during the specified project period as indicated on the Grant Agreement and necessary to complete approved project components are eligible for grant reimbursement. **Billing documentation should be submitted as soon as possible after project completion** and the following documentation is required for any project billing unless otherwise noted:

1) Completed "Project Billing Form" containing original signatures. No digital, copied, or electronic signatures are allowed.

2) Completed "Project Billing Performance Report" submitted with reimbursement documents.

3) "Schedule A - Schedule of Professional Services and Publicly Bid Project Contracts" **and** "Schedule B - Schedule of Project Expenditure".

4) Costs claimed on the "Project Billing Form" must be reviewed and attested to by an independent CPA 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 IDNR and provided to grantees. A copy of the document completed by the independent CPA based on the "Agreed Upon Procedures" must be submitted with any billing. See note below.

5) One copy of record (as-built) drawings **(drawings must be no larger than 11 X 17)** should accompany the final billing**.**

6) Proof of Public Museum Capital Grants Program acknowledgement (photo of sign or donor plaque at site) should accompany the final billing.

7) Photos of completed project elements.

**NOTE**: The cost of having the independent attestation of the Project Billing conducted is considered an eligible project cost and may be claimed for grant reimbursement.

# Compliance for Approved Projects

**General Public Museum Compliance Requirements for Approved Projects**

A. Project Identification

Acknowledgment of the role of the Public Museum Capital Grant Program in the project. This can be done by signage in an appropriate location or, with IDNR approval, by written acknowledgement in a public document produced by the public museum. The acknowledgment shall incorporate the following language:

"PUBLIC MUSUEM CAPITAL GRANTS PROGRAM:
ILLINOIS DEPARTMENT OF NATURAL RESOURCES AND THE ILLINOIS STATE MUSEUM

B. Record Retention

1. All financial records and related supporting documents pertinent to a Museum Capital project must be retained by the public museum for a period of three (3) years following final grant payment. These records shall be retained beyond the three (3) year period if audit findings remain unresolved.

2. For purposes of local record retention, local agencies may substitute microfilm copies in lieu of original records.

3. All project records shall be available for examination by duly authorized representatives of the Illinois Department of Natural Resources, Illinois Auditor General's Office or the Attorney General's Office for making audits, excerpts and transcripts.

C. Audit Requirements

Local agencies are required to comply with Auditing Standards set by the Administrative Rule for the Grant Accountability and Transparency Act (GATA) 44 IL Admin Code 7000.90 (link). Guidance can be found on the GATA webpage in the Resource Library at: (https://www2.illinois.gov/sites/GATA/Documents/Resource%20Library/GATA%20Audit%20Requirements%20-%20For%20Resource%20Library.pdf)

A copy of the audit must be provided to IDNR, upon request, OR if any findings (irregularities) involving the Museum Capital 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 public museum and can follow established local procurement procedures, provided those procedures promote an open and competitive environment.

D. Project Inspection

Periodic site inspections are made by representatives of the IDNR as required during project execution and after project completion to ensure continued program compliance. The following points are taken into consideration:

1. Retention and Use - Is the property being used for the purpose identified in the approved project agreement.

2. Appearance - Is the property attractive and inviting to the public and the quality of the area being maintained?

3. Maintenance - Is upkeep and repair of facilities adequate? Is there evidence of poor workmanship or use of inferior quality materials or construction? Is vandalism a problem?

4. Management - Does facility staffing/servicing appear adequate?

5. Availability - Is there evidence of discrimination? Is the property readily accessible and open to the public during reasonable hours and times of the year?

6. Signage - Is the area properly signed to allow for user information and safety, and acknowledge Museum Capital assistance?

E. Availability to Users

1. Discrimination based on Race, Color, Creed, National Origin, Sex, Age or Disability

Recipients of Museum Capital financial assistance are required to comply with the requirements of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973 as amended, the Age Discrimination Act of 1975, the Civil Rights Restoration Act of 1988, (P.L. 100-259), and the Americans with Disabilities Act of 1990 (PL 101-336) to the extent that no person in the United States shall, on the grounds of race, color, creed, national origin, sex, age or disability be excluded from participation in, be denied of, or be otherwise subjected to discrimination in any program or activity provided by that agency. Areas affected by these requirements include, but are not limited to, the following:

a. programming;
b. facility use, planning and construction;
c. employment practices;
d. planning and/or advisory groups; and
e. fee structures.

A public museum first agrees to comply with the referenced anti-discrimination and accessibility laws when a completed "Resolution of Authorization" (DOC-2) is submitted as part of the Museum Capital grant application. This signed form provides the IDNR with reasonable assurance that all requirements imposed by said anti-discrimination and accessibility laws will be met and any non-compliance will be corrected.

Further, once a public museum has received Museum Capital assistance, the following additional and continuing administrative requirements must be met:

a. Notify the public that local programs and facilities are herein after offered and operated on a non-discriminatory basis in accordance with the referenced anti-discrimination and accessibility laws.
b. Notify the public of the right to file a complaint should any person believe they have been subjected to discrimination as prohibited by these laws.
c. Establish a procedure for processing discrimination complaints.

d. Include anti-discrimination, accessibility and equal opportunity statements as well as information regarding methods for filing complaints in all program materials, posters, brochures, contracts, leases, etc., used by or distributed to the general public.
e. Where an appreciable number of people do not speak or understand English, it may be necessary to prepare printed materials in other appropriate languages or employ bilingual staff to inform the non-English speaking community of the availability of programs, facilities and services.
f. Where private organizations or institutions participate in or utilize the facilities of the public museum, secure a signed assurance from the organization that its program(s) or activity will be operated on a non-discriminatory basis in compliance with the referenced laws.
g. Make a good faith effort to include minority representatives in the membership of any planning and/or advisory group.
h. Ensure facility development and maintenance are comparable in all sectors (minority and majority areas) of the community.
i. Take necessary steps to equalize fees charged for program participation and facility usage throughout the community.
j. Maintain a file that documents the public museum's efforts to comply with the requirements of Title VI, Section 504 and the Age Discrimination Act. These files may be examined as part of "Non-Discrimination Compliance Reviews" conducted by authorized representatives of the Illinois Department of Natural Resources.

Agencies interested in receiving more detailed information concerning these guidelines may obtain a copy by writing:

Illinois Department of Natural Resources
Equal Employment Opportunity Officer
One Natural Resources Way
Springfield, IL 62702

2. Discrimination based on Residence

For properties acquired or developed with Museum Capital assistance, discrimination based on residence, including preferential reservation, membership or annual permit systems is prohibited except to the extent that reasonable differences in admission and other fees may be maintained based on residence.

Fees charged to non-residents cannot exceed twice that charged to residents. Where there is no charge for residents, but a fee is charged to non-residents, non-resident fees cannot exceed fees charged for residents at comparable state or local public facilities. Reservation, membership or annual permit systems available to residents must also be available to non-residents and the period of availability must be the same for both residents and non-residents.

These provisions apply only to the recreation areas listed in the project agreement. Non-resident fishing/hunting license fees are excluded from these requirements.

1. Accessibility for the Disabled

All facilities constructed with or later developed on property acquired with State Museum Capital assistance must be developed and designed to accommodate full accessibility standards as per the Illinois Accessibility Code (April 1997) and the "Americans with Disabilities Act" Accessibility Guidelines (ADAAG). https://www.ada.gov/

Although the Illinois Accessibility Code standards do not address specific criteria for accessibility involving all outdoor recreational facilities, there is a reference to "Recreational Facilities" on Pg. 87 of the Code. A copy of the Illinois Accessibility Code may be obtained by calling 217/782-2864 (Springfield) or 312/814-6000 (Chicago) or at:
https://www.illinois.gov/cdb/business/codes/Pages/IllinoisAccessibilityCode.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. Copies of the guidelines can be obtained by writing to: *Access Board, Recreation Report, 1331 "F" Street, N.W., Suite 1000,Washington, D.C. 2004-1111. Tele: 202/272-5434 or 800/514-0301 or contact their web site at www.access-board.gov.*

# Application and Implementation Process

1. **APPLICATION PERIOD (as indicated on the NOFO) – SUBMISSION**

   The project applicant submits the application to the Illinois Department of Natural Resources (IDNR). Receipt of the application is acknowledged by staff after a desk review is performed. IDNR staff reviews the proposal to determine the applicant's and the project's eligibility. The application is also checked for completeness. If it is found to be incomplete or unacceptable, the applicant will be notified.

2. **PROJECT REVIEW – (approximately 2-3 months immediately following submission)**
   All eligible proposals are reviewed by IDNR staff. Projects are then scored by the review team and presented to a peer review panel. When this process is complete, the Director of IDNR reviews and approves the funding recommendations.

3. **RECOMMENDATIONS AND APPROVAL**
   The local agencies are notified in writing of the status of the application(s). ***Public museums may not begin the project until a project agreement is fully executed between IDNR and the public museum.*** If the proposal(s) is not selected, the applicant will be notified. Applications are not returned.

4. **AGREEMENT**
   After a Programmatic Risk Assessment and Notice of State Award are completed, an agreement will be produced and executed to assure that the applicant will complete the project within 24 months and be eligible to receive. The contract is between the state (IDNR) and the public museum. After the signing of the agreement, a copy will be sent to the public museum.

5. **PROJECT IMPLEMENTATION**
   The public museum may proceed with project construction after completing any additional steps required. Procedural instructions will be provided to the grantee. Any change order ***+/- (plus or minus)*** $10,000 that occur within a contract bid under this Museum Capital grant OR a 10% change within a GATA approved budget line <u>must</u> be approved by IDNR prior to executing the change. Reimbursement requests may be made after funds have been expended.

6. **PROJECT COMPLETION**
   The project should be completed within 24 months. A site inspection will be made after the project is complete; IDNR staff may also visit the project at any time during construction. A Museum Capital acknowledgement sign must be posted in a conspicuous location when the project is complete. The sign requirements are presented in this manual and the executed agreement.

# Application Instructions

*** * PLEASE READ THOROUGHLY * ***

1) **All pages requiring signatures need to original and must be submitted at the same time as the entire application prior to the application deadline. Digital or photocopied signatures are not acceptable and will result in the application being ineligible.**

2) Prior to preparing an application for Museum Capital consideration, it is highly recommended that IDNR grant staff be contacted to informally discuss eligibility and merits of the project proposal.

3) Copies of the blank application forms in Section V of this Manual should be made to use as work copies in preparing the final application for submittal.

4) Application material will be scanned by the IDNR. Due to equipment limitation, maps and drawings should be limited to 8 ½" x 11" whenever possible, but ***NEVER*** larger than 11" x 17".

5) **Attachments should be submitted to:**

Illinois Department of Natural Resources
Office of Grant Management and
Assistance, Public Museum Grant Program
One Natural Resources Way
Springfield, IL 62702

*Documents will NOT be returned*.

## General

The following documents comprise the required public museum application documents for Museum Capital grant consideration by the IDNR. Application forms are provided in Section V of this Manual. Instructions for completing a Museum Capital application are included on the following pages.

### MC/DOC-1 Application Form

1) Public Museum Information:

   a) Enter the Public Museum name.
   b) Enter the Project Title.
   c) Enter the address where the **project site** is located.
   d) Enter the public museum web site address.
   e) Enter the year the public museum was established.
   f) Enter the public museum's Illinois Senate District #, Illinois House District #, and U.S. Congressional District # This is based on the actual project site not administrative offices or the main museum campus location.

2) Contact Information – Public Museum:

a) Only the public museum information should be entered here. The CEO named here will be the recipient of all correspondence regarding the grant application (e.g., award and deficiency letters, contracts, etc.)

b) Enter information for the contact person for the public museum who will be able to answer questions pertaining to the grant application and project should a grant be awarded. This person should be available Monday through Friday 8 a.m. - 5 p.m.

3) Contact Information – Fiscal Sponsor:

Fiscal sponsor information should be entered here **only if** the fiscal sponsor organization is not the public museum **and if** the fiscal sponsor will incur costs for the public museum. Consult the "Definitions" section of this manual for further information.

4) Project Description:

Provide a concise description of the project for which grant funds are being requested. Do not include general information about the merits of the project. This information will be addressed in the narrative MC/DOC3. For large-scale projects, the project description should clearly identify the component or components of the overall project for which funding is being requested. If the project is a continuing phase of a project initiated in a previous year, clearly identify only the phase for which funds are being requested.

5) Local Government:

a) Provide the name of the unit of local government that either owns the property on which the public museum is located and/ or operates the public museum. Public Museum Capital projects are funded using bond funds and therefore require the use and oversight of a public body's procurement guidelines to ensure the proper stewardship of said funds. The unit of government identified here will be the public body whose procurement guidelines the applicant must follow if awarded a grant.

b) Describe the type of ownership or long-term lease agreement the public museum has for the property where the proposed project will be located. Documentation of the agreement will be required.

c) What is the current term of the agreement? Provide the dates.

d) Detail any causes for early termination of the agreement.

6) Project Costs:

a) Enter estimated total project construction costs.
b) Enter estimated total project architectural & engineering costs.
c) Enter estimated archaeological survey costs (if any are to be claimed).
d) Enter estimated CPA fees associated with project billings. An "Agreed Upon Procedures" report will be required at time of billing to review your accounts and provide a concise determination on expenditures.
e) Enter the total of the above estimated project costs.
f) Enter either your required match amount or any overage of the grant amount being requested.
g) Enter the total grant funds being requested.

7) Matching Funds:

As a result of legislation passed in spring, 2002, the amount of matching funds required varies by the level of visitation for the preceding calendar year (see administrative rules, section 3200.20).

a) Specify the attendance numbers at the public museum's facility or facilities for the preceding calendar year.

b) Explain how the attendance is calculated (electronic, visitor book, fees, etc.). Documentation will be required.

c) Indicate visitation numbers so match amounts can be calculated.

d) Provide the amount of match dollars that will be required.

e) Provide the total amount of grant funds requested, which cannot exceed $750,000.

f) Status of matching funds. Enter the source of the matching funds. List all matching funds to be provided. Provide the dollar amount and mark (X) if the funds are local or private. "Matching funds" means local government and/or private funds committed to the project. State and federal funds are not eligible for matching funds.

g) Even if matching funds are not required, identify any outside funds committed to the project. Providing other funds committed to the project, such as in-kind donations, that show a level of commitment from the public museum.

h) List all grant funds (previous or anticipated) associated with the proposed project. If IDNR grants are included, list the Project Number and give a brief status, indicating that the project is either completed or ongoing. If ongoing, specify the projected completion date.

8) Museum Operating Information:

a) Indicate the hours and days of week that the public museum is open to the public. If open less than 1,000 hours per year, indicate the total number of hours.

b) Specify the public museum's operating expenses for the previous year.

c) If a grant is awarded and once the project is complete, will this cause public museum's operations to grow even if it is just indirect costs? If so, how will the public museum sustain the larger operational costs?

d) Provide the cost per visitor to operate the facility using this formula: (Formula: Total Operational Dollars ÷ Attendance = Cost Per Visitor).

9) Additional Required Information:

a) Provide the name, title, and professional organization of the staff person or persons responsible for implementation of the project. There must be one paid professional employee, as per administrative rules, section 3200.10. Note: if the staff person named here does not fall under a professional organization list what training or certifications they have.

b) Provide the mission statement of the public museum.

c) Check whether or not the public museum presents regularly scheduled programs and exhibits that use and interpret objects for the public according to accepted standards. Give a brief description.

d) Please describe the nature and condition of the collections and collections storage facility.

10) Required Documentation: ***(NOTE: All Attachments should be properly labeled)***

a) GATA Uniform Grant Application (downloaded from IDNR website separately from the manual).

b) GATA Uniform Budget Template (downloaded from IDNR website separately from the manual).

c) Attachment 1: The Application Fee form should be completed and a check with the correct amount submitted with the application.

d) Attachment 2: Provide documentation of the public museum's not-for-profit status. Not-for-profit museums, other than units of local governments, must submit a current copy of their IRS Tax Exemption Status Letter. Units of local government who are acting as fiscal agent for a public museum must submit a copy of their most current Audited Financial Statement or a letter of verification that the public museum is a part of a unit of local government. The letter should be submitted on the unit of local government's letterhead with an original signature of the Chief Financial Officer.

e) Attachment 3: Provide documentation that the facility has been open to the general public for longer than two years.

f) Attachment 4: Attach a copy of the public museum's accreditation of other proof that accreditation standards have been met.

g) Attachment 5: Documentation of ownership (property deed) or a lease agreement with no less than 25 years remaining on it.

h) Attachment 6: Provide the public museum's Annual Report from the preceding year. This is the publication provided to its membership or the general public describing the public museum's programs. If no Annual Report is published a current brochure describing the museum and its programs is acceptable. If no brochure is available, then a narrative describing the museum and its educational programming may be substituted.

i) Attachment 7: Provide documentation of how site attendance is calculated. This should be in an easily read report format.

j) Attachment 8: Copy of Comprehensive/Master plan identifying project. This should include copies of any public support associated with the project.

k) Attachment 9a: Provide a Location map of the project site that will allow IDNR to locate the facility.

l) Attachment 9b: Provide a Conceptual Development Plan for the project and, if applicable, for each project component. If provided as an architectural drawing, the sheets should be no larger than 11x17. If no architectural drawing/sketch is available, a detailed description should be provided. If a drawing becomes available later, submit it to the Office of Grant Management and Assistance office as soon as possible.

m) Attachment 9c: Provide a copy the current floor plan for the project site for comparison to Attachment 9b. If floor plans are not available, provide color photographs of the area including exhibits or components to be replaced.

n) Attachment 10: Provide a timeline of the anticipated construction schedule. Use quarterly time increments for the expenditure schedule of anticipated grant funds to the best of your knowledge or ability.

o) Attachment 11: Comprehensive Environmental Review Process form (CERP) (form attached to application packet) (3 copies required) Additional details for this form are provided below.
   - USGS 7.5 min. Topographic map copied portion with project area marked
   - Development Plan
   - Photos

Note: The IDNR reserves the right to seek documentary back up to the assertations in the above answers.

**MC/DOC-2 Statement by the Chief Executive Officer of the Public Museum**

This form provides the necessary assurance of compliance with the administrative rules and regulations of this program. At least one form with original signatures must be submitted with the application.

1) Complete the box at the top of page 1 of 4. (All fields required)

2) Mark the correct box to identify any match required in section j.

3) Add the public museum name at the top of page 2 of 4.

4) Indicate the date that the Statement is executed.

5) Identify the Chief Executive Officer (CEO) of the public museum and organization.

6) The CEO of the public museum must sign this Statement and the **original signature** must be in the application package.

7) If grant funds will be issued to a fiscal sponsor on behalf of the public museum, the fiscal agent CEO should sign page three (3) of the Statement, indicating that there is an ongoing relationship with the public museum and the fiscal sponsor and the **original signature** must be in the application package.

**MC/DOC-3 Project Narrative**

The Narrative should clarify the following:

1) Provide a clear and concise description of the how the grant funds would be used in the project. Include if the project is a component of a large-scale project, or if this project is a continuing phase of a project initiated in a previous year.

2) If the grant would fund only a component of a larger project, describe the overall project clearly and concisely.

3) Describe the public museum's long-range capital planning process and the level of planning that has been undertaken for the proposed project.

4) Describe how the completed project will improve the public museum's ability to meet its mission enhance the experience for existing audiences, and expand audiences, including reaching diverse, under-served groups.

5) Describe the level of community support for this project. (i.e.: Has the general public requested this type of exhibit or upgrade; has this been discussed in a community forum; do you have in-kind support, etc.)

6) Describe how the project will meet community needs. (i.e.: new exhibit has been requested for a specific purpose; life safety issues are being met; energy efficiency; etc.)

7) Describe the public museum's ability to complete the project successfully, including the availability of adequate financial resources, recognizing that grant funds are distributed on a reimbursement basis.

**MC/DOC-4 Development Data**

Complete the box at the top of the page. (required)

**Estimated Project Development Costs:**

1) Itemize major project components in relation to their budget categories. Delineate the project components and their associated cost estimates in enough detail to explain how the funds are being expended by category. The cost estimates should not be submitted as one lump sum, such as "General Construction, $200,000" or "Exhibit Construction, $200,000." **Round all costs down to the nearest $100.**

2) Costs should be broken down by what amount the grant would fund and what (if any) amount would be matching funds toward the component. Although matching funds may not be required, if any additional funds are being put toward the project it is good to show that here as it does indicate a level of commitment toward the project. **Round all costs down to the nearest $100.**

3) The anticipated Construction Method should be identified. Indicate the method of construction that will be used to develop each item on the form by using the following codes: C = Contract; SS = Sole Supplier

4) Provide the total of the estimated costs that will be incurred by the public museum grant and a total of the estimated costs that will be incurred by the fiscal agent/matching funds. **Round all costs down to the nearest $100.**

5) Provide the combined total estimated project costs. **Round all costs down to the nearest $100.**

6) Identify any architectural/engineering firms that will be used in completing the project.

**NOTES:**

- Public museums must comply with applicable state statutes and local ordinances concerning bidding requirements for construction contracts and equipment/material purchases. The public museum must also comply with the Illinois Works Jobs Program Act. (30 ILCS 559/20-1 et seq)

- **Contingency costs are not eligible capital expenditures and should not be included as a separate line item.** Other associated line items could be estimated at levels that allow for contingencies

- All the project components listed must meet bondability requirements and be eligible capital expenditures. (See Administrative Rules Section 3200.10 - Capital Expenditures.)
  a) Force account labor is not an eligible capital expenditure.

b) Donated labor and/or material are not reimbursable items and cannot be used toward match amounts.
c) Operational and administrative expenses are not eligible capital expenditures.

**Comprehensive Environmental Review Process (CERP) (Attachment 9)**

This form is used by Illinois DNR to evaluate compliance of the proposed project with three state laws protecting cultural resources, threatened and endangered species, and wetland resources. If historic resources may be impacted, the public museum is encouraged to consult with the Illinois Department of Natural Resources, as early in the planning phases as possible. Contact for IDNR is Dawn Cobb, 217-785-4992.

To receive full consideration, the following information must be included with the application:

- Public museum name and address, contact person's name, e-mail, phone, date of submittal, and the project title as indicated in MC-DOC1.

- Indicate if this is the initial request for funds through DNR for this project or a resubmittal. If a resubmittal, indicate if the project proposal has changed in any way from previous submittal(s).

- Indicate the project location by street address with city and county.

- Indicate on the form the Township #; Range #; Section # - For example: The Numeric Township will have a number and either an "N" or "S" (39N); the Range will have a number and either "E" or "W" (13E); and Section will be only a number (18).

- Fill out the Comprehensive Environmental Review Process (CERP) form and attach the relevant copied portion of a USGS 7.5 minute topographic map. Outline and indicate your entire project area on the map. If the surrounding grounds are not being disturbed, use an arrow to indicate the building. Maps are downloadable from the Illinois Natural Resources Geospatial Date Clearinghouse or available for purchase through the Illinois State Geological Survey (217) 333-4747; http://isgs.illinois.edu. Contact Rich Lewis, DNR CERP Coordinator, with questions about the CERP form (217) 785-5500.

- Conceptual Development Plan(s) - Attachment 9 (Provided with the grant application.)

- (Provided with the grant application.)

- Check project type(s).

- Indicate if the building was built pre or post 1970.

- Concise Project Description should include a detailed overview of the project and a list of the project components included on MCDOC4. You may attach additional pages as needed.

- If the project involves a pre-1970s building you must complete page 2.

- Indicate the status of the project. If already underway explain what part of the project has already been completed.

- Provide architectural plans/specs including any landscaping or parking lots clearly indicating how the new addition will be joined to or physically affect the original building's structure.

- Provide a site plan clearly indicating the proposed project and any areas of potential effects. A site plan is an architect/engineer's rendering of where each element goes within the project area and will show any changes drawn into the existing features of the project site. The drawing may indicate which of the proposed changes fall within the current phase of the project and which are for future proposals.

- Provide a narrative of the project building's history including age of the structure, the architect/builder, what the building's original purpose was, has been through the years, and is currently. List any modifications, alterations, and/or additions.

- Submit 3 sets of clear color images showing exterior views of all sides of the building. If interior modifications are being made, images should also be submitted showing the areas to be modified.

# PUBLIC MUSEUM CAPITAL GRANT APPLICATION FORMS

NOTE: Make copies of the blank application forms in this section for use as work copies in preparing the application.

**DO NOT bind the application being submitted to the DNR with a permanent binding** (e.g., spiral or glue binding) *(Use of a three-ring binder is recommended)*

## ILLINOIS PUBLIC MUSEUM CAPITAL GRANT PROGRAM

## APPLICATION CHECKLIST

***(original signatures are required on forms at time of application; electronic signatures are not acceptable)***

- ☐ **GATA Uniform Grant Application**
- ☐ **GATA Uniform Budget Template**
- ☐ **Form MC/DOC-1** — **Application Forms (4 pages)**
- ☐ **Form MC/DOC-2** — **Statement by the Public Museum CEO (Resolution of Authorization)(3 pgs)**
- ☐ **Form MC/DOC-3** — **Project Narrative**
- ☐ **Form MC/DOC-4** — **Development Data**
- ☐ **Attachment 1** — **Application Fee**
- ☐ **Attachment 2** — **Copy of Not-for-Profit Documentation**
- ☐ **Attachment 3** — **Documentation the Facility Open to Public Longer Than Two Years**
- ☐ **Attachment 4** — **Accreditation of Facility (or Proof Standards have Been Met)**
- ☐ **Attachment 5** — **Documentation of Land Ownership and Lease Agreement**
- ☐ **Attachment 6** — **Annual Report (publication sent to membership from the previous year describing public museum activities)**
- ☐ **Attachment 7** — **Documentation of Attendance Calculations**
- ☐ **Attachment 8** — **Comprehensive and/or Master Plan**
- ☐ **Attachment 9a & 9b** — **Location Map and Conceptual Development Plan(s) Photographs**
- ☐ **Attachment 9c** — **of Area/Site to be Constructed/Remodeled Construction**
- ☐ **Attachment 10** — **Schedule**
- ☐ **Attachment 11** — **Comprehensive Environmental Review Process Form (CERP)**
  - ☐ **USGS 7.5 min. Topographic Map copied portion with project area marked**
  - ☐ **Required Photographs**

**In order to receive full consideration, applications must be complete and received in our Office by <u>5:00 p.m. on Thursday April 30, 2020.</u>**

- **Please retain the original format of these forms.**
- **When printing the final copy for submittal, print single-sided copies.**

## 1.) PUBLIC MUSEUM INFORMATION

**Museum Name:** _____

**Project Title:** _____

**Address at Project Site:** _____

_____

**Museum Web Site Address:** _____

**Year Est:** _____

| | |
|---|---|
| **IL Senate Dist. #:** _____ | **County:** _____ |
| **IL House Dist. #:** _____ | **Township:** _____ |
| **U.S. Congressional District #:** _____ | |

## 2.) CONTACT INFORMATION – PUBLIC MUSEUM

| PUBLIC MUSEUM CEO | PUBLIC MUSEUM DESIGNATED CONTACT |
|---|---|
| **Name & Title:** _____ | **Name & Title:** _____ |
| **Address:** _____ | **Address:** _____ |
| _____ | _____ |
| **Phone #** _____ | **Phone #** _____ |
| **Fax #:** _____ | **Fax #:** _____ |
| **Email address:** _____ | **Email address:** _____ |

## 3.) CONTACT INFORMATION – FISCAL SPONSOR (complete *only* if using a Fiscal Sponsor)

| | |
|---|---|
| **Organization:** _____ | **CEO Name & Title:** |
| **Address:** _____ | |
| _____ | **Fax #:** _____ |
| **Phone:** _____ | **Email address:** _____ |

## 4.) PROJECT DESCRIPTION (Use allocated space only – do not attach additional sheet)

**Project Description:**

**5.) LOCAL GOVERNMENT**

Public Museum Capital projects are funded using bond funds and therefore require the use and oversight of a public body's procurement guidelines to ensure the proper stewardship of said funds. Public museums applying for capital funds must also be operated by or located on land owned by a unit of local government. **Specify the unit of local government:**

**Describe the type of ownership or long-term lease agreement the public museum has for the property where the proposed project will be located *(documentation required)*:**

**Provide the dates that the term of the lease agreement is in effect:** _____

**What, if any, causes for early termination are in the agreement?** _____

**6.) PROJECT COSTS:**

| | |
|---|---|
| **Construction Costs** | **$** |
| **A/E Design Fees** | **$** |
| **Archaeological Survey Costs** | **$** |
| **CPA Report Costs** | **$** |
| **TOTAL PROJECT COSTS:** | **$** |
| **PUBLIC MUSEUM MATCH** | **$** |
| ***(total must be rounded down to the nearest $100)*** **GRANT FUNDS REQUESTED:** | **$** |

**7.) MATCHING FUNDS: (information is required in all fields below)**

**The amount of matching funds required varies by the level of visitation for the preceding calendar year. (See administrative rules, section 3200.20)**

**Specify the attendance at the public museum's facility or facilities for the preceding calendar year:**

**Explain how it is calculated *(documentation required)*:**

Check one:
- ☐ Visitation is 300,000 or less (no match required). ***100% funded up to $750,000***
- ☐ Visitation is over 300,000 but less than 600,000 (1:1 match required). ***50% match requirement up to $750,000***
- ☐ Visitation is 600,000 or more (2:1 match required) ***66.66% / 33.34% match requirement up to $750,000***

**Based on above, specify total amount of matching funds required:** $

**Total Grant Funds Requested (cannot exceed $750,000):** $

**7.) MATCHING FUNDS (Continued): (information is required in all fields below)**

**Confirm status of matching funds (if required).**

Specify the source of all matching funds. Specify the amount of matching funds being provided. Mark (X) if matching Funds are local government or private.

| Source | Amount [ $ ] | Local [X] | Private [ X ] |
|---|---|---|---|
| | | ☐ | ☐ |
| | | ☐ | ☐ |
| | | ☐ | ☐ |
| | | ☐ | ☐ |
| | | ☐ | ☐ |
| TOTAL | | | |

**If matching funds are not required list any outside funds that are committed toward the project:**

**List any other grant program/funds, including IDNR grants, involved in the proposed project, previous or anticipated. If IDN Grant funds are included, list applicable project numbers and give a brief status, indicating whether completed or ongoing.**

☐ **If none, check box**

**8.) MUSEUM OPERATING INFORMATION:**

**Indicate the public museum's operating hours and days of the week:** _____

**If the public museum is open less than 1,000 hours per year, indicate the approximate number of hours:** _____

**Specify the public museum's annual operating expenditures:** $ _____

**If a grant is awarded and once the project is complete, will this cause public museum's operations to grow even if it is just indirect costs? If so, how will the public museum sustain the larger operational costs?**

**Provide the Cost Ratio per Visitor vs. Operational Dollars:** $ _____

**(example: total operational dollars ÷ attendance = cost per visitor)**

**9.) ADDITIONAL REQUIRED INFORMATION:**

**List the paid professional staff person(s) (Name, Title, and Professional Organization/Training/Certification) responsible for implementing the project. There must be one paid professional employee as per administrative rules, section 3200.10.**

**Provide the Mission Statement of the public museum:**

**Does the public museum present regularly scheduled programs and exhibits that use and interpret objects for the public?**

**☐ No ☐ Yes If yes, give a brief description:**

**Describe the public museum's collections:**

Note: The Department of Natural Resources reserves the right to seek documentary back up to the assertions in the above answers.

Resolution of Authorization

Public Museum Name: _____

Fiscal Sponsor (if applicable): _____

Project Title:

Name of entity that holds title to the project site:

Check to ensure entity holding title is a unit of local government: ☐

As the official duly designated to represent the public museum, I do hereby certify that the information presented in this grant application is true and correct. I do further certify that the project, if approved for funding through the Illinois Public Museum Capital Grants Program, will comply with all terms, conditions and regulations of 1) the Public Museum Capital Grant program (23 IL Adm. Code 3200); 2) the Illinois Grant Funds Recovery Act (30 ILCS 705); 3) the Illinois Human Rights Act (775 ILCS 5/1-101 et.seq.); 4) Title VI of the Civil Rights Act of 1964, (P.L. 83-352); 5) the Age Discrimination Act of 1975 (P.L. 94-135); 6) the Civil Rights Restoration Act of 1988, (P.L. 100-259); and 7) the Americans with Disabilities Act of 1990 (PL 101-336); and will maintain the project area in an attractive and safe condition, keep the facilities open to the general public during reasonable hours consistent with the type of facility; and in the Project Agreement and that the public museum:

a) Is a public museum that has been open to the public, for its instruction and enjoyment, for at least two years;

b) Is located upon land owned by and/or operated by a unit of local government;

c) Is an organized, permanent institution that is tax exempt under the regulations of the U.S. Internal Revenue Service;

d) Meets generally accepted professional standards and/or is accredited in one of the following types of programs: American Alliance of Museums, American Association for State and Local History; Association of Zoos and Aquariums, American Public Gardens Association, and other appropriate organizations;

e) Has a paid professional staff who commands an appropriate body of knowledge on presented subject matter;

f) Cares for and owns or utilizes tangible objects;

g) Is open to the public on a regular schedule and regularly collects attendance data and maintains sufficient records such that the attendance numbers can be audited;

h) Presents regularly scheduled programs and exhibits that use and interpret objects for the public according to accepted standards;

i) Has filed timely reports and complied with requirements for previous grant awards; and

j) Can provide matching funds of the following amount. Check one:

☐ no matching funds are required for a public museum with an attendance of **300,000 or less** during the preceding calendar year; or

☐ $1 of matching funds for each $1 of State money for a public museum with an attendance of **over 300,000 but less than 600,000** during the preceding calendar year; or

☐ $2 matching funds for each $1 of State money for a public museum with an attendance of **600,000 or more** during the preceding calendar year.

Resolution of Authorization

The _____ hereby certifies and acknowledges that it has 100% of the funds necessary to complete the pending Public Museum Capital project within the timeframes specified herein for project execution, and that failure to adhere to the specified project timeframe or failure to proceed with the project because of insufficient funds or change in local priorities is sufficient cause for project grant termination which will also result in the ineligibility of the public museum for subsequent grant assistance from the IDNR programs in the next two (2) consecutive grant cycles following project termination.

It is understood that the project should be completed within the timeframe established in the project agreement and the reimbursement request must be submitted within one year of the expiration date. Failure to do so will result in the public museum forfeiting all project reimbursements and relieves the Illinois Department of Natural Resources from further payment obligation on the grant.

Any grant funds expended by the fiscal sponsor on behalf of this public museum, the chief executive officer of the public museum hereby certifies:

1) that there is an ongoing relationship between the public museum and the fiscal sponsor;
2) that the fiscal sponsor may incur expenses for the public museum's project; and
3) that the fiscal sponsor may pay for incurred expenses for the public museum's project;
4) that grant funds will be used specifically for the public museum's project; and
5) that grant funds received by the public museum for reimbursement of IDNR approved expenses will be submitted to the fiscal sponsor for settlement of paid expenses.

The public museum does further certify that there is an ongoing relationship between the museum and the fiscal sponsor; that the fiscal sponsor may incur expenses for the museum's project; and that grant funds will be used specifically for the public museum's project.

The public museum does hereby further certify that it will indemnify, protect and hold harmless the State of Illinois, Department of Natural Resources and its representatives from any and all liabilities, costs, damages or claims arising as a direct or indirect result of the actions and/or omissions of public museum or its representatives in the construction, operation or maintenance of the above referenced project, and that the proposed facility will be operated and maintained in an attractive and safe manner, and open and available to the public without regard to race, color, sex, national origin, age, disability or place of residence in accordance with #23 IL Adm. Code 3200.

This Statement was duly acted upon and adopted by the public museum on the _____ day of _____ , 20 _____ .

Public Museum Chief Executive Officer: _____
Print Name Title

Organization Name: _____

Signature of Public Museum Chief Executive Officer: _____

Resolution of Authorization

**The fiscal sponsor agrees to the statements on MC/DOC-2 page 2 and will perform the following fiscal duties for the public museum:**

The fiscal sponsor is an affiliated entity that may expend funds on behalf of this public museum for which this public museum will request reimbursement. The fiscal sponsor assumes legal accountability, fiduciary oversight, fiscal management and other administrative services of this public museum for the purposes of this grant. Any grant funds expended by the fiscal sponsor on behalf of this public museum, the chief executive officer of the public museum must sign a statement certifying:

1) that there is an ongoing relationship between the public museum and the fiscal sponsor;
2) that the fiscal sponsor may incur expenses for the public museum's project; and
3) that the fiscal sponsor may pay for incurred expenses for the public museum's project;
4) that grant funds will be used specifically for the public museum's project; and
5) that grant funds received by the public museum for reimbursement of IDNR approved expenses will be submitted to the fiscal sponsor for settlement of paid expenses.

Fiscal Sponsor Chief Executive Officer: _____
Print Name Title

Organization: _____

Signature of Fiscal Sponsor Chief Executive Officer: _____

Instructions: Limit three, single spaced printed pages, minimum font size 11 point.

**1. Specifically describe how the grant funds will be used including identifying if they are only a component of a larger project.**

**2. If the grant funds are to fund a component of a larger project, clearly describe the project as a whole. If this is not the case, please answer with "N/A."**

**3. Describe the museum's capital long-range planning process and the level of planning that has been undertaken for the proposed project.**

**4. Describe how the overall project will improve the public museum's ability to meet its mission, enhance the experience of existing audiences, and expand its audiences, including reaching diverse and under-served groups.**

**5. Describe the level of community support for this project. Include documentation in Attachment 8.**

**6. Describe how the project will meet community needs as it relates to question 5 above.**

**8. Describe the public museum's ability to complete the project successfully including the availability of adequate financial resources, recognizing that the grant funds are distributed on a reimbursement basis.**

Public Museum Name: _____

Project Title:
Name of entity whose written procurement guidelines will be followed:

Check to ensure entity holding title is a unit of local government: ☐

**ESTIMATED PROJECT DEVELOPMENT COSTS**

- Clearly identify project costs to be expended with grant funds as well as matching funds (if applicable).
- Do not submit a lump sum budget.
- Costs should be broken down by major project components and budget categories.
- Contingency costs cannot be submitted as separate costs.
- Limit to number of lines needed to give a concise overview of the project costs.

| Project Components (Itemized) | Cost Estimate Incurred by Public Museum Grant Funds | Cost Estimate Incurred by Grantee/Fiscal Agent (Match) | Construction Method ** |
|---|---|---|---|
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| | | | |
| **(Round to the nearest $100) TOTAL** | $ | $ | |

** Construction Method Key: C - Contract; SS - Sole Supplier

(Note: The value of donated materials and donated (volunteer) labor are not eligible for reimbursement but can be used to reduce overall costs. **Force account labor is not an eligible capital expenditure.)**

Total Estimated Project Costs: $ _____

If applicable, identify architectural/engineering firm or firms to be used in completing project: _____

# REQUIRED DOCUMENTATION

The following documentation must also be provided and attached as part of this application:

- GATA Uniform Grant Application
- GATA Uniform Budget Template
- Attachment 1 – Application Fee
- Attachment 2 - Documentation of the public museum's not-for-profit status. See Guidelines for examples of documentation
- Attachment 3 – Documentation the Facility Open to Public Longer Than Two Years
- Attachment 4 - Accreditation of Facility (or Proof Standards have Been Met)
- Attachment 5 - Documentation of Land Ownership and/or Lease Agreement
- Attachment 6 - Annual Report sent to membership from the preceding year, or if not available, a current brochure describing the museum's programs
- Attachment 7 – Documentation of how site attendance is calculated
- Attachment 8 – Copy of Comprehensive/Master plan identifying project
  Copy of any Public Support associated with project (letters, public meetings, etc.)
- Attachment 9a & 9b - A Site Location Map along with Conceptual Development Plan(s), no larger than 11 x 17, include sketches and/or floor plans
- Attachment 9c – Current floor plans and/or Photographs of Area/Site to be Constructed/Remodeled
- Attachment 10 - Provide anticipated construction schedule for the project (Use quarterly time increments for the expenditure schedule of anticipated grant funds to the best of your knowledge or ability)
- Attachment 11– Comprehensive Environmental Review Process form (CERP) with the following documentation attached: ***(3 copies of form, map, & photos required)***
  - USGS 7.5 min. Topographic Map copied portion with project area marked
  - Photographs as described in directions.

The Museum Capital grant program requires a non-refundable **Application Fee** which shall be calculated as ¼ of 1% (0.0025%) of the grant request with a minimum fee of $100 and a maximum fee of $300.

This fee is **not** a reimbursable expense and **cannot** be included in the project budget.

EXAMPLES:

A $50,000 funding assistance request would require a $125 application fee
($50,000 x 0.0025 = $125)

A $750,000 funding assistance request would require a $300 application fee
($750,000 x 0.0025 = $1,875 which exceeds the $300 maximum)

The **Application Fee** shall be rounded up to the nearest whole dollar amount.

Applications submitted without the required Application Fee, or with an incorrect amount, will not be accepted by IDNR. Failure of an Initial Application Fee to clear the bank it is drawn against will result in the automatic denial and return of the application to the applicant without consideration.

Please submit this form with the project application and Initial Application Fee.

---

PUBLIC MUSEUM CAPITAL GRANT PROGRAM (Museum Capital)

**APPLICANT:** _____

**PROJECT TITLE:** _____

**TOTAL PROJECT COST:** _____

**TOTAL GRANT ASSISTANCE REQUEST:** _____
(Application fee based on this amount)

**INITIAL APPLICATION FEE AMOUNT ATTACHED:** _____
Must be in the form of a bank draft made payable to the "Illinois Department of Natural Resources"

**NOTE: Grant application fees submitted with this Museum Capital grant application will not be refunded by IDNR to the grant applicant. Grant application fees are tendered for consideration of the application only and do not imply any promise of financial assistance by IDNR.**

Please contact the Office of Grant Management and Assistance at (217) 782-7481 or dnr.grants@illinois.gov if you have any questions.

Attachment A-11

# ILLINOIS

**DEPARTMENT OF NATURAL RESOURCES**

# E.A.S. - CERP FORM

**CERP #:** **Due Date:**

## CULTURAL RESOURCES, ENDANGERED SPECIES & WETLANDS REVIEW REPORT

Public Museum Name: _____
Project Title/Site Name: _____
Contact Person: _____
Address _____
Phone: _____ Date: _____
Email: _____

Indicate Grant Program Type
X Public Museum Capital
___
___
___

Check appropriate response: ☐ New Project Application (*not previously reviewed/considered by IDNR)*
☐ Application Resubmittal*

*If resubmittal, indicate the year(s) previously submitted: _____

Has project proposal changed in scope or design layout from previous submittal(s)? ☐ Yes ☐ No
If this is a development project was the property acquired with IDNR funds? ☐ Yes ☐ No

**Project Location** ***(provide street address of project site)***

**Street Address and City:** _____ **County:** _____

**USGS Numeric Location Designation:** **Township:** _____ **Range:** _____ **Section:** _____

**Please attach**: 1) project site development plan
2) topographic map
*(Note: photocopy ONLY that portion of Topo map where project site is located. Copies should be no larger than 11" x 17".)*
***(Clearly delineate and identify the project site/park boundary on the map with a dashed black line)***

**Topographic maps may be obtained from:**
*Illinois State Geological Society*
*Champaign, IL*
*(217) 244-2414*

**Size of Project Site: _____ acres**

Topographical maps may also be available from local and/or regional planning commissions.

Does the project include tree removal? ☐ Yes ☐ No If yes, anticipated number to be removed: _____

Concise Project Description: (Also, attach 2 sets of color phots of any existing buildings/structures on project site.)

| **DEPARTMENT USE ONLY** | Approved | Approved w/ Restrictions* | Comments* | Grant Adm. |
|---|---|---|---|---|
| Cultural Resources | | | | |
| T&E Species/NP/Natural Area/LWR | | | | |
| Wetlands (Sec.404, see reverse side) | | | | |

* see attached letter/comments

OREP/RR&C/CERP Coordinator _____ Date _____

**Signature indicated IDNR CERP sign-off for ONLY the project information included in this submittal. Any changes must be resubmitted for review.**

**3 COPIES OF THIS FORM AND THE SPECIFIED ATTACHMENTS MUST BE SUBMITTED WITH APPLICATION**

**(SUBMIT THIS FORM, THE SPECIFIED ATTACHMENTS, AND PHOTOS FOR BUILDINGS AND STRUCTURES CONSTRUCTED PRE-1970. See checklist for number of copies required)**



**ILLINOIS DEPARTMENT OF NATURAL RESOURCES**
**COMPREHENSIVE ENVIRONMENTAL REVIEW PROCESS**

**PUBLIC MUSEUM GRANTS PROGRAM**



Complete this page **only** if your project building is pre-1970.

1. What is the status of the project? Circle one: Underway Completed Not yet started

   If underway, what part of the project has been completed to date? Provide a brief description.

2. Have any projects at this location been reviewed by the Illinois Historic Preservation Division? ☐ Yes ☐ No
   If Yes, provide a copy of the IHPA written review or details of their involvement.

3. Provide a site plan that shows proposed changes drawn into the existing features of the project site, including relevant landscaping.

4. Provide architectural plans/specifications or state when they will be available.

5. If an addition is planned, the plans/specifications need to indicate how it will be joined to or otherwise physically affect the original building/structure.

6. Provide a brief narrative regarding the project building's historical and developmental history. Include information as to the age of the structure; the architect/builder; what the building's purpose was originally, through the years, and currently; any modifications, alterations and/or additions. Attach any relevant supporting correspondence regarding historical significance.

7. Clear photographic images ( 3 hardcopy sets), each image no smaller than 4" x 4", are required for museum buildings or adjacent structures built prior to 1970 that will be impacted through external or internal modifications or changes to the fabric of the building. Submit images showing exterior views of all sides of the building. As needed, send additional images for affected areas showing details such as façade ornamentation, historic gutters, window damage, etc. If interior modifications are being made, also submit labeled mages showing the current areas to be modified.

**OVERVIEW**

Information contained on this form is used by Illinois DNR to evaluate compliance of the proposed project with three state laws protecting cultural resources, threatened and endangered species, and wetland resources. Results of the review will be indicated either on this signed form or an accompanying letter detailing anticipated impacts and compliance with state law.

**Cultural Resource Review**

Pursuant to Section 106 of the "National Historic Preservation Act of 1966" for federally assisted projects and the "Illinois State Agency Historic Resources Preservation Act" for state-assisted projects, ALL public museum grant projects must be reviewed for possible historic/cultural resource impacts. The Illinois DNR is responsible for ensuring compliance with these laws and will coordinate all necessary project reviews with the State Historic Preservation Office (SHPO). The historic value of buildings is determined in part by their age, architectural style, and building materials. These elements are to be considered in association with interior and exterior modifications proposed for the building, which may affect the structure's historic significance. Please include information on all of these elements within your project description. If impacts to historic resources are anticipated, the public museum is encouraged to consult with Illinois Department of Natural Resources as early in the planning process as possible. Contact person for IDNR is Dawn Cobb – 217-785-4992.

**Threatened & Endangered Species Consultation**

The Endangered Species Protection Act requires state and local units of government to consult with the DNR to determine the impacts of their actions in regard to endangered and threatened species. This process affords valuable protection to the 500 species of plants and animals listed as endangered or threatened within the state of Illinois. If a state listed species is known to occur within the vicinity of the proposed action, additional information will be required. If a determination is made that a listed species will be adversely impacted, recommendations will be made as to how those impacts may be avoided or minimized. **Threatened & Endangered Species consultation (sign-off) is valid for two (2) years. If project is not initiated within this time period, resubmittal is necessary.**

**Interagency Wetlands Policy Act of 1989**

A wetland is defined as land that has a predominance of hydric soils and is inundated or saturated by surface or groundwater at a frequency and duration sufficient to support, and that under normal circumstances does support, a prevalence of hydrophytic vegetation.

The Interagency Wetlands Policy Act (IWPA) of 1989 directs state agencies to preserve wetlands as a priority action. The provisions of the Act apply to all state and state supported actions including grants and other financial assistance provided by DNR to local units of government, private organizations or individuals.

The Act requires that all practicable alternatives be evaluated to *avoid* adverse wetland impacts. When avoidance is not possible then alternatives to *minimize* the adverse wetland, impact are to be considered. If adverse wetland impacts are still unavoidable, then *compensation* is required.

**Wetland Compensation Plan**

When unavoidable impacts to wetlands are evident, a wetland compensation plan must be developed and implemented that adequately compensates for the adverse impact. This is best accomplished by hiring a qualified firm to evaluate the wetland and associated impact. The DNR will review the wetland compensation plan and determine compliance with the Act.

The Act required compensation for reductions in the size or functional capability of the wetland. Interim requirements of the Act require a compensation ratio of 1.5 units of compensation per 1.0 unit of impact. Replacement of the wetland type is required (emergent wetland for emergent wetland, etc.) in a similar location in the landscape (flood plain, pothole, etc.). The compensation site should be located as near to the impacted wetland as practicable. It is preferable that the compensation site have hydric soils. The hydrology of the compensation site should closely resemble that of the affected wetland.

The wetland compensation plan should be completed either prior to or concurrently with the project. The public museum is required to certify that the compensation plan was successfully completed and annually monitor the success of the compensation wetland for at least three years.

**Relationship of Section 404 of the Clean Water Act**

The IWPA has many provisions like the Section 404 program. However, there are several differences. Section 404 regulates the placement of dredged and fill material into waters of the U.S., of which wetlands are a subset. The IWPA regulates any action that would adversely impact a wetland**. Compliance with either law does not ensure compliance with the other. Separate applications need to be submitted to DNR and Army Corps of Engineers.**

# PUBLIC MUSEUM GRANT BONDABILITY GUIDELINES

**GUIDELINES FOR CAPITAL EXPENDITURES FOR ILLINOIS PUBLIC MUSEUM CAPITAL GRANT PROJECTS**

The purpose of these guidelines is to prescribe the policies and principles to be followed in determining whether a specific project or class of projects is eligible to be funded from bond proceeds.

To be funded with the proceeds of a bond issued under state law, a project must be consistent with (1) Article VIII, Section 1 and Article IX, Section 9 of the 1970 Constitution of the State of Illinois; (2) other applicable substantive statutes; and (3) the appropriation authority. It is recognized, however, the general parameters set forth in these authorities do not permit a definition of all projects for which bond proceeds may be expended. To further define these purposes, bondability guidelines provide uniform references for the selection of specific projects or classes of projects to be funded thought the sale of general obligation bonds.

**General Guidelines for Utilization of Bond Proceeds**

A bondable capital project is one for which the expenditures generally include, but are not limited to, one or more of the following purposes: architectural planning and engineering design; demolition (in preparation for additional work); site preparation and improvement; utility work; new construction of buildings and structures; reconstruction or improvement of existing buildings or structures; initial furnishings and equipment integral to the project; and replacement of currently utilized assets by a better asset; expansion of existing buildings or facilities; and any other work which significantly increases the service potential of a building or structure.

Work that constitutes repairs, maintenance or remodeling of a limited nature or scope, which is not done as part of a larger bondable project, shall not be considered a bondable capital project. A nonbondable project is generally one that maintains or preserves the existing condition, use or size of a capital asset and which is neither in the nature of a betterment nor a change to the capital asset's condition, use or size. Generally, such work does not significantly add to the value of the capital asset nor appreciably prolong the life of the capital asset.

With the foregoing primary considerations in mind, the Department of Natural Resources will be guided by the following general principles in reviewing requests for funding a project with bond. To be eligible for funding with bond proceeds, the project must meet all of the following criteria:

1) The project expenses will not be recurring. In this context, recurring expenses are defined as those costs which are incurred for the same expenditure purpose subsequent to the completion f a bondable capital project, and at frequent or regular intervals over the life of the bonds issued to finance the project, but before the bondable expenses initially incurred for such purposes are completely amortized. An example would be the recurring cost to maintain a roof over the 20-year expected life of the roof. Although the "renovation" of the roof would be bondable in year 1 and year 21, recurring flashing work in that period would be a nonbondable recurring maintenance expense.

2) The project is of a durable nature and not consumed in use.

3) The project is not subject to inherent risk of failure, rapid technological obsolescence, or primarily intended to fulfill temporary requirements or needs.

4) The expenditure of project funds appreciably increases, I proves or enhances the interests of the entity, or its legally constituted subdivisions, in the property, land, building or asset to be developed, constructed or improved.

When applying these guidelines, the total scope of the work to be undertaken will be considered.

Individual elements of work, which would not be considered bondable when considered separately, may be included in a larger bondable project when the total scope of work meets the criteria set out in these guidelines.

Where bondable projects include or involve the purchase of equipment, the following conditions shall apply:

1) Any equipment purchased with the use of bond funds must not be subject to inherent risk of failure, rapid technological obsolescence, or primarily intended to fulfill temporary requirements or needs.

2) Bond funds are to be used only to acquire items that are considered as internal components and are necessary for the effective functioning of the projects. If considered separately this equipment may not have an extended useful life but since it is initially required, or cannot be separated from a functional project, it may be included.

**Specific Guidelines by Project Type**

The following guidelines set forth the appropriate utilization of and limitations applicable to the use of general obligation bond proceeds to fund various capital improvement projects and related expenditure purposes.

**Planning.** Bondable planning costs include those expenditures which are related to architectural planning and engineering design required for developing and implementing a specific bondable capital improvement project. Included are costs for preliminary technical studies developed from program statements that reflect the general functional characteristics and architectural requirements of a bondable capital improvement project, costs for the completion of construction documents and detailed working drawings required for bidding and construction, including any allowable reimbursables provided within an executed contract for professional and technical services. Also included as bondable planning costs are fees for construction management and observation.

Expenditures for general long-range development plans, master plans, facility surveys, historical or archaeological research, feasibility studies, program or scope statements, energy audits, or other expenditures similar in character shall not be considered bondable.

**Building, Additions or Structures.** Expenditures for the construction of new or the reconstruction of existing buildings, additions, or structures are a bondable expense. This category refers to those facilities with a roof or walls that have a foundation. This category also includes site development necessarily required or related to the preparation of a site for construction or reconstruction purposes; and required build-in, special purpose or other fixed equipment where such equipment is permanently affixed or connected to real property in such a manner that removal would cause consequent damage to the real property to which it is affixed. Also included in this category are expenditures for the installation or replacement of water control structures such as dams, culverts, aqueducts, drainage systems, locks, spillways, reservoirs, and channel improvements. Normally recurring expenses associated with water control structures or improvements are not bondable, unless part of a larger bondable project. Examples of nonbondable expenses include installation of rip rap, filter cloth, dredging and installation of plant materials

**Bondable work may include but is not limed to the following:**

1) New construction of buildings, structures, or facilities.

2) New construction of an addition or wing to an existing structure.

3) Reconstruction of an existing building or structure, which may include demolition, as well as installation of a new structural or interior walls, floors, ceilings, utilities, interior finishes, and equipment.

4) Exterior work, including exterior surface, structural or foundation work necessary to extend the useful life of the structure. The costs of repairs or maintenance normally anticipated to occur are

not bondable. Such non-bondable repairs and maintenance include patching concrete, filling of sealing cracks, painting, caulking, weatherproofing, sandblasting and cleaning. An aggregation of nonbondable repairs or maintenance does not constitute a bondable project even though the repairs or maintenance will be performed at the same time, thus resulting in a greater total project expense. Nor does the fact that the repairs are being undertaken as a result of deferred maintenance make the project bondable. Elements of work that are not bondable if considered separately may be included in a larger bondable project.

5) Roof work limited to removal of all or major portions of a roofing system down to the decking and replacement with a new system with a reasonable expectation to have an extended life. Replacement of insulation, decking, and other necessary structural work may be part of a bondable roof replacement project. Included in a bondable project may be stone or metal work and other work necessary to direct and control water drainage and ice formation. Nonbondable roof repairs include: Patching, replacing shingles, spot treatment with tar or other roof materials, adding gravel or other materials, or other repairs. Replacing gutters, downspouts, fascia and other work is not bondable as a project but may be included as part of a larger bondable roof replacement project.

6) Interior work, including major remodeling of areas here the function of the space is changed or substantially upgraded. Bondable interior work will generally involve the following elements of work: demolition, moving walls, new carpet or floor surfaces, new finishes, replacing electrical and plumbing facilities, changes to the heating or cooling system, and installation of new fixed or movable equipment. Nonbondable interior repairs or interior renovation include painting, plastering, sanding, replacing electrical and light fixtures, decorative remodeling, insulation, installing paneling, and handicapped accessibility improvements such as installing handrails, moving toilets, changing sink heights, and partitions. Telephones, water fountains and widening entrances. If, as part of an accessibility project a structural and permanent change to the facility is made, such as rebuilding an entrance to accommodate a concrete ram, the work may be considered bondable. An aggregation of nonbondable repairs or maintenance does not constitute a bondable project even though the repairs or maintenance will be performed at the same time, resulting in a greater total project expense. Nor does the fact that the repairs are being undertaken as a result of deferred maintenance make the project bondable. Elements of interior work that are not bondable if considered separately may be included in a larger bondable project.

**Life Safety and Codes.** The justification or need for such work determines program and budget priority but does not affect the source of funds to pay for the work. The criteria in these guidelines for interior and utility work will determine whether the proposed life safety or code project is bondable. Examples of nonbondable work, unless included in a larger bondable remodeling or reconstruction project, include installation of fire alarms, smoke detectors, fire doors and hall partitions, vent dampers, automatic door closers or connection of building monitoring systems to a central or off-site central monitor.

**Utilities.** Bondable utility costs include expenditures for the acquisition, construction, replacement, modification or extension of utility systems including: Construction or replacement of utility lines between buildings, replacement or installation f utilities to off-site supply systems, replacement of complete boiler or central air conditioning or ventilation systems. Bondable utility improvements include:

1) Provisions for potable water, high temperature water for sanitary or other related purposes, domestic hot or chilled water.

2) Systems and associated components for disbursing or providing electricity or telecommunications services, including underground or overhead distribution cables for television, computers, or other modes of communication.

3) Steam and condensate returns.

4) Storm and sanitary sewers.

5) Fire hydrant and stand pipes.

6) Central fire and security alert systems.

7) Lighting systems.

8) Tap-ons or extensions related to existing utility systems.

9) Automated temperature or environmental control systems, and air or water pollution control systems.

10) Provisions for the disposal of contaminated, radioactive, hazardous or surgical waste.

11) Solar heating or other approved energy systems as part of a bondable construction reconstruction project.

12) Sewage and water treatment facilities, equipment and related systems.

13) Earth moving to create artificial lakes, reservoirs for utility or related conservation purposes.

14) Restoration of natural and manmade features of the site of any utility's installation to its original conditions for erosion control.

15) Trenches or ditches dug for the purpose of laying tile or providing ducts to remove excessive rainfall and prevent erosion.

**Nonbondable utility repairs include** replacement of corroded, leaking, unsafe or undersized wiring or pipes inside a facility, repairs to stop leaks or replace boilers, adding controls or valves for energy conservation, replacement of thermostats or timers, installing meters or energy management computers or control or monitoring, installation or replacement of duct work or return air systems, adding heat reclaim systems, installing insulation, adding a solar heating or cooling system, installing telephone or communication systems such as paging or call systems, installing lines for television or computer monitoring for security or energy management.

**Site Improvements.** Bondable site improvement expenditures shall include all costs related to a bondable capital improvement project including demolition, rough and final grading of a site, and the construction or replacement of sidewalks, road and driveway pavement surfaces, bridges, ramps, curbs, overpasses, underpasses, pedestrian bridges and tunnels, surface parking areas, campground development, building terraces, retaining walls, exterior lighting, and seeding or sodding for erosion control. Installation of plant material or other landscaping costs are bondable only if included in a larger bondable capital improvement project. Site improvement projects not part of a larger capital project may be bondable if the structure or improvement provided is permanent and meets all other tests and requirements of these guidelines. Demolition of buildings, structure, removal of trees and plant material, grading, rerouting utilities and erosion control are bondable when they precede a bondable project to be undertaken on the same site. Clearing and or demolition of vacant buildings are bondable only when in preparation for a bondable construction project.

Bondable roadwork may include construction of a new road or parking lot, extension of a road or parking lot, or upgrading a road or parking lot to a significantly more permanent surface. Examples include upgrading from gravel to oil and chip, oil and chip to asphalt, or asphalt to concrete. The bondable road project includes all necessary signing, landscaping, erosion control, drainage, lighting, bridges, safety, and control structures. Repairs or resurfacing of existing roads to preserve and extend useful life are not bondable. Repairs to existing bridges such as sandblasting, painting, sealing or resurfacing are not bondable.

**Durable Moveable Equipment.** Durable moveable equipment is the initial movable equipment, other than build-in equipment, which is necessary and appropriate for the functioning of a particular facility for its specific purpose

and which will be used solely or primarily in the rooms or areas covered in the subject project. Further, such equipment is defined as manufactured items which have an extended useful life, are not affixed to a building and are capable of being moved or relocated from room to room or building to building, are not consumed in use, and have an identity and function which will not be lost through incorporation into a more complex unit. Equipment affixed or built into the building or structure is considered fixed equipment and is a bondable expense.

In applying the above definition, reference should be made to the State Finance Act and the distinction between Commodities (Chapter 127, Paragraph 151b) and Equipment (Chapter 127, Paragraph 156) as defined by that Act.

**The following items are bondable when such items are part of a larger bondable project:**

1) Office equipment and furnishings.

2) Machinery; implements; and major tools.

3) Scientific instruments and apparatus with the exception of those items which are subject to short useful life, i.e., glassware, tubing, crockery, light bulbs, etc. these items are more correctly defined as commodities.

4) Equipment not otherwise classified will be considered bondable provided it meets all other guidelines.

5) Items of equipment costing under $25 which are purchased in quantity, conform to all other guidelines and have a significant useful life of a minimum of 10 years. These items should be capable of identification for inventory control purposes.

6) Art-in-Architecture Program (which is part of the Capital Development Board).

**Non-Bondable expenses include:**

1) Commodities.

2) Library books, maps, and paintings, other than those purchased in the Art in Architecture Program.

3) Livestock.

4) Rolling stock of a specialized nature, including cars, trucks, boats, and related items.

5) Spare and replacement parts.

6) Items with a short useful life such as glassware, crockery, light bulbs, etc.

**<u>Other Expenditures</u>.**

**The following are operating or other types of expenditures that are specifically not bondable and should not be included in bondable capital project budget requests:**

1) Projects that cost less than $25,000.

2) Operational and administrative expenses, such as compensation costs, travel, commodities, non-initial equipment, or other recurring expenditures which are similar in character.

3) Lease payments for rental of equipment or facilities.

4) Costs for archaeological digs, research or exploration.

5) Costs of staff or resident labor and material.

6) Expenditures to acquire or construct temporary facilities or for facilities where abandonment or replacement is imminent.

7) Separate purchases of sand, gravel, rock, asphalt or concrete in limited quantities, ordinary hardware items, and temporary nondurable fencing.

8) Spare or replacement parts and equipment, hand tools, decorative models, plaques and other commemorative memorabilia, supplies or other commodities.

9) Purchase of automobiles, trucks, farm or construction equipment, boats or rolling stock.

10) Livestock or laboratory animals.

11) Unpredictable or unusual legal expenses (other than those associated with land acquisition) which are not ordinarily provided within the budget for a capital project.

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