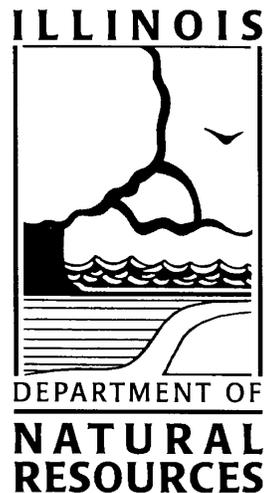


Illinois Public Museum Capital Grant Program

2014 Local Participation Manual



ILLINOIS STATE MUSEUM

PREFACE

The Illinois Department of Natural Resources (IDNR) administers the **Public Museum Capital** (PMC) grant program to assist eligible public museums which are owned by or on property owned by local units of government.

This manual provides detailed information on PMC program regulations, project eligibility requirements, grant funding priorities and application procedures and forms. Inquiries regarding this program should be directed to the DNR, Division of Grant Administration, One Natural Resources Way, Springfield, Illinois 62702-1271; Telephone: 217/782-7481, FAX: 217/782-9599 or e-mail: dnr.grants@illinois.gov Web address is www.dnr.illinois.gov click on on-line services.

Equal opportunity to participate in programs of the Illinois Department of Natural Resources (IDNR) and those funded by the U.S. Fish and Wildlife Service and other agencies is available to all individuals regardless of race, sex, national origin, disability, age, religion or other non-merit factors. If you believe you have been discriminated against, contact the funding source's civil rights office and/or the Equal Employment Opportunity Officer, IDNR, One Natural Resources Way, Springfield, Ill. 62702-1271; 217/785-0067; TTY 217/782-9175. The funding source for the LWCF program is the U.S. Department of the Interior, National Park Service. The address for the civil rights office is: Equal Opportunity Program Director, U.S. Department of the Interior, National Park Service, PO Box 37127, Washington, DC 20013-7127.

REVISED 12/2013

Printed by Authority of the State of Illinois

Reproduced Internally by the IDNR

SUMMARY OF SUBSTANTIVE CHANGES TO THE 2014 PMC

MANUAL AND PROGRAM

1. An **Application Fee** is now **required** from all entities submitting to this program for grant funding. Applications submitted without the required grant application fee or with an incorrect amount will not be accepted by IDNR. Refer to page 38 of the manual.
2. Applications are evaluated on specific criteria. **ALL** portions of the application must be filled out completely and concisely and all required documentation must be submitted with the application. Failure to do so will affect the points awarded to your project.
3. Only ***one*** (1) copy of the application and required documentation should be submitted. ***Three*** (3) copies of the CERP form and maps will still need to be attached.
4. For all awarded projects, status reports are required quarterly. January 1, April 1, July 1, and October 1. Status reports are MANDATORY. Failure to submit reports may jeopardize grant reimbursement.
5. Any project **awarded** grant funds will be subject to an Award Handling/Processing Fee due at the time the grant agreement is returned. Refer to page 15 of the manual.

HOW TO USE THIS MANUAL

This manual is designed to provide concise information on the PMC program and give instructions for making application to the IDNR for grant funding consideration. Read the manual carefully before applying and follow the application checklist and instructions closely. They are the guides for completing an accurate application.

Before completing an application, it is highly recommended that the IDNR grant staff be contacted at 217/782-7481 to discuss the proposed project informally. Contacting the IDNR staff may save time and trouble for the applicant if they are not sure if their organization or their project is eligible for this program.

NOTE: THE APPLICATION PERIOD FOR THE PMC PROGRAMS IS 45 DAYS FROM THE DATE THE APPLICATION PERIOD IS OPEN. **APPLICATIONS MUST BE SUBMITTED NO LATER THAN 5:00 PM ON THE 45TH DAY (or next official business day if falling on a weekend) TO BE ELIGIBLE FOR CONSIDERATION.** Applications received before or after the application period dates are not eligible.

TABLE OF CONTENTS

| | |
|---|----|
| Program Highlights | 5 |
| Section I - General Information | 7 |
| What is the PMC Program | 8 |
| Who Administers the PMC Program | 8 |
| Who is Eligible for PMC Assistance | 9 |
| What Kinds of Projects are Eligible for PMC Assistance | 10 |
| What Kinds of Projects are Ineligible for PMC Assistance | 11 |
| Section II - Project Application & Evaluation Criteria | 12 |
| How and When does an Eligible Entity apply for PMC Assistance | 13 |
| How Are Project Applications Evaluated | 13 |
| When Does an Eligible Entity Receive PMC Grant Reimbursement | 13 |
| Section III - Project Implementation Procedures | 14 |
| How is an Approved Project Implemented | 15 |
| Section IV - Application Instructions | 18 |
| Section V - Application Forms | 26 |
| Section VI - Bondability Guidelines | 43 |

PUBLIC MUSEUM CAPITAL (PMC) PROGRAM HIGHLIGHTS

The following are major program features:

1. The PMC program can provide up to 100% funding assistance (determined by facility attendance) to eligible entities to expand and upgrade facilities and create new exhibits and other physical facilities to enhance their abilities to meet their mission. Based on available funding sources and certification of eligibility, any public museum operated by and/or on property owned by a local unit of government in Illinois may be eligible to submit one application per grant cycle for a capital project.

PLEASE NOTE that actual funding assistance for approved projects is provided on a reimbursement basis after satisfactory completing the project at the 50% & 100% project completion levels. This means the local agency must possess the ability to initially finance the cost of an approved project prior to receipt of grant reimbursement. Approved projects should be completed by the grant agreement expiration date. Upon satisfactory project completion, the local agency submits a final project billing request to the IDNR showing proof of project completion and project cost/payment. (Detailed instructions for project billings are sent to the local agency at the time of project grant approval.)

2. PMC grants are awarded through a competitive application process. **Project applications must be received by IDNR within the 45 day application period.** Applications received after **5:00 pm** on the final day of application acceptance are returned as ineligible.
3. The maximum amount to be awarded during the FY2014 Public Museum Capital Grant Program is \$750,000. Projects will be reviewed solely on the merit of the application. No changes to the funding request will be initiated by the review committee as this could affect the bondability of the project. Applicants should plan accordingly.
4. All project costs incurred prior to IDNR approval, with the exception of eligible project architectural/engineering costs, are ineligible for PMC assistance. Only *PROPOSED* development projects are eligible for grant assistance.
5. Only public museums operated by or located on land owned by a unit of local governments are eligible for PMC assistance.
6. Project proposals must be for a single site; **multi-site projects are not eligible.** Public museums are limited to one development project proposal per grant cycle for funding consideration.
7. The Department 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. **Grant reimbursement is limited to actual eligible project costs or the approved grant amount, whichever is less.** Consequently, it is very important to estimate project costs carefully. Once a grant amount has been approved for a project, additional funds will not be available to cover project cost overruns.
8. 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 (local agency's employees) used to complete or assist in the completion of an approved development project is also NOT eligible for grant reimbursement.

9. See pages 10 - 11 regarding types of projects that are eligible and ineligible for PMC assistance. For proposed development projects, the local sponsor must possess adequate "control & tenure" over the project site by the time of application submittal (see Item D, page 14). The application will be returned if proof of ownership is not included. If you have any questions or doubts regarding project eligibility, it is strongly advised that DNR grant staff be contacted to discuss the project proposal.
10. Local agencies contemplating an application for PMC funding assistance are **strongly** encouraged to contact IDNR grants staff (217/782-7481) to discuss the proposed project for program eligibility and suitability. Discussions should occur before the application is completed.
11. **PLEASE NOTE: THE PMC PROGRAM NOW REQUIRES A NON-REFUNDABLE APPLICATION FEE EQUAL TO ¼ of 1% (0.0025%) OF THE GRANT REQUEST. SEE ATTACHMENT-1 IN THE ATTACHED PMC APPLICATION FORMS FOR DETAILED INSTRUCTIONS.**

SECTION I

GENERAL INFORMATION

What is the Public Museum Capital Grant Program?

The Illinois "*Public Museum Capital*" (PMC) 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 public entity's procurement guidelines to ensure the proper stewardship of said funds.

Who Administers the PMC Program?

The State agency responsible for administering the PMC program is the Illinois Department of Natural Resources (IDNR). 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 PMC 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 on page 13 of this manual.

What Entities are Eligible for PMC Assistance?

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

- Must be a public museum that has been open to the public, for its instruction and enjoyment, for at least two (2) years;
- It is operated by and/or located upon land owned 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 as in accreditation programs of the:
 - American Association of Museum
 - American Zoo and Aquarium Association
 - American Association of Botanical Gardens and Arboretums
 - Other appropriate organizations;
- Has a paid professional staff;
- 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.

What Types of Projects are Eligible for PMC Assistance?

PMC 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. Applications must be for a single project site and the local applicant must be capable of accomplishing the project in the specified PMC program time frame. See Section III of the manual for project implementation procedures and timelines.

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;
- 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

What Types of Projects are Ineligible for PMC Assistance?

In general, PMC 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 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 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 at 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.

SECTION II

PROJECT APPLICATION AND EVALUATION CRITERIA

How and When does a Public Museum Apply for Assistance?

The PMC 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 45 day application window** to be considered in that year's PMC grant cycle. Applications received before the opening date or after 5:00 pm on the closing date will be returned as ineligible (no exceptions). Prior to initiating an application, it is strongly recommended that IDNR grant staff be contacted at 217/782-7481 to discuss the proposed project. Considerable time and effort may be saved by doing so.

How are Local Project Applications Evaluated?

Local project applications are evaluated on a competitive basis since funds available through the PMC 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 OSLAD/LWCF assistance:

- Project Need and Justification - points are awarded based on information provided by the applicant by completing the application carefully and concisely. **9 point max.**
- Other Considerations – points are awarded based on if the project is a new/unique opportunity; uses green technology; addresses ADA/life safety issues. **4 points max.**
- Performance/Penalty Factors – points added or reduced because of applications completeness, responding to requests in a timely manner or not, past grant performance, facility maintenance. **+6 to -18 point reduction max.**
- Additional Reviewer Considerations – **10 points max.**

When does a Public Museum Receive PMC Grant Payment?

The PMC program operates on a reimbursement basis. No project costs can be incurred until after IDNR approval, with the exception of 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 to bill at 50% project completion, it is not mandatory to do so. Any billing submitted must include all required documentation.

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.

SECTION III

PROJECT IMPLEMENTATION PROCEDURES

How is an Approved PMC Project Implemented?

Once a project is approved for PMC assistance, a Project Agreement (grant contract) will be issued to the local project sponsor outlining the approved project scope and costs, grant amount, and program compliance responsibilities. The approval date indicated on the Project Agreement commences the project period for which incurred project costs are eligible for PMC reimbursement. Development costs incurred prior to the designated project approval date, with the exception of necessary architectural/engineering fees*, are ineligible for PMC 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, 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 PMC 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
($\$200,000 \times 0.01 = \$2,000$)

A \$750,000 grant award would require a \$5,000 Grant Award Fee
($\$750,000 \times 0.01 = \$7,500$ 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 \times 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 without the required Grant Award Fee, or with an incorrect amount, will not 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 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 development 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 PMC 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, 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 local agency to verify compliance with the applicable State statutes.

- 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 construction contracts awarded on approved PMC 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 the manner by which 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 the purpose of making audit, examination, excerpts and transcriptions.

- F. During the course of 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 “status reports” during the course of 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” indicated on the Project 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.
 - 2) Completed “Project Billing Performance Report” submitted with reimbursement documents.
 - 3) Schedule of Project Expenditure **and** Schedule of Professional Services and Publicly Bid Project Contracts.
 - 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.

SECTION IV

APPLICATION INSTRUCTIONS

**** PLEASE READ THOROUGHLY ****

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

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.

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".

Attachments should be submitted to:

Illinois Department of Natural Resources
Division of Grant Administration
One Natural Resources Way
Springfield, IL 62702

Documents will NOT be returned.

General

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

PMC/DOC-1 Application Form

1) Public Museum Information:

- a) Enter the public museum name; the address where it is located; county where the public museum is located; its web site address; and the year the public museum was established.
- b) Enter the Federal Employer Identification Number (FEIN) belonging to the organization to which the grant funds will be issued. Indicate if the FEIN belongs to the public museum or the fiscal agent the public museum will be using.
- c) Enter the public museum's Illinois Senate District # and the Senator's name. Enter the public museum's Illinois House District # and the Representative's name. Enter the public museum's U.S. Congressional District # and the Congressional Representative's name. This is based on the actual project site not administrative offices or the main museum campus location.

2) Project Title & Description:

- a) Enter the title of the proposed project. (required)
- b) 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 PMC/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.
- c) Estimated Project Costs. Enter the estimated project costs including the amount of matching funds. **Round to the nearest \$100.**

3) Contact Information – Public Museum:

- a) The public museum information should only be entered here. If the CEO of the public museum is affiliated with the fiscal agent, enter that organization here. If no fiscal agent is involved (Item 4), then 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.

4) Contact Information – Fiscal Agent:

Fiscal agent information should be entered here only if the fiscal agent organization is not the public museum and if the fiscal agent will receive funds and/or incur costs for the public museum. The CEO named here will be the recipient of all correspondence regarding the grant application (e.g., award and deficiency letters, contracts)

5) Local Government:

- a) Provide the name of the unit of local government that either operates or owns the property on which the public museum is located. 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) 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, if required. Enter the source of the matching funds. List all matching funds to be provided. Mark (X) if the funds are local or private. Provide the dollar amount that is available or needed. “Matching funds” means local government and/or private funds committed to the project. State and federal funds are not eligible for matching funds.

- g) If matching funds are required and *not yet secured* the public museum must identify how those funds will be secured.
- h) Even if matching funds are not required, identify any outside funds committed to the project. Providing other funds committed to the project shows a level of commitment from the public museum.
- i) 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.

7) 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 funded, describe the public museum's ability to provide operating costs to cover any change the project will cause.
- d) Provide the cost per visitor to operate the facility using this formula: (Formula: Total Operational Dollars ÷ Attendance = Cost Per Visitor).

8) 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.
- 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) Describe the type of collections in the public museum's care.

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

- a) Attachment 1: the Application Fee form should be completed and a check with the correct amount submitted with the application.
- b) 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 and signed by the Chief Financial Officer.

- c) Attachment 3: Documentation of ownership/lease agreement.
- d) Attachment 4: 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.
- e) Attachment 5: Provide documentation of how site attendance is calculated.
- f) Attachment 6: Copy of Comprehensive/Master plan identifying project. This should include copies of any public support associated with the project.
- g) Attachment 7: Provide a copy of the 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 at a later date, submit it to the grants office as soon as possible.
- h) Attachment 8: 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.
- i) Attachment 9: Comprehensive Environmental Review Process form (CERP) (3 copies required)
 - USGS 7.5 min. Topographic map copied portion with project area marked
 - include photos

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

PMC/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. (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.
- 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.
- 7) If grant funds will be issued to a fiscal agent on behalf of the public museum, the fiscal agent CEO should sign the Statement, indicating that there is an ongoing relationship with the public museum and the fiscal agent.

PMC/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) Indicate if the project will be complete and open to the public at the end of the two (2) year grant cycle. If it will not, justification why funds should be used on this project is necessary.
- 4) Describe the public museum's long range capital planning process and the level of planning that has been undertaken for the proposed project.
- 5) 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.
- 6) Describe the level of community support for this project. (i.e.: Has the general public request this type of exhibit or upgrade; has this been discussed in a community forum; etc.)
- 7) Describe how the project will meet community needs. (i.e.: new exhibit has been requested for a specific purpose; life safety issues being met; energy efficiency; etc.)
- 8) 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.

PMC/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 sufficient 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 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 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 a 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 to the nearest \$100.**
- 5) Provide the combined total estimated project costs. **Round all costs 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.
- **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 of 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 Hal Hassen, 217-524-3759.

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 Data 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 3 (Provided with the grant application.)
- Check project type(s).
- Indicate if the building was built pre or post 1960.
- 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-1960s 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's/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 clear digital images showing exterior views of all sides of the building. If interior modifications are being made, digital images should also be submitted showing the areas to be modified. Submit one CD containing all images. You do not need to duplicate the CD when you make duplicates of the CERP and CERP attachments as per the Application Checklist requirements.

SECTION V

PMC 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)*

FY 2014
ILLINOIS PUBLIC MUSEUM CAPITAL GRANT PROGRAM
APPLICATION CHECKLIST

- | | | |
|--------------------------|----------------|---|
| <input type="checkbox"/> | Form PMC/DOC-1 | Application Forms (4 pages) |
| <input type="checkbox"/> | Form PMC/DOC-2 | Statement by the Public Museum CEO (2 pages) |
| <input type="checkbox"/> | Form PMC/DOC-3 | Project Narrative |
| <input type="checkbox"/> | Form PMC/DOC-4 | Development Data |
| <input type="checkbox"/> | Attachment 1 | Application Fee |
| <input type="checkbox"/> | Attachment 2 | Copy of Not-for-Profit Documentation |
| <input type="checkbox"/> | Attachment 3 | Documentation of Ownership or Lease Agreement |
| <input type="checkbox"/> | Attachment 4 | Annual Report (publication sent to membership from the previous year describing public museum activities) |
| <input type="checkbox"/> | Attachment 5 | Documentation of Attendance Calculations |
| <input type="checkbox"/> | Attachment 6 | Comprehensive and/or Master Plan |
| <input type="checkbox"/> | Attachment 7 | Conceptual Development Plan(s) |
| <input type="checkbox"/> | Attachment 8 | Construction Schedule |
| <input type="checkbox"/> | Attachment 9 | Comprehensive Environmental Review Process form (CERP) |
| <input type="checkbox"/> | | USGS 7.5 min. Topographic Map copied portion with project area marked |
| <input type="checkbox"/> | | Digital images |

Assemble Application Forms (PMC/DOC1 through PMC/DOC4) separately from required Attachments. Do not staple; binders or paper clips are acceptable. Submit 1 original of completed Application Forms and of each Attachment in the order listed on the Application Checklist. Mail to:

Public Museum Grants Program
Department of Natural Resources
Attn: OAEG, Division of Grants
One Natural Resources Way
Springfield IL 62702

In order to receive full consideration, applications must be complete and received in our Office by **5:00 p.m. on Monday February 3, 2014.**

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

Questions regarding this application package should be directed to the grants office by calling 217/782-7481 or visit the website at www.museum.state.il.us/programs/musgrants .

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.) 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).
 Visitation is over 300,000 but less than 600,000 (1:1 match required)
 Visitation is 600,000 or more (2:1 match required)

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

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

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. Specify the dollar amount that is available or needed.

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

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

If matching funds are required *and* not yet secured, specify how you intend to secure the matching funds:

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 IDNR Grant funds are included, list applicable project numbers and give a brief status, indicating whether completed or ongoing.

If none, check box

7.) 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: \$ _____

Will the Museum's Operating budget change if this project is funded? Is so describe how the Museum will absorb any additional costs this project would have on future operating budgets.

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

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

8.) ADDITIONAL REQUIRED INFORMATION:

List the paid professional staff person(s) (Name, Title, and Professional Organization) 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:

9.) REQUIRED DOCUMENTATION

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

- 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 of ownership/lease agreement
- Attachment 4 - Provide Annual Report sent to membership from the preceding year, or if not available, a current brochure describing the museum's programs.
- Attachment 5 – Provide documentation of how site attendance is calculated.
- Attachment 6 – Copy of Comprehensive/Master plan identifying project
Copy of any Public Support associated with project (letters, public meetings, etc.)
- Attachment 7 - Provide Conceptual Development Plan(s), no larger than 11 x 17, include sketches or photos.
- Attachment 8 - 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 9 – Comprehensive Environmental Review Process form (CERP) with the following documentation attached: **(3 copies required)**
 - USGS 7.5 min. Topographic Map copied portion with project area marked
 - Digital images

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

| | |
|--|-------|
| Public Museum Name: | _____ |
| Fiscal Agent (if applicable): | _____ |
| Project Title: | _____ |
| Name of entity that will hold title to the project site: | _____ |
| Check if 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 be completed in accordance with provisions set forth in Title #23 IL Adm. Code 3200 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 operated by or located upon land owned 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 as in the accreditation programs of the American Association of Museums, American Zoo and Aquarium Association, American Association of Botanical Gardens and Arboretums, and other appropriate organizations;
- e) Has a paid professional staff;
- 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.

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.

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:

Organization Name: _____

Signature of Public Museum Chief Executive Officer: _____

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

If grant funds are to be issued to a fiscal agent on behalf of the public museum, the fiscal agent Chief Executive Officer should sign below, indicating that there is an ongoing relationship with the public museum and the fiscal agent.

Fiscal Agent Chief Executive Officer:

Organization: _____

Signature of Fiscal Agent Chief Executive Officer: _____

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

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.

3. Will this project be complete and open to the general public at the end of the 2 year grant period? If not, provide justification why public funds should be expended on this project.

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

5. 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.

6. Describe the level of community support for this project.

7. Describe how the project will meet community needs.

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 that will hold title to the project site: _____

Check if 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 ** |
|---|---|--|------------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| (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: _____

The PMC grant program requires a non-refundable **Application Fee** which shall be calculated as $\frac{1}{4}$ 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 \times 0.0025 = \125)

A \$750,000 funding assistance request would require a \$300 application fee
($\$750,000 \times 0.0025 = \$1,875$ 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 (PMC)

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 PMC 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 DNR Division of Grant Administration at 217/782-7481 or dnr.grants@illinois.gov if you have any questions.

**ILLINOIS DEPARTMENT OF NATURAL RESOURCES
COMPREHENSIVE ENVIRONMENTAL REVIEW PROCESS (CERP) FORM**

(page 1 of 3)

PUBLIC MUSEUM GRANTS PROGRAM FY2014

Public Museum: _____ Contact Person: _____
 Address: _____ email: _____
 Phone: _____ Date: _____
 Project Title: _____

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

Project Location

Street Address and City: _____ County: _____
 Numeric Township: _____ Range: _____ Section: _____

Please attach: Photocopy of a 7.5 min. USGS topographic map showing the portion where the project site is located with the building and affected grounds clearly indicated. Maps may be downloaded from Illinois Natural Resources Geospatial Data Clearinghouse or purchased online at <http://isgs.illinois.edu> or from *Illinois State Geological Survey, Natural Resources Building, 615 East Peabody Drive, Champaign, 61820 tel. 217-333-4747 or 217-265-7307 or e-mail: isgs@isgs.illinois.edu*

Project Conceptual Development Plan(s): Attachment 3 (Provided with the grant application)
 Project type: Check (what is applicable)
 Building Expansion External Building Modification Internal Building Modifications
 Exhibits Other
 Project building is: Post-1960 Pre-1960: (If project building is pre 1960 you will need to complete CERP Form page 2.)
 Does the project include tree removal? Yes No If yes, anticipated number to be removed _____

Concise Project Description
 (Provide details on work locations, material types, ages of the affected components, and reason for the undertaking. Attach additional sheets as needed.)

| 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/comr | | | | |
| 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. | |

(SUBMIT THIS FORM, THE SPECIFIED ATTACHMENTS, AND DIGITAL PHOTOS FOR BUILDINGS AND STRUCTURES CONSTRUCTED PRE-1960. See checklist for number of copies required)

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

Complete this page **only** if your project building is pre-1960.

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 Agency? 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 digital images (7 hardcopy sets and 1CD of jpeg files), each image no smaller than 4" x 4", are required for museum buildings or adjacent structures built prior to 1960 that will be impacted through external or internal modifications or changes to the fabric of the building. Submit digital 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 local agency 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 Hal Hassen – 217-524-3759.

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 regards 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 project sponsor 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 similar to 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.**

SECTION VI

PMC 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 appropriational 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 through 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 of 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 of 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, and 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, improves 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 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 limited 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, this 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 reasonable expected 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, 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, this 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 of 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 utilities 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 Act.

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.

Other Expenditures.

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.

Approved by IDNR Legal Counsel 01/19/03.