

**Uniform Notice for Funding Opportunity (NOFO)  
Summary Information  
FY18 Version**

<b>Data Field</b>		
1.	Awarding Agency Name:	Illinois Department of Transportation
2.	Agency Contact:	Christy Davis (Christy.Davis@Illinois.gov)
3.	Announcement Type:	<input checked="" type="checkbox"/> Initial announcement <input type="checkbox"/> Modification of a previous announcement
4.	Type of Assistance Instrument:	Grant
5.	Funding Opportunity Number:	18-1000-13
6.	Funding Opportunity Title:	Illinois Transportation Enhancement Program (ITEP)
7.	CSFA Number:	494-00-1000
8.	CSFA Popular Name:	ITEP
9.	CFDA Number(s):	20.205
10.	Anticipated Number of Awards:	unknown
11.	Estimated Total Program Funding:	<b>\$40,000,000</b>
12.	Award Range	Up to \$2,000,000 maximum per project
13.	Source of Funding:	Mark all that apply <input checked="" type="checkbox"/> Federal or Federal pass-through <input type="checkbox"/> State <input type="checkbox"/> Private / other funding
14.	Cost Sharing or Matching Requirement:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
15.	Indirect Costs Allowed  Restrictions on Indirect Costs	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, provide the citation governing the restriction:
16.	Posted Date:	April 2017
17.	Application Range:	Applications will be accepted from October 2, 2017 through December 1, 2017 until 4:30 CST
18.	Technical Assistance Session:	Session Offered: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Session Mandatory: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Specify date and time: Provide link to registration, if applicable:

## NOFO Supplemental (Agency-specific Content for the NOFO)

### A. Program Description

The ITEP is a competitive grant reimbursement program. It is a federally funded program that requires local matching funds from an eligible project sponsor. The purpose is to provide funding for community based projects that expand travel choices and enhance the transportation experience by improving the cultural, historic, aesthetic and environmental aspects of our transportation infrastructure. The program focuses on providing alternate modes of transportation where the scope of transportation projects goes beyond the traditional accommodations for cars, trucks and transit. Typical projects include bicycle/pedestrian trails and streetscape projects. In order to be eligible for ITEP funding, a project must demonstrate a relationship to surface transportation by either serving a transportation need or providing a transportation use or benefit. Projects for recreational purposes only are ineligible.

### B. Funding Information

The ITEP is funded with a set-aside of Surface Transportation Block Grant (STBG) program funding for transportation alternatives authorized under Section 1109 of the FAST Act (23 U.S.C. 133(h)).

### C. Eligibility Information

1. **Eligible Applicants** Eligible project sponsors are local entities with taxing authority that can guarantee matching funds to carry out the proposed project. Sponsors assume responsibility and accountability for the use and expenditure of program funds. Applicants and/or implementing agencies must be able to comply with all the federal and state laws, regulations, policies and procedures required to enter into project agreements. Under 23 U.S.C. 213(c)(4)(B), the eligible entities to receive enhancement funds are: local governments; regional transportation authorities; transit agencies; natural resource or public land agencies; school districts, local education agencies or schools; tribal governments; nonprofit entities responsible for administration of local transportation safety programs; and any other local or regional government entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of this subsection.
2. **Cost Sharing or Matching** Eligible items are reimbursed at either an 80/20 or a 50/50 rate (i.e. eighty percent or fifty percent is federal enhancement funding matched by twenty or fifty percent sponsor share). The following types of work are eligible for up to eighty percent cost reimbursement: preliminary engineering, utility relocations, construction engineering, and construction. Right-of-way, easements, and street lighting are eligible for up to fifty percent cost reimbursement. The project sponsor is responsible for 100 percent of any ineligible costs.
3. **Indirect Cost Rate** Negotiated, although generally not used in the ITEP
4. **Other, if applicable** N/A

### D. Application and Submission Information

1. **Address to Request Information Package** Information about the ITEP can be found at:  
<http://www.idot.illinois.gov/transportation-system/local-transportation-partners/county-engineers->

and-local-public-agencies/funding-opportunities/ITEP. E-mails may be sent to DOT.ITEP@Illinois.gov.

2. Content and Form of Application Submission Applications are accepted on-line through the ITEP application database during an open call for projects. Additional application information and guidance can be found on the ITEP website.
3. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM) All applicants must have a DUNS number and must be registered with SAMs.
4. Submission Dates and Times October 2, 2017 through December 1, 2017 until 4:30 CST. Applications will not be accepted after that time.
5. Intergovernmental Review, if applicable N/A
6. Funding Restrictions The maximum per-project ITEP award is \$2,000,000. All awarded funds must be used according to deadlines established in the award notification letters and Sunset Clause, or funds will be rescinded.
7. Other Submission Requirements Project applications must be submitted in one of the following eligible funding categories: pedestrian/bicycle facilities; streetscapes; conversion of abandoned railroad corridors to trails; historic preservation and rehabilitation of historic transportation facilities; vegetation management in transportation rights-of-way; archaeological activities relating to impacts from implementation of a transportation project; storm water management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff; reduce vehicle-caused wildlife mortality or restore and maintain connectivity among terrestrial or aquatic habitats; and construction of turnouts, overlooks and viewing areas.

#### E. Application Review Information

1. Criteria Review criteria can be found in Section H of the ITEP Guidelines Manual on the ITEP website. Some review criteria includes: eligibility; strength of transportation relationship; public benefits and accessibility; connectivity; project support/local commitment; and project sponsor capacity, readiness and past performance.
2. Review and Selection Process Project selection and approval information can also be found in Section H of the ITEP Guidelines Manual. Projects are reviewed and scored by transportation professionals statewide. A selection committee reviews the top 30% of the highest scoring projects and compiles a recommended list of projects to be funded.
3. Anticipated Announcement and State Award Dates, if applicable Spring 2018

#### F. Award Administration Information

1. State Award Notices All applicants receive a notification letter from IDOT after project announcements regardless of whether they were awarded ITEP funds or not.
2. Administrative and National Policy Requirements N/A
3. Reporting Individual project sponsor grantee reporting requirements will be based on risk assessment scores. With regard to overall program reporting, the FHWA is responsible for generating a report on the status of Transportation Alternatives in connection to Section 1109 (b)(7) of the FAST Act (23 U.S.C. 133(h)(7)). The ITEP falls under this reporting category. IDOT will work with the FHWA on this report, and it will be submitted annually to the U.S. Secretary of

Transportation on the status of Transportation Alternatives activities and project details, and it will be available to the public.

G. State Awarding Agency Contacts

Christy Davis, Statewide ITEP Coordinator - E-mail: Christy.Davis@Illinois.gov Phone: 217-785-8492

H. Other Information – Certifications and Assurances, and other information if applicable

Certifications:

1. **Bribery:** Applicant certifies that it has not been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, nor made an admission of guilt of such conduct which is a matter of record (30 ILCS 500/50-5).
2. **Bid Rigging:** Applicant certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Paragraph 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3 or 720 ILCS 5/33E-4, respectively).
3. **Debt to State:** Applicant certifies that neither it, nor its affiliate(s), is/are barred from receiving an Award because Applicant, or its affiliate(s), is/are delinquent in the payment of any debt to the State, unless Applicant, or its affiliate(s), has/have entered into a deferred payment plan to pay off the debt, and Applicant acknowledges Grantor may declare the Agreement void if the certification is false (30 ILCS 500/50-11).
4. **Internal Revenue Code Compliance:** Applicant certifies that it does and will comply with all provisions of the Federal Internal Revenue Code (26 USC 1), the Illinois Revenue Act (35 ILCS 5), and all rules promulgated thereunder, including withholding provisions and timely deposits of employee taxes and unemployment insurance taxes.
5. **Lobbying:** Applicant certifies that it has not paid prior grant funds, or upon receiving an Award and Grant Agreement, will not be paying Grant Funds by or on behalf of Applicant to any person for influencing or attempting to influence an officer or employee of any government agency, a member of Congress or Illinois General Assembly, an officer or employee of Congress or Illinois General Assembly, or an employee of a member of Congress or Illinois General Assembly in connection with the awarding of any agreement, the making of any grant, the making of any loan, the entering into of any cooperative or intergovernmental agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative or intergovernmental agreement. 31 USC 1352. Additionally, Applicant certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.
  - i. **Federal Form LLL:** If any funds, other than Federally-appropriated funds, were paid or will be paid to any person for influencing or attempting to influence any of the above persons in connection with a Uniform Application for State Grant Assistance and subsequent Award and Agreement, the undersigned must also complete and submit Federal Form LLL, Disclosure of Lobbying Activities Form, in accordance with its instructions.
  - ii. **Lobbying Costs:** Applicant certifies that it is in compliance with the restrictions on lobbying set forth in 2 CFR Part 200.450. For any Indirect Costs associated with a Grant Agreement pursuant to an Award, total lobbying costs shall be separately identified in the Program Budget, and thereafter treated as other Unallowable Costs.
  - iii. **Procurement Lobbying:** Applicant warrants and certifies that it and, to the best of its

knowledge, its sub-grantees, if Applicant intends to use sub-grantees upon issuance of an Award and subsequent Grant Agreement, have complied and will comply with Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits Grantees and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments, if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.

- iv. **Sub-awards:** If Applicant is issued an Award and subsequent, Grant Agreement, and intends to utilize sub-Grantees, Applicant certifies it will include the language of this certification in the award documents for any sub-awards made pursuant to this Award at all tiers. All sub-awardees are also subject to certification and disclosure. Pursuant to Appendix II(I) to 2 CFR Part 200, Applicant shall forward all disclosures by contractors regarding this certification to Grantor.
6. **Educational Loan:** Applicant certifies that it is not barred from receiving State awards or agreements as a result of default on an educational loan (5 ILCS 385/1 *et seq.*).
  7. **International Boycott:** Applicant certifies that neither it nor any substantially owned affiliated company is participating or shall participate in an international boycott in violation of the provision of the U.S. Export Administration Act of 1979 (50 USC Appendix 2401 *et seq.* or the regulations of the U.S. Department of Commerce promulgated under that Act (15 CFR Parts 730 through 774).
  8. **Dues and Fees to a Discriminatory Club:** Applicant certifies that it is not prohibited from receiving an Award because it pays dues or fees on behalf of its employees or agents, or subsidizes or otherwise reimburses them for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/1 *et seq.*).
  9. **Pro-Children Act:** Applicant certifies that it is in compliance with the Pro-Children Act of 2001 in that it prohibits smoking in any portion of its facility used for the provision of health, day care, early childhood development services, education or library services to children under the age of eighteen (18), which services are supported by Federal or State government assistance (except such portions of the facilities which are used for inpatient substance abuse treatment) (20 USC 7181-7184).
  10. **Drug-Free Work Place:** If Applicant is not an individual, Applicant certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act. 30 ILCS 580/3. If Applicant is an individual and the Award applied for is valued at more than \$5,000, Applicant certifies it shall not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance during the performance of the Agreement. 30 ILCS 580/4. Applicant further certifies that it is in compliance with the government-wide requirements for a drug-free workplace as set forth in 41 USC 8102.
  11. **Motor Voter Law:** Applicant certifies that it is in full compliance with the terms and provisions of the National Voter Registration Act of 1993 (52 USC 20501 *et seq.*).
  12. **Clean Air Act and Clean Water Act:** Applicant certifies that it is in compliance with all applicable

standards, order or regulations issued pursuant to the Clean Air Act (42 USC §7401 *et seq.*) and the Federal Water Pollution Control Act, as amended (33 USC §1251 *et seq.*).

13. **Debarment:** Applicant certifies that it is not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this Agreement by any Federal department or agency (45 CFR Part 76), or by the State (See 30 ILCS 708/25(6)(G)).
14. **Non-procurement Debarment and Suspension:** Applicant certifies that it is in compliance with Subpart C of 2 CFR Part 180 as supplemented by 2 CFR Part 376, Subpart C.
15. **Grant for the Construction of Fixed Works:** Applicant certifies that all Programs for the construction of fixed works which are financed in whole or in part with funds provided by this Notice of Funding Opportunity shall be subject to the Prevailing Wage Act (820 ILCS 130/0.01 *et seq.*) unless the provisions of that Act exempt its application. In the construction of the Program, Applicant shall comply with the requirements of the Prevailing Wage Act including, but not limited to, inserting into all contracts for such construction a stipulation to the effect that not less than the prevailing rate of wages as applicable to the Program shall be paid to all laborers, workers, and mechanics performing work under the Award and requiring all bonds of contractors to include a provision as will guarantee the faithful performance of such prevailing wage clause as provided by contract.
16. **Health Insurance Portability and Accountability Act:** Applicant certifies that it is in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law No. 104-191, 45 CFR Parts 160, 162 and 164, and the Social Security Act, 42 USC 1320d-2 through 1320d-7, in that it may not use or disclose protected health information other than as permitted or required by law and agrees to use appropriate safeguards to prevent use or disclosure of the protected health information. Applicant shall maintain, for a minimum of six (6) years, all protected health information.
17. **Criminal Convictions:** Applicant certifies that neither it nor any officer, director, partner or other managerial agent of Applicant has been convicted of a felony under the Sarbanes-Oxley Act of 2002, nor a Class 3 or Class 2 felony under Illinois Securities Law of 1953, or that at least five (5) years have passed since the date of the conviction. Applicant further certifies that it is not barred from receiving an Award under 30 ILCS 500/50-10.5, and acknowledges that Grantor shall declare the Award and subsequent Grant Agreement void if this certification is false (30 ILCS 500/50-10.5).
18. **Forced Labor Act:** Applicant certifies that it complies with the State Prohibition of Goods from Forced Labor Act, and certifies that, if it receives an Award and subsequent Grant Agreement, no foreign-made equipment, materials, or supplies furnished to the State under the Agreement have been or will be produced in whole or in part by forced labor, convict labor, or indentured labor under penal sanction (30 ILCS 583).
19. **Illinois Use Tax:** Applicant certifies in accordance with 30 ILCS 500/50-12 that it is not barred from receiving an Award under this Paragraph. Applicant acknowledges that the Award and subsequent Grant Agreement may be declared void if this certification is false.
20. **Environmental Protection Act Violations:** Applicant certifies in accordance with 30 ILCS 500/50-14 that it is not barred from receiving an Award. Grantee acknowledges that the Award and

subsequent Grant Agreement may be declared void if this certification is false.

21. **Goods from Child Labor Act:** Applicant certifies that no foreign-made equipment, materials, or supplies furnished to the State under a Grant Agreement executed pursuant to an Award have been or will be produced in whole or in part by the labor of any child under the age of twelve (12) (30 ILCS 584).
22. **Federal Funding Accountability and Transparency Act of 2006:** Applicant certifies that it is in compliance with the terms and requirements of 31 USC 6101. Applicant further certifies it does and will comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (P.L. 109-282) (FFATA) with respect to Federal Awards greater than or equal to \$25,000. A FFATA sub-award report must be filed by the end of the month following the month in which the award was made.
23. **Compliance with Uniform Grant Rules (2 CFR Part 200):** Applicant certifies that it shall adhere to the applicable Uniform Administrative Requirements, Cost Principles, and Audit Requirements, which are published in Title 2, Part 200 of the Code of Federal Regulations, and are incorporated herein by reference. See 44 Ill. Admin. Code 7000.30(b)(1)(A).
24. **Compliance with Non-Discrimination Laws:** Applicant, its employees and subcontractors under subcontract made pursuant to an Award and subsequent Grant Agreement, certifies that it shall comply with all applicable provisions of State and Federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to, the following laws and regulations and all subsequent amendments thereto:
  - (a) The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), including, without limitation, 44 Illinois Administrative Code Part 750, which is incorporated herein;
  - (b) The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*);
  - (c) The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a- and 2000h-6). (See *also* guidelines to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons [Federal Register: February 18, 2002 (Volume 67, Number 13, Pages 2671-2685)]);
  - (d) Section 504 of the Rehabilitation Act of 1973 (29 USC 794);
  - (e) The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*); and
  - (f) The Age Discrimination Act (42 USC 6101 *et seq.*).

II. Assurances:

1. **Applicant Standing and Authority:** Applicant assures it is duly organized, validly existing and in good standing under the laws of the State in which it was incorporated or organized and that it has the requisite power and authority to:
  - i. Execute and deliver the Uniform Application for State Grant Assistance on behalf of the Applicant;

- ii. Execute and file the required certifications, assurances, Intergovernmental Agreements and Grant Agreements on behalf of the Applicant binding the Applicant;
- iii. Execute Grant Agreements, Intergovernmental Agreements, and all other documents to be executed by Applicant in connection with the Award and subsequent Agreement with Grantor on behalf of the Applicant.
- iv. Upon receiving an award and subsequent Intergovernmental Agreement or Grant Agreement, perform its obligations hereunder and to consummate the transactions contemplated within the Agreement.
- v. If Applicant is organized under the laws of another jurisdiction, Applicant warrants that it is also duly qualified to do business in Illinois and, if applicable, is in good standing with the Illinois Secretary of State.

**2. General Assurances:**

- i. Applicant assures it will comply with all applicable State, Federal and local laws and State administrative regulations in carrying out any project supported by a State of Illinois Grant Agreement or Intergovernmental Agreement, and any and all license requirements or professional certification provisions.
- ii. Applicant agrees that it is under a continuing obligation to comply with the terms and conditions of the Grant Agreement or Intergovernmental Agreement with Grantor issued for its project.
- iii. Where applicable, Applicant assures it will comply with applicable State and Federal statutes, Federal regulations and Grantor administrative rules regarding confidential records or other information obtained by Applicant concerning persons served under an Intergovernmental Agreement or Grant Agreement. The records and information shall be protected by Applicant from unauthorized disclosure.
- iv. Applicant recognizes that Federal and State laws and regulations may be modified from time to time, and those modifications may affect project implementation. The Applicant understands that Presidential executive orders, executive orders from the Office of the Governor, Federal and State directives, including policies and program guidance may be issued concerning matters affecting the Applicant or the project.
- v. The Applicant agrees that the most recent Federal and State laws, regulations, and directives will apply to the project, unless Grantor issues a written determination otherwise.

**3. Registration Assurance:** Applicant assures it and any sub-grantees it might intend to utilize shall:

- i. be registered with the Federal SAM;
- ii. be in good standing with the Illinois Secretary of State, if applicable; and
- iii. have a valid DUNS number.

Applicant understands its responsibility to remain current with these registrations and requirements. If Applicant's status with regard to any of these requirements change, or the certifications made in and information provided in the Uniform Application for State Grant Assistance changes, Applicant must notify the Grantor.

**4. Gift Ban Assurance:** Applicant understands it is prohibited from giving gifts to State employees and assures it will not give any gifts pursuant to Officials and Employees Ethics Act (5 ILCS 430/10-10) and Executive Order 15-09.



5. **Freedom of Information Act (FOIA) Assurance:** Applicant assures that upon request, Applicant shall make available to Grantor all documents in its possession that Grantor deems necessary to comply with requests made under the Freedom of Information Act. (5 ILCS 140/7(2)).

Other information, if applicable:

For questions about GATA requirements, please e-mail: DOT.GATA@Illinois.gov

## **Agency-specific Content for the Notice of Funding Opportunity Instructions**

### **A. Program Description**

This section contains the full program description of the funding opportunity, including the purpose of the program and the program objectives. It may be as long as needed to adequately communicate to potential applicants the areas in which funding may be provided. It describes the State awarding agency's funding priorities (which may be dictated by Federal requirements if the funds are Federal or Federal pass-through) or the technical or focus areas in which the State awarding agency intends to provide assistance.

As appropriate, it may include any program history (e.g., whether this is a new program or a new or changed area of program emphasis). This section may communicate indicators of successful projects (e.g., if the program encourages collaborative efforts) and may include examples of projects that have been funded previously. This section also may include other information the State awarding agency deems necessary, and must at a minimum include citations for authorizing statutes and regulations for the funding opportunity.

Goals and measurement (Performance Measures) for the program should be outlined in this section. 2 CFR 200.76 defines a performance goal as a target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. The agency should specify clear performance goals, indicators or milestones including timing and scope of expected performance as related to the outcomes intended to be achieved by the program. The agency must require the grantee to relate financial data to performance accomplishments of the award. Performance should be measured in a way that helps the state agency improve program outcomes, share lessons learned and spread the adoption of promising practices. Program-specific requirements should ultimately be aligned with agency strategic goals, results areas and outcomes as supported by the Illinois Performance Reporting System (IPRS).

### **B. Funding Information**

This award is utilizing federal pass-through, state and/ or private funds. [Agency will specify.]

This section provides sufficient information to help an applicant make an informed decision about whether to submit a proposal. Relevant information could include the total amount of funding that the State awarding agency expects to award through the announcement; the anticipated number of State awards; the expected amounts of individual State awards (which may be a range); the amount of funding per State award, on average, experienced in previous years; and the anticipated start dates and periods of performance for new State awards; the allowable and unallowable costs (or expenses).

This section also should address whether applications for renewal or supplementation of existing projects are eligible to compete with applications for new State awards. This section also must indicate the type(s) of assistance instrument (e.g., grant or cooperative agreement) that may be awarded if applications are successful.

The agency must instruct the applicant to submit a project plan that describes how the award will be executed. The project plan should include necessary detail to enable the agency to manage the grant agreement activity against planned project performance.

### C. Eligibility Information

This section addresses the considerations or factors that determine applicant or application eligibility. This includes the eligibility of particular types of applicant organizations, any factors affecting the eligibility of the principal investigator or project director, and any criteria that make particular projects ineligible. State agencies should specify whether an applicant's failure to meet an eligibility criterion by the application deadline will result in the State awarding agency returning the application without review or, even though an application may be reviewed, will preclude the State awarding agency from making a State award.

An entity may not apply for a grant until the entity has registered and pre-qualified through the Grant Accountability and Transparency Act (GATA) website, [www.grants.illinois.gov](http://www.grants.illinois.gov), Grantee Links tab. Registration and pre-qualification are required annually. During pre-qualification, verifications are performed including a check of federal Debarred and Suspended and status on the Illinois Stop Payment List. An automated email notification to the entity alerts them of "qualified" status or informs how to remediate a negative verification (e.g., inactive DUNS, not in good standing with the Secretary of State). A federal Debarred and Suspended status cannot be remediated.

Key elements to be addressed are:

1. **Eligible Applicants.** Announcements must clearly identify the types of entities that are eligible to apply. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, it is important to be clear about the specific types of entities that are eligible, not just the types that are ineligible. For example, if the program is limited to nonprofit organizations subject to 26 U.S.C. 501(c)(3) of the tax code (26 U.S.C. 501(c)(3)), the announcement should say so. Eligibility also can be expressed by exception, (e.g., open to all types of domestic applicants other than individuals). This section should include references to specifying documentation that must be submitted to support an eligibility determination (e.g., proof of 501(c)(3) status as determined by the Internal Revenue Service). To the extent that any funding restriction could affect the eligibility of an applicant or project, the announcement must either restate that restriction in this section or provide a cross-reference to its description.

Agencies should seek cultural inclusion among grantees. The agency must comply with all applicable provisions of state and federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to: The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*), The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a-and 2000H-6), Section 504 of the Rehabilitation Act of 1973 (29 USC 794), The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*), and The Age Discrimination Act (42 USC 6101 *et seq.*).

2. **Cost Sharing or Matching.** Announcements must state whether there is required cost sharing, matching, or cost participation. If cost sharing is not required, the announcement must explicitly say so. Required cost sharing may be a certain percentage or amount, or may be in the form of contributions of specified items or activities (e.g., provision of equipment). The announcement must be clear about any restrictions on the types of cost (e.g., in-kind contributions) acceptable as cost sharing. Cost sharing as an eligibility criterion includes requirements based in statute or regulation, as described in § 200.306 Cost Sharing or Matching. This section should refer to the appropriate portion(s) of Application and Submission Information stating any pre-award

requirements for submission of letters or other documentation to verify commitments to meet cost-sharing requirements if a State award is made.

- 3. Indirect Cost Rate.** In order to charge indirect costs to a grant, the applicant organization must have an annually negotiated indirect cost rate agreement (NICRA). There are three types of NICRAs: a) Federally Negotiated Rate. Organizations that receive direct federal funding, may have an indirect cost rate that was negotiated with the Federal Cognizant Agency. Illinois will accept the federally negotiated rate. The organization must provide a copy of the federally NICRA. b) State Negotiated Rate. The organization must negotiate an indirect cost rate with the State of Illinois if they do not have Federally Negotiated Rate. Or the organization may elect to use the De Minimis Rate. If an organization has not previously established an indirect cost rate, an indirect cost rate proposal must be submitted to the State of Illinois through the indirect cost rate system, CARS, no later than three months after the effective date of the award. If an organization previously established an indirect cost rate, the organization must annually submit a new indirect cost proposal through CARS within six months after the close of the grantee's fiscal year. All grantees must complete an indirect cost rate negotiation or elect the De Minimis Rate in CARS to claim indirect costs. Indirect costs claimed without an established negotiated rate or a De Minimis Rate election in CARS may be subject to disallowance. c) De Minimis Rate. An organization that has never received a Federally Negotiated Rate may elect a de minimis rate of 10% of modified total direct cost (MTDC). Once established, the de minimis rate may be used indefinitely. The State of Illinois must verify the calculation of the MTDC annually in order to accept the de minimis rate.

Limitations on indirect costs restrict the amount and/or type of indirect costs that are allowed to be charged to grant awards. Indirect cost limitations and restrictions must be clearly stated in this section. For example, the grant award may be subject to state and federal statutory requirements that limit the allowability of costs. The maximum amount allowable under a limitation cannot exceed the total amount under the NICRA. State and federal statutes may restrict the amount of salary that can be charged to a grant award, if the base salary exceeds the Federal Executive Level II Pay Scale. If additional statutory restrictions or limitations are imposed, such as parameters for direct administrative costs, facility costs, and indirect administrative cost levels, those restrictions or limitations must be stated in this section. The statutory reference or guidance imposing the indirect cost limitation or restriction must also be stated within this section.

Grantees have discretion not to claim payment for indirect costs. Grantees that elect not to claim indirect costs cannot be reimbursed for indirect costs. The organization must record an election of "No Indirect Costs" into CARS.

- 4. Other, if applicable.** If there are other eligibility criteria (e.g., criteria that make an application or project ineligible for State awards such as "responsiveness", "go-no go", or "threshold" criteria), it must be clearly stated and must include a reference to the regulation of requirement that describes the restriction, as applicable. For example, if entities that have been found to be in violation of a particular Federal or State statute are ineligible, it is important to say so.

This section must state any limit on the number of applications an applicant may submit under the announcement and make clear whether the limitation is on the submitting organization, individual investigator/program director, or both. This section should also address any eligibility criteria for beneficiaries or program participants other than Federal pass-through or State award recipients.

## D. Application and Submission Information

- 1. Address to Request Application Package.** Potential applicants must be told how to get application forms, kits, or other materials needed to apply. (If this announcement contains everything needed, this section should specify that all application materials are provided through this announcement). An Internet address for accessing materials is acceptable. However, since high-speed Internet access is not yet universally available for downloading documents, and applicants may have additional accessibility requirements, there must also be a way for potential applicants to request paper copies of materials (e.g., U.S. Postal Service mailing address, telephone

or FAX number, Telephone Device for the Deaf (TDD), Text Telephone (TTY) number, and/or Federal or State Information Relay Service (FIRS) number).

**2. Content and Form of Application Submission.** This section must identify the required content of an application and the forms or formats that an applicant must use to submit the application if requirements are stated elsewhere. This section should refer to where those requirements may be found. This section also should include required forms or formats as part of the announcement or state where the applicant may obtain them. This section should specifically address content and form or format requirements for:

i. Pre-applications, letters of intent, or white papers required or encouraged, including any limitations on the number of pages or other formatting requirements similar to those for full applications.

ii. The application as a whole. For all submissions, this would include any limitations on the number of pages, font size and typeface, margins, paper size, number of copies, and sequence or assembly requirements. If electronic submission is permitted or required, this could include special requirements for formatting or signatures.

iii. Component pieces of the application (e.g., if all application copies must bear original signatures on the face page or the program narrative may not exceed 10 pages). This includes any pieces that may be submitted separately by third parties (e.g., references or letters confirming commitments from third parties that will be contributing a portion of any required cost sharing).

iv. Information that successful applicants must submit after notification of intent to make a State award, but prior to a State award. This could include evidence of compliance with requirements relating to human subjects or information needed to comply with the National Environmental Policy Act (NEPA) (42 U.S.C. 4321-4370h).

This information should be displayed so it is easy to understand and use. A summary table may help applicants by becoming a checklist to verify the completeness of their application package before submission.

**3. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM).** This paragraph must state clearly that each applicant (unless the applicant is an individual or Federal or State awarding agency that is exempt from those requirements under 2 CFR § 25.110(b) or (c), or has an exception approved by the Federal or State awarding agency under 2 CFR § 25.110(d)) is required to:

(i) Be registered in SAM before submitting its application. To establish a SAM registration, go to [www.SAM.gov](http://www.SAM.gov) and/or utilize this instructional link: [How to Register in SAM](#) from the [www.grants.illinois.gov](http://www.grants.illinois.gov) Resource Links tab.

(ii) Provide a valid DUNS number in its application; and

(iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal, Federal pass-through or State award or an application or plan under consideration by a Federal or State awarding agency. It also must state that the State awarding agency may not make a Federal pass-through or State award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the State awarding agency is ready to make a Federal pass-through or State award, the State awarding agency may determine that the applicant is not qualified to receive a Federal pass-through or State award and use that determination as a basis for making a Federal pass-through or State award to another applicant.

**4. Submission Dates and Times.**

Announcements must identify due dates and times for all submissions. Competitive funding opportunities must be available for application for at least forty-five (45) calendar days. No funding opportunity should be available for less than 30 calendar days unless exigent circumstances require as determined by the state awarding agency. This includes not only the full application but also any preliminary submissions (e.g., letters of intent, white papers, or pre-applications). It also includes any other submissions of information before State award that are separate from the full application.

If the funding opportunity is a general announcement that is open for a period of time with no specific due dates for applications, this section should say so. Note that the information on dates that are included in this section also must appear in the Summary Information). Each type of submission should be designated as encouraged or required and, if required, any deadline date (or dates, if the State awarding agency plans more than one cycle of application submission, review, and State award under the announcement) should be specified. The announcement must state (or provide a reference to another document that states):

- i. Any deadline in terms of a date and local time. If the due date falls on a Saturday, Sunday, or Federal or State holiday, the reporting package is due the next business day.
- ii. What the deadline means (e.g., whether it is the date and time by which the State awarding agency must receive the application, the date by which the application must be postmarked, or something else) and, the submission method (e.g., mail, electronic, or personal/courier delivery).
- iii. The effect of missing a deadline (e.g., whether late applications are neither reviewed nor considered or are reviewed and considered under some circumstances).
- iv. How the receiving State office determines whether an application or pre-application has been submitted before the deadline. This includes the form of acceptable proof of mailing or system-generated documentation of receipt date and time.

This section also may indicate whether, when, and in what form the applicant will receive an acknowledgement of receipt.

5. ***Intergovernmental Review, if applicable.*** If the funding opportunity is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs," the notice must say so. In alerting applicants that they must contact their state's Single Point of Contact (SPOC) to find out about and comply with the state's process under Executive Order 12372. If applicable, inform potential applicants that the names and addresses of the SPOCs are listed in the Office of Management and Budget's Web site.
6. ***Funding Restrictions.*** Notices must include information on funding restrictions in order to allow an applicant to develop an application and budget consistent with program requirements. Examples include: specification of unallowable activity, limits on direct costs such as foreign travel or equipment purchases, limits on indirect costs (or facilities and administrative costs). Applicants must be advised if State awards will not allow reimbursement of pre-award costs.
7. ***Other Submission Requirements.*** This section must address any other submission requirements not included in the other paragraphs of this section. This might include the format of submission (e.g., paper or electronic, for each type of required submission). Applicants should not be required to submit in more than one format. This section should indicate whether they may choose to submit applications in hard copy or electronically, or if a hard copy or electronic copy is required.

This section also must indicate where applications (and any pre-applications) must be submitted if sent by postal mail, electronic means, or hand-delivery. For postal mail submission, this must include the name of an office, official, individual or function (e.g., application receipt center) and a complete mailing address. For electronic submission, this must include: URL or email address; whether a password(s) is required; whether particular

software or other electronic capabilities are required; what to do in the event of system problems and a point of contact who will be available in the event the applicant experiences technical difficulties.<sup>1</sup>

## E. Application Review Information

1. **Criteria.** This section must address the criteria that the State awarding agency will use to evaluate applications. This includes the merit and other review criteria that evaluators will use to judge applications, including any statutory, regulatory, or other preferences (e.g., minority status preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to make the application process transparent so applicants can make informed decisions when preparing their applications to maximize fairness of the process. The announcement should clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned).

If an applicant's proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion), the announcement must specifically address how it will be considered (e.g., to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, the announcement should state this so there is no ambiguity. Vague statements that cost sharing is encouraged without clarification as to what that means are unhelpful to applicants. It also is important that the announcement be clear about any restrictions on the types of cost (e.g., in-kind contributions) that are acceptable as cost sharing.

2. **Review and Selection Process.**

In addition to the narrative from the Merit Based Review Policy, the announcement must list any program policy or other factors or elements, other than merit criteria, that the agency may use in selecting applications for State award (e.g., geographical dispersion, program balance, or diversity). The State awarding agency may also include other appropriate details such as who is responsible for evaluation against the merit criteria (e.g., peers external to the State awarding agency or State awarding agency personnel) and/or who makes the final selections for State awards. If there is a multi-phase review process (e.g., an external panel advising internal State awarding agency personnel who make final recommendations to the deciding official), the announcement must specify the phases and may describe the phases. It also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. The appeal process must also be specified pursuant to the Merit Based Review Policy.

With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each State awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

If the State awarding agency permits applicants to nominate suggested reviewers of their applications or suggest those they feel may be inappropriate due to a conflict of interest, that information should be included in this section.

3. **Anticipated Announcement and State Award Dates, if applicable.** This section is intended to provide applicants with information they can use for planning purposes. If there is a single application deadline followed by the simultaneous review of all applications, the State awarding agency can include in this section information about the anticipated dates for announcing or notifying successful and unsuccessful applicants and for having State awards in place. If applications are received and evaluated on a "rolling" basis at different times during an

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<sup>1</sup> With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each State awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

extended period, it may be appropriate to give applicants an estimate of the time needed to process an application and notify the applicant of the State awarding agency's decision.

## F. Award Administration Information

1. **State Award Notices.** This section must address what a successful applicant can expect to receive following selection. The State awarding agency must provide the successful applicant a Notice of State Award (NOSA) which specifies the funding terms and specific conditions resulting from the pre-award risk assessments. The NOSA must be signed and returned by an authorized representative of the grantee organization. Use this section to indicate that the NOSA is not an authorization to begin performance or incur costs. This section should indicate whether the NOSA will be provided through postal mail or by electronic means and to whom. This section may also address the timing, form, and content of notifications to unsuccessful applicants. See also §200.210 Information contained in a State award.
2. **Administrative and National Policy Requirements.** This section must identify the usual administrative and national policy requirements of the State awarding agency. This section should reference the detailed indirect cost rate requirements and limitations as stated in Section C. 3. Indirect Cost Rate. Early notification about the requirements allows the potential applicant to decide if they should and/or could apply or to take needed actions before receiving the State award. The NOFO need not include all of the terms and conditions of the State award, but must refer to the Notice of State Award (NOSA) to be distributed by the awarding agency prior to issuance of a grant agreement. The NOSA will specify the terms and conditions of the award.

If this funding opportunity will lead to State awards with special terms and conditions that differ from the State awarding agency's "general" terms and conditions, this section should highlight those special terms and conditions. The announcement should inform potential applicants about special requirements that could apply to particular State awards after the review of applications and other information, based on the particular circumstances of the effort to be supported (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements). The state awarding agency's terms and conditions are also specified in the NOSA.

3. **Reporting.** This section must include general information about the type (e.g., financial and performance), frequency, and means of submission (paper or electronic) of post- State award reporting requirements. Highlight any special reporting requirements for State awards under this funding opportunity that differ (e.g., by report type, frequency, form/format, or circumstances for use) from what the State awarding agency's State awards usually require.

## G. State Awarding Agency Contact(s)

The announcement must give potential applicants a point(s) of contact for answering questions or helping with problems while the funding opportunity is open. The intent of this requirement is to be as helpful as possible to potential applicants, so the State awarding agency should consider approaches such as giving:

1. Points of contact who may be reached in multiple ways (e.g., by telephone, FAX, and/or email, as well as regular mail).
2. A fax or email address that multiple people access, so that someone will respond even if others are unexpectedly absent during critical periods.
3. Different contacts for distinct kinds of help (e.g., one for questions of programmatic content and a second for administrative questions)

## **H. Other Information – Certifications and Assurances, and other information if applicable**

This section includes the certifications and assurances, and may include any additional information that will assist a potential applicant. For example, the section might also:

1. Indicate whether this is a new program or a one-time initiative.
2. Mention related programs or other upcoming or ongoing State awarding agency funding opportunities for similar activities.
3. Include current Internet addresses for State awarding agency Web sites that may be useful to an applicant in understanding the program.
4. Alert applicants to the need to identify proprietary information and inform them about the way the State awarding agency will handle it.
5. Include certain routine notices to applicants (e.g., that the State government is not obligated to make any State award as a result of the announcement or that only grants officers can bind the State government to the expenditure of funds).

### **Mandatory Forms -- Required for All Agencies**

**(except for programs for which an approved exception has been recorded)**

1. Uniform State Grant Application
2. Project Narrative
3. Budget
4. Budget Narrative