



LOCAL PUBLIC AGENCY

Local Public Agency	County	Section Number
County of McHenry	McHenry	21-00532-00-BR

Fund Type	ITEP, SRTS, HSIP Number(s)	MPO Name	MPO TIP Number
LBFP		CMAP	11-21-0022

<b>Engineering</b>		<b>Right-of-Way</b>	
State Job Number	Project Number	State Job Number	Project Number
D-91-014-22	BVIM(733)		
<input type="checkbox"/> Local Administered Engineering	<input type="checkbox"/> Right-of-Way	<input type="checkbox"/> Other	

LOCATION

Local Street/Road Name	Key Route	Length	Stationing	
Paulsen Road	TR 114	0.01	To	From

Location Termini
Over North Branch Kishwaukee River

Current Jurisdiction	Existing Structure Number(s)	
Township	056-3071	<input type="button" value="Remove"/>

PROJECT DESCRIPTION

Phase II Engineering for the bridge replacement on Paulsen Road over North Branch Kishwaukee River.
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This Agreement is made and entered into between the above local public agency, hereinafter referred to as the "LPA" and the State of Illinois, acting by and through its Department of Transportation, hereinafter referred to as the "STATE". The STATE and LPA jointly proposes to improve the designated location as described in the Location and Project Description sections of this agreement. The improvement shall be developed by, or on behalf of the LPA and approved by the STATE using the STATE's policies and procedures approved and/or required by the Federal Highway Administration, hereby referred to as "FHWA".

## I. GENERAL

- 1.1 Availability of Appropriation; Sufficiency of Funds. This Agreement is contingent upon and subject to the availability of sufficient funds. The STATE may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if (i) sufficient funds for this Agreement have not been appropriated or otherwise made available to the LPA by the STATE or the federal funding source, (ii) the Governor or STATE reserves funds, or (iii) the Governor or STATE determines that funds will not or may not be available for payment. The STATE shall provide notice, in writing, to LPA of any such funding failure and its election to terminate or suspend this Agreement as soon as practicable. Any suspension or termination pursuant to this Section will be effective upon the date of the written notice unless otherwise indicated.
- 1.2 Domestic Steel Requirement. The project plans and specifications will specify domestic steel as required by Section 106.01 of the current edition of the Standard Specifications for Road and Bridge Construction and comply with federal Build America-Buy America provisions.
- 1.3 Federal Authorization. That this Agreement and the covenants contained herein shall become null and void in the event that the FHWA does not approve the proposed improvement for Federal-aid participation within one (1) year of the date of execution of this agreement.
- 1.4 Severability. If any provision of this Agreement is declared invalid, its other provisions shall not be affected thereby.
- 1.5 Termination. This Agreement may be terminated, in whole or in part, by either Party for any or no reason upon thirty (30) calendar days' prior written notice to the other Party. If terminated by the STATE, the STATE must include the reasons for such termination, the effective date, and, in the case of a partial termination, the portion to be terminated. If the STATE determines in the case of a partial termination that the reduced or modified portion of the funding award will not accomplish the purposes for which the funding award was made, the STATE may terminate the Agreement in its entirety.

This Agreement may be terminated, in whole or in part, by the STATE without advance notice:

- a. Pursuant to a funding failure as provided under Article 1.1.
- b. If LPA fails to comply with the terms and conditions of this funding award, application or proposal, including any applicable rules or regulations, or has made a false representation in connection with the receipt of this or any award.

## II. REQUIRED CERTIFICATIONS

This Agreement and the LPA's obligations and services hereunder are hereby made and must be performed in compliance with all applicable federal and State laws, including, without limitation, federal regulations, State administrative rules, and any and all license requirements or professional certification provisions.

- 2.1 Compliance with Uniform Grant Rules (2 CFR Part 200). The LPA 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.
- 2.2 Compliance with Registration Requirements. LPA certifies that: (i) is registered with the federal SAM system; (ii) is in good standing with the Illinois Secretary of State, if applicable; (iii) have a valid DUNS Number; (iv) have a valid UEI, if applicable. It is LPA's responsibility to remain current with these registrations and requirements.
- 2.3 Bribery. The LPA certifies to the best of it's knowledge that it's officials have 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).
- 2.4 Bid Rigging. LPA 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).
- 2.5 Debt to State. LPA certifies that neither it, nor its affiliate(s), is/are barred from receiving an Award because the LPA, or its affiliate(s), is/are delinquent in the payment of any debt to the STATE, unless the LPA, or its affiliate(s), has/have entered into a deferred payment plan to pay off the debt, and STATE acknowledges the LPA may declare the Agreement void if the certification is false (30 ILCS 500/50-11).
- 2.6 Debarment. The LPA certifies to the best of its knowledge and belief that it's officials:
  - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;

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- b. have not within a three-year period preceding this agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State anti-trust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements receiving stolen property;
- c. are not presently indicated for or otherwise criminally or civilly charged by a governmental entity (Federal, State, Local) with commission of any of the offenses enumerated in item (b) of this certification; and
- d. have not within a three-year period preceding the agreement had one or more public transactions (Federal, State, Local) terminated for cause or default.

- 2.7 Criminal Convictions. The **LPA** certifies that neither it nor any managerial agent of **LPA** 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. The **LPA** further certifies that it is not barred from receiving an funding award under 30 ILCS 500/50-10.5 and acknowledges that **STATE** shall declare the Agreement void if this certification is false (30 ILCS 500/50-10.5).
- 2.8 Improper Influence. The **LPA** certifies that no funds have been paid or will be paid by or on behalf of the **LPA** 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 agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative agreement. 31 USC 1352. Additionally, the **LPA** certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.
- 2.9 Telecom Prohibition. The **LPA** certifies that it will comply with Section 889 of the FY 2019 National Defense Authorization Act (NDAA) that prohibits the use of telecommunications or video surveillance equipment or services produced provided by the following companies: Dahua Technology Company, Hangzhou Hikvision Digital Technology Company, Huawei Technologies Company, Hytera Communications Corporation, and ZTE Corporation. Covered equipment and services cannot be used as substantial or essential component or any system, or as critical technology as part of any system.
- 2.10 Personal Conflict of Interest - The **LPA** certifies that it shall maintain a written code or standard of conduct which shall govern the performance of its employees, officers, board members, or agents engaged in the award and administration of contracts supported by state or federal funds. Such code shall provide that no employee, officer, board member or agent of the **LPA** may participate in the selection, award, or administration of a contract supported by state or federal funds if a conflict of interest, real or apparent would be involved. Such a conflict would arise when any of the parties set forth below has a financial or other interest in the firm selected for award:
- a. the employee, officer, board member, or agent;
  - b. any member of his or her immediate family;
  - c. his or her partner; or
  - d. an organization which employs, or is about to employ, any of the above.

The conflict of interest restriction for former employees, officers, board members and agents shall apply for one year.

The code shall also provide that **LPA's** employees, officers, board members, or agents shall neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subcontracts. The **STATE** may waive the prohibition contained in this subsection, provided that any such present employee, officer, board member, or agent shall not participate in any action by the **LPA** relating to such contract, subcontract, or arrangement. The code shall also prohibit the officers, employees, board members, or agents of the **LPA** from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain.

- 2.11 Organizational Conflict of Interest - (50 ILCS 105/3, 65 ILCS 5/3.1-55-10, 65 ILCS 5/4-8-6) The **LPA** certifies that it will also prevent any real or apparent organizational conflict of interest. An organizational conflict of interest exists when the nature of the work to be performed under a proposed third party contract or subcontract may, without some restriction on future activities, result in an unfair competitive advantage to the third party contractor or **LPA** or impair the objectivity in performing the contract work.
- 2.12 Accounting System. The **LPA** certifies that it has an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each state and federally-funded program. Accounting records must contain information pertaining to state and federal pass-through awards, authorizations, obligations, unobligated balances, assets, outlays, and income. To comply with 2 CFR 200.305(b)(7)(i), the **LPA** shall use reasonable efforts to ensure that funding streams are

### III. AUDIT AND RECORD RETENTION

- 3.1 Single Audits: The **LPA** shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507) and Subpart F of 2 CFR Part 200.

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If, during its fiscal year, **LPA** expends \$750,000 or more in Federal Awards (direct federal and federal pass-through awards combined), **LPA** must have a single audit or program-specific audit conducted for that year as required by 2 CFR 200.501 and other applicable sections of Subpart F of 2 CFR Part 200. A copy of the audit report must be submitted to the **STATE** (IDOT's Financial Review & Investigations Section, Room 126, 2300 South Dirksen Parkway, Springfield, Illinois, 62764) within 30 days after the completion of the audit, but no later than one year after the end of the **LPA's** fiscal year.

Assistance Listing number (formally known as the Catalog of Federal Domestic Assistance (CFDA) number) for all highway planning and construction activities is **20.205**.

- 3.2 **STATE Audits:** The **STATE** may, at its sole discretion and at its own expense, perform a final audit of the Project (30 ILCS 5, the Illinois State Auditing Act). Such audit may be used for settlement of the Project expenses and for Project closeout purposes. The **LPA** agrees to implement any audit findings contained in the **STATE's** authorized inspection or review, final audit, the **STATE's** independent audit, or as a result of any duly authorized inspection or review.
- 3.3 **Record Retention.** The **LPA** shall maintain for three (3) years from the date of final project closeout by the **STATE**, adequate books, records, and supporting documents to verify the amounts, recipient, and uses of all disbursements of funds passing in conjunction with this contract. adequate to comply with 2 CFR 200.334. If any litigation, claim or audit is started before the expiration of the retention period, the records must be retained until all litigation, claims or audit exceptions involving the records have been resolved and final action taken.
- 3.4 **Accessibility of Records.** The **LPA** shall permit, and shall require its contractors and auditors to permit, the **STATE**, and any authorized agent of the **STATE**, to inspect all work, materials, payrolls, audit working papers, and other data and records pertaining to the Project; and to audit the books, records, and accounts of the **LPA** with regard to the Project. The **LPA** in compliance with 2 CFR 200.337 shall make books, records, related papers, supporting documentation and personnel relevant to this Agreement available to authorized **STATE** representatives, the Illinois Auditor General, Illinois Attorney General, any Executive Inspector General, the **STATE's** Inspector General, federal authorities, any person identified in 2 CFR 200.337, and any other person as may be authorized by the **STATE** (including auditors), by the state of Illinois or by federal statute. The **LPA** shall cooperate fully in any such audit or inquiry.
- 3.5 **Failure to maintain the books and records.** Failure to maintain the books, records and supporting documents required by this section shall establish presumption in favor of the **STATE** for recovery of any funds paid by the **STATE** under the terms of this contract.

#### IV. LPA FISCAL RESPONSIBILITIES

- 4.1 To provide all initial funding and payment for engineering or right of way work.
- 4.2 **LPA Appropriation Requirement.** By execution of this Agreement the **LPA** attests that sufficient moneys have been appropriated or reserved by resolution or ordinance to fund the **LPA** share of project costs. A copy of the authorizing resolution or ordinance is attached as Schedule 3.
- 4.3 **Reimbursement Requests:** For reimbursement requests the **LPA** will submit supporting documentation with each invoice. Supporting documentation is defined as verification of payment, certified time sheets or summaries, vendor invoices, vendor receipts, cost plus fix fee invoice, progress report, personnel and direct cost summaries, and other documentation supporting the requested reimbursement amount (Form BLR 05621 should be used for consultant invoicing purposes). **LPA** invoice requests to the **STATE** will be submitted with sequential invoice numbers by project.
- 4.4 **Financial Integrity Review and Evaluation (FIRE) program:** **LPA's** and the **STATE** must justify continued federal funding on inactive projects. 23 CFR 630.106(a)(5) defines an inactive project as a project which no expenditures have been charged against Federal funds for the past twelve (12) months. To keep projects active, invoicing must occur a minimum of one time within any given twelve (12) month period. However, to ensure adequate processing time, the first invoice shall be submitted to the **STATE** within six (6) months of the federal authorization date. Subsequent invoices will be submitted in intervals not to exceed six (6) months.
- 4.5 **Final Invoice:** The **LPA** will submit to the **STATE** a complete and detailed final invoice with applicable supporting documentation of all incurred costs, less previous payments, no later than twelve (12) months from the date of completion of work or from the date of the previous invoice, whichever occurs first. If a final invoice is not received within this time frame, the most recent invoice may be considered the final invoice and the obligation of the funds closed. Form BLR 05613 (Engineering Payment Record) is required to be submitted with the final invoice for engineering projects.
- 4.6 **Project Closeout:** The **LPA** shall provide the final report to the appropriate **STATE** district office within twelve (12) months of the physical completion date of the project so that the report may be audited and approved for payment. If the deadline cannot be met, a written explanation must be provided to the district prior to the end of the twelve (12) months documenting the reason and the new anticipated date of completion. If the extended deadline is not met, this process must be repeated until the project is closed. Failure to follow this process may result in the immediate close-out of the project and loss of further funding.
- 4.7 **Project End Date:** The period of performance (end date) for state and federal obligation purposes is five (5) years for projects under \$1,000,000 or seven (7) years for projects over \$1,000,000 from the execution date of the agreement. Requests for time

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extensions and joint agreement amendments must be received and approved prior to expiration of the project end date. Failure to extend the end date may result in the immediate close-out of the project and loss of further funding.

**V. THE LPA AGREES**

- 5.1 To acquire in its name, or in the name of the **STATE** if on the **STATE** highway system, all right-of-way necessary for this project in accordance with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, and established State policies and procedures. Prior to advertising for bids, the **LPA** shall certify to the **STATE** that all requirements of Titles II and III of said Uniform Act have been satisfied. The disposition of encroachments, if any, will be cooperatively determined by representatives of the **LPA**, the **STATE**, and the **FHWA** if required.
- 5.2 To provide for all utility adjustments and to regulate the use of the right-of-way of this improvement by utilities, public and private, in accordance with the current Utility Accommodation Policy for Local Public Agency Highway and Street Systems.
- 5.3 To retain jurisdiction of the completed improvement.
- 5.4 To maintain or cause to be maintained the completed improvement or that portion within its jurisdiction, in a manner satisfactory to the **STATE** and the **FHWA**.
- 5.5 To provide if required, for the improvement of any railroad-highway grade crossing and rail crossing protection within the limits of the proposed improvement.
- 5.6 To regulate parking and traffic in accordance with the approved project report.
- 5.7 To regulate encroachments on public rights-of-way in accordance with current Illinois Compiled Statutes.
- 5.8 To regulate the discharge of sanitary sewage into any storm water drainage system constructed with this improvement in accordance with the current Illinois Compiled Statutes.
- 5.9 For contracts awarded by the **LPA**, the **LPA** shall not discriminate on the basis of race, color, national origin or sex in the award and performance of any USDOT - assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The **LPA** shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of USDOT - assisted contracts. The **LPA's** DBE program, as required by 49 CFR part 26 and as approved by USDOT, is incorporated by reference in this agreement. Upon notification to the recipient of its failure to carry out its approved program, the **STATE** may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S. C 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C 3801 et seq.). In the absence of a USDOT - approved **LPA** DBE Program or on **STATE** awarded contracts, this agreement shall be administered under the provisions of the **STATE'S** USDOT approved Disadvantaged Business Enterprise Program.

**VI. THE STATE AGREES**

- 6.1 To provide such guidance, assistance, and supervision to monitor and perform audits to the extent necessary to assure validity of the **LPA's** certification of compliance with Title II and III Requirements.
- 6.2 To reimburse the **LPA** for federal and/or state funds on the basis of periodic billings, provided said billings contain sufficient cost information and show evidence of expenditures by the **LPA**.

**SCHEDULES**

Additional information and/or stipulations are hereby attached and identified below as being a part of this agreement.

<input checked="" type="checkbox"/>	1.	Division of Cost
<input checked="" type="checkbox"/>	2.	Location Map
<input checked="" type="checkbox"/>	3.	Risk Assessment
<input checked="" type="checkbox"/>	4.	Attestations
<input checked="" type="checkbox"/>	5.	Resolution*
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		

\*Appropriation and signature authority resolution must be in effect on, or prior to, the execution date of the agreement.

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**AGREEMENT SIGNATURES EXECUTION**

The **LPA** agrees to accept and comply with the applicable provision set forth in this agreement including attached schedules.

**APPROVED**

Local Public Agency

Name of Official (Print or Type Name)

Michael Buehler

Title of Official

County Board Chairman

Signature

Date

The above signature certifies the agency's TIN number is

366006623 \_\_\_\_\_ conducting business as a Governmental Entity.

DUNS Number 082044694

UEI DAJDARNBA5Y8

**APPROVED**

State of Illinois  
Department of Transportation

Omer Osman, P.E., Secretary of Transportation

Date

By:

George A. Tapas, P.E., S.E., Engineer of Local Roads & Streets

Date

Stephen M. Travia, P.E., Director of Highways PI/Chief Engineer

Date

Michael Prater, Chief Counsel

Date

Vicki Wilson, Chief Fiscal Officer

Date

**NOTE: If the LPA Signature is by an APPOINTED official, a resolution authorizing said appointed official to execute this agreement is required.**

**SCHEDULE NUMBER 1**

Local Public Agency	Section Number	State Job Number	Project Number
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County			
McHenry			

**DIVISION OF COST**

Type of Work	Federal Funds		State Funds		Local Public Agency			Totals		
	Fund Type	Amount	%	Fund Type	Amount	%	Fund Type		Amount	%
Preliminary Engineering	STP-Br	\$393,817.00	80%					\$98,455.00	20%	\$492,272.00
<b>Total</b>		<b>\$393,817.00</b>		<b>Total</b>			<b>Total</b>			<b>\$492,272.00</b>

If funding is not a percentage of the total place an asterisk (\*) in the space provided for the percentage and explain below:

**NOTE:** The costs shown in the Division of Cost table are approximate and subject to change. The final LPA share is dependent on the final Federal and State participation. The actual costs will be used in the final division of cost for billing and reimbursement.

**SCHEDULE NUMBER 3**

Local Public Agency <b>County of McHenry</b>	Section Number <b>21-00532-00-BR</b>	County <b>McHenry</b>	State Job Number <b>D-91-014-22</b>	Project Number <b>BVIM(733)</b>
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**LRS Federal Funds RISK ASSESSMENT**

Risk Factor	Description	Definition of Scale (time frames are based on LPA fiscal year)	Points
General History of Performance	Have there been any changes in key organizational staff or leadership, such as Fiscal and Administrative Management, Transportation Related Program/Project Management, and/or Elected Officials?	<b>0 points</b> - no significant changes in the last 4 or more years; <b>1 point</b> - minor changes, but majority of key staff and officials have not changed in the last 4 years; <b>2 points</b> - significant key staff or elected leadership changes within the last 3 years; <b>3 points</b> - significant key staff and elected leadership changes within the last 3 years	0
	What is the LPA's history with federal-aid funded transportation projects?	<b>0 points</b> - One or more federal-aid funded transportation projects initiated per year; <b>1 point</b> - At least one project initiated within the past three years; <b>2 points</b> - AT least one project initiated within the past 5 years; <b>3 points</b> - None or more than 5 years	0
Financial Controls	Does LPA have qualified technical staff with experience managing federal-aid funded transportations through IDOT?	<b>0 points</b> - Full-time employee with experience designated as being in "responsible charge"; <b>1 point</b> - LPA has qualified technical staff, but will be utilizing an engineering consultant to manage day-to-day with LPA technical staff oversight; <b>2 points</b> - LPA has no technical staff and all technical work will be completed by consultant, but LPA staff has prior experience with federal-aid projects; <b>3 points</b> - LPA staff have no prior experience or technical expertise and relying solely on consultant	0
	Has the LPA been untimely in submitting invoicing, reporting on federal-aid projects as required in 2 CFR 200, and or audits as required?	<b>0 points</b> - No; <b>1 point</b> - Delays of 6 or more months; <b>2 points</b> - Delays of up to 1 year; <b>3 points</b> - 1 year or more years of delay	0
Audits	Are the annual financial statements prepared in accordance with Generally Accepted Accounting Principles or on a basis acceptable by the regulatory agency?	<b>0 points</b> - yes; <b>3 points</b> - no	0
	What is the LPA's accounting system?	<b>0 points</b> - Automated accounting software; <b>1 point</b> - Spreadsheets; <b>2 points</b> - paper only; <b>3 points</b> - none	0
Audits	Does the organization have written policies and procedures regarding proper segregation of duties for fiscal activities that include but are not limited to: a) authorization of transactions; b) recordkeeping for receipts and payments; and c) cash management?	<b>0 points</b> - yes; <b>3 points</b> - no	0
	When was the last time a financial statement audit was conducted?	<b>0 points</b> - in the past year; <b>1 point</b> - in the past two years; <b>2 points</b> - in the past three years; <b>3 points</b> - 4 years or more, or never	0
Audits	What type of financial statement audit has the organization had conducted?	<b>0 points</b> - Single Audit/Program Specific Audit in accordance with 2 CFR 200.501 or Financial audit conducted in accordance with Generally Accepted Auditing Standards or Generally Accepted Government Auditing Standards; <b>1 point</b> - Financial review; <b>2 points</b> Other type? or no audit required; <b>3 points</b> - none	0
	Did the most recent audit disclose findings considered to be significant deficiencies or material weaknesses?	<b>0 points</b> - no; <b>3 points</b> - yes, or no audits required	0
Have the findings been resolved?		<b>0 points</b> - yes or no findings; <b>1 point</b> - in progress; <b>3 points</b> - no	0

<b>Summary of Risk</b>		
General History of Performance	0	District Review Signature & Date <div style="border: 1px solid black; height: 40px; width: 100%;"></div> Central Office Review Signature & Date <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Financial Controls	0	
Audits	0	
<b>Total</b>	<b>0</b>	Additional Requirements? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No



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**SCHEDULE NUMBER 4**  
**Attestation on Single Audit Compliance**

1. In the prior fiscal year, did County of McHenry LPA expend more than \$750,000 in federal funds in aggregate from all federal sources?

Yes     No

2. Does the County of McHenry LPA anticipate expending more than \$750,000 in federal funds in aggregate from all federal sources in the current County of McHenry LPA fiscal year?

Yes     No

If answers to question 1 and 2 are no, please proceed to the signature section.

If answer to question 1 is yes, please answer question 3a.

If answer to question 2 is yes, please answer question 3b.

3. A single audit must be conducted in accordance with Subpart F of 2 CFR 200 if \$750,000 or more in federal funds are expended in a single fiscal year.

a. Has the County of McHenry LPA performed a single audit for their previous fiscal year?

Yes     No

i. If yes, has the audit be filed with the Illinois Office of the Comptroller in accordance with 50 ILCS 310 (see also 55 ILCS 5 & 65 ILCS 5 & 60 ILCS 1/80)?

Yes     No

b. For the current fiscal year, does the County of McHenry LPA intend to comply with Subpart F of 2 CFR 200?

Yes     No

By completing this attestation, I certify that I have authority to sign this attestation on behalf of the LPA; and that the foregoing information is correct and complete to the best of my knowledge and belief.

Name	Title	LPA
Scott Hennings	Assistant Director of Transport	County of McHenry

Signature & Date

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**SCHEDULE NUMBER 5**

**Resolution No. \_\_\_\_\_**

A Resolution for:

Section Number 21-00532-00-BR  
 State Job Number D-91-014-22  
 Project Number BVIM(733)

WHEREAS, the  of \_\_\_\_\_ is proposing to

WHEREAS, the above stated improvement will necessitate the use of funding provided through the Illinois Department of Transportation (IDOT); and signee

WHEREAS, the use of these funds requires a joint funding agreement (AGREEMENT) with IDOT; and

WHEREAS, the improvement requires matching funds; and

NOW, THEREFORE, be it resolved by the \_\_\_\_\_

Section 1: The \_\_\_\_\_ hereby appropriates \_\_\_\_\_  
 or as much as may be needed to match the required funding to complete the proposed improvement from \_\_\_\_\_  
 \_\_\_\_\_ and furthermore agree to pass a supplemental resolution if necessary to  
 \_\_\_\_\_  
Local Fund Source  
 appropriate additional funds for completion of the project.

Section 2: The \_\_\_\_\_ is hereby authorized to execute an AGREEMENT with IDOT for the above-mentioned project.

Section 3: This resolution will become Attachment 3 of the AGREEMENT.

Section 4: The \_\_\_\_\_ Clerk of \_\_\_\_\_ is directed to transmit 3 (three) copies of the AGREEMENT and Resolution to IDOT District \_\_\_\_\_ Bureau of Local Roads and Streets.

I, \_\_\_\_\_ Clerk in and for said \_\_\_\_\_ of \_\_\_\_\_  
Name of Clerk Local Public Agency Type Local Public Agency Type  
 \_\_\_\_\_ in the State aforesaid, and keeper of the records and files thereof, as provided by statute, do hereby  
Name of Local Public Agency

certify the foregoing to be a true, perfect and complete original of a resolution adopted by \_\_\_\_\_  
Governing Body Type

of \_\_\_\_\_ at a meeting held on .  
Name of Local Public Agency Date

INTESTIMONY WEREOF; I have hereunto set my hand and seal, this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

(SEAL)

### Instructions for BLR 05310PE Page 1 of 3

NOTE: Form instructions should not be included when the form is submitted.

This form shall be used when a local public agency (LPA) project involves Federal-Aid, with or without state funds and this standard form is sufficient to describe all details of the agreement. For more information refer to the Bureau of Local Roads and Streets (BLRS) Manual, Chapter 5. For signature requirements refer to Chapter 2, Section 3.05(b) of the BLRS manual. When filling out this form electronically, once a field is initially completed, fields requiring the same information will be auto-populated.

**Local Public Agency**

Local Public Agency                      Insert the name of the LPA

County                                        Insert the name of the county in which the LPA is located

Section Number                            Insert the section without dashes. The dashes are automatically inserted.

Fund Type                                    Insert the funding type(s) being used for this project (e.g. STU, STR, ITEP, etc.)

ITEP, SRTS, HSIP, Number              Insert the ITEP, SRTS, HSIP number assigned to this project

MPO Name                                    From the drop-down choose the MPO in which the project is located. If the project is not located within an MPO, select N/A. Types to choose from are:

- |              |          |   |
|--------------|----------|---|
|              | Bi-State | Bi-State Regional Commission                  |
|              | CMAP     | Chicago Metropolitan Planning Organization    |
|              | CUUATS   | Champaign/Urbana Urban Area Transportation    |
| Study        | DATS     | Danville Area Transportation Study            |
|              | DMATS    | Dubuque                                       |
|              | DSATS    | DeKalb/Sycamore Area Transportation Study     |
|              | DUATS    | Decatur Urbanized Area Transportation Study   |
|              | EWGCG    | East-West Gateway Council of Governments      |
|              | KATS     | Kankakee Area Transportation Study            |
|              | MCRPC    | McLean County Regional Planning Commission    |
|              | PPUATS   | Peoria/Pekin Urban Area Transportation Study  |
|              | RPC      | Region 1 Planning Council                     |
|              | SATS     | Springfield Area Transportation Study         |
|              | SEMPO    | South East Metropolitan Planning Organization |
|              | SIMPO    | Southern Illinois Metropolitan Planning       |
| Organization | SLATS    | State Line Area Transportation Study          |

MPO Tip Number                            Insert MPO Tip Number assigned to this project, this is required for all projects located within the MPO planning boundaries if applicable. If not, insert "N/A"

Engineering

Job Number                                Insert the job number assigned for the engineering portion of this project.

Project Number                            Insert the project number assigned to the engineering portion of the project.

Right-of-Way

Job Number                                Insert the job number assigned for Right-of-Way for the project, if applicable. The number with begin with an "R".

Project Number                            Insert the project number assigned to the Right-of-Way for the project, if applicable.

Local Administered Engineering      Check this box if the LPA is administering the engineering locally.

Right-of-Way                                Check this box if Right-of-Way is part of the project

Other                                         Check this box if work is something other than preliminary Engineering or Right-of-Way. In the field following other, insert the type of other work.

**Location**

Local Street/Road Name                 Insert the local street/road name

Key Route                                    Insert the key route of the street/road listed above

Length                                        Insert the length in miles as it pertains to the location listed above. For a structure insert 0.01

Station

From                                         Insert the beginning station of the project as it pertains to the key route for this location for this project

To    Insert the ending station of the project as it pertains to the key route for this location for this project

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Location Termini Insert the beginning and ending termini as it pertains to this location for this project

Existing Structure Number(s) Insert the existing structure number(s) for this project

Use the add location button to add additional locations if needed for up to a total of three locations. If there are more than three locations, use various.

### Project Description

Project Description Insert a description of the work to be accomplished by this project.

### For Local Let Projects

#### Schedules

Within the schedule table, check the box as applicable. Insert the schedule number and a short schedule description / name.

1. Division of Cost - See separate instructions for completing this page.
2. Location Map - Attach a location map to this agreement showing all locations being improved by this project.
3. Risk Assessment - See separate instructions for completing these pages.
4. Attestations - See separate instructions for completing this page.
5. Resolution - The LPA must pass an appropriation resolution covering the local share of the project and must grant signature authority to the signee. Attach the resolution as Schedule 5. (check the box at the bottom of Agreement Signatures page) If BLR 09110 or BR 09120 are used to appropriate local fund, attach these forms to the signature authorization resolution.

Within the schedule table, check each box as applicable. Items prechecked are required to be attached to this document upon submittal. Additional lines are to be used to list additional items attached to this agreement.

### Agreement Signatures Execution

Local Public Agency The appropriate LPA official shall insert their name, sign, and date. Insert the LPA's TIN number, DUNS Number, and the UEI (note the UEI will be replacing the DUNS Number <https://sam.gov/content/duns-uei>).

Illinois Dept. of Transportation The appropriate IDOT official shall sign and date here.

### Division of Cost (Schedule 2) Instructions

When the LPA desires to use one or more lump-sum amounts before the federal percentage is calculated, specify the order in which it should be used and the "not to exceed" amount. The following provides an example of the wording that may be used:

- Lump-sum \$60,000 TARP funds not to exceed 50% of final cost of project credited to the project to be utilized first.
- Lump-sum to be utilized second not to exceed \$20,000 EDP funds.
- Lump-sum to be utilized third not to exceed \$40,000 SMA funds.

These specified amounts will be used in sequence, with the federal and local percentages calculated after they are deducted.

When the LPA desires to use a percent "not to exceed" commitment, the federal and state funds will be used concurrently at the specified percentages up to the "not to exceed" amount

Example:

Maximum STR participation 80% not to exceed \$100,000

Lump-sum SMA not to exceed \$20,000 to be used as a match to the federal funds

Be advised that the "not to exceed" amount specified under a percentage commitment will be tied up and unavailable for programming until the project is closed out and a documentation review has been completed by IDOT or FHWA, if required.

Use a separate line for each type of work as it relates to the fund type for federal, state and/or LPA funds.

Type of Work Choose the type of work from the drop-down list. Types to choose from are: Preliminary Engineering, Right-of-Way, Utilities. A blank field is provided for other types of work.

Federal Funds If federal funds are being used on this project complete the following for federal funds.

Fund Type Choose the type of federal fund type from the drop-down.

Amount Insert the amount of federal funds for the type of listed under fund type.

% Insert the percentage of federal funds for this type.

State Funds If state funds are being used on this project complete with following for state funds.

Fund Type Choose the type of state fund type from the drop-down.

Amount Insert the amount of state funds for the type of listed under fund type.

% Insert the percentage of state funds for this type.

Local Public Agency Funds

Fund Type Choose the type of LPA funds from the drop-down

Amount Insert the amount of LPA funds for the type of listed under fund type.

% Insert the percentage of LPA funds for this type.

Explanation Insert any necessary additional information as to how the funding is being applied for this project.

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### LRS Federal Funds Risk Assessment (Schedule 3) Instructions

The LPA shall complete the risk assessment to the best of their knowledge.

District staff will review the assessment and make recommendations for risk monitoring based on the results of the assessment. If monitoring is required above normal policy procedures, those requirements shall be itemized in the Additional Requirements box. Appropriate full-time district staff will approve the assessment by signing and dating in the box provided.

### Attestation on Single Audit Compliance (Schedule 4) Instructions

The LPA shall complete the risk assessment to the best of their knowledge.

The appropriate local agency official shall certify the attestation by signing and dating in the box provided.

**A minimum of two (2) originals executed by the LPA must be submitted to the District through its Regional Engineer's Office. If**

Printing Instructions

For the document to print properly, please make sure "Orientation" is set to "Auto" (see image below) within the print dialog window. If this setting is not chosen, then some pages may be cut off during the printing process.

