American Recovery and Reinvestment Act of 2009 Program

PUTTING AMERICA TO WORK

PROJECT FUNDED BY THE American Recovery and Reinvestment Act

QUALITY PLAN

Illinois Department of Transportation
Introduction

This quality plan serves as a supplement to the IDOT Quality Manual. The IDOT ARRA Quality Plan documents the unique controls and processes necessary to ensure compliance with the Federal and State requirements of the American Recovery and Reinvestment Act of 2009 (ARRA).

This quality plan serves to reinforce and support the IDOT Vision, Mission, Guiding Principles, Quality Policy and Quality Statement:

IDOT Vision

The Illinois Department of Transportation will be recognized as the premier state department of transportation in the nation.

IDOT Mission

We provide safe, cost-effective transportation for Illinois in ways that enhance quality of life, promote economic prosperity, and demonstrate respect for our environment.

IDOT Guiding Principles

Safety, Integrity, Diversity, Responsiveness, Quality, Innovation.

IDOT Quality Policy

IDOT will consistently provide safe, cost-effective transportation for Illinois that meets or exceeds the requirements and expectations of our customers. We will actively pursue ever improving quality through programs that enable each employee to continually strive to do the job right the first time, every time.

IDOT Quality Statement

Do it right the first time, every time.

IDOT ARRA Coordinator:

[Signature]

John Webber
SECTION 1: GENERAL REQUIREMENTS

1.1 General

The Quality Plan outlines the policies, procedures and requirements of the American Recovery and Reinvestment Act (ARRA) Management System at IDOT. The system is structured to comply with the conditions set forth in the Department’s Quality Manual, the ISO 9001:2008 international standard and the ARRA.

IDOT has established, documented, implemented, maintained, and is continually improving its ARRA management system in accordance with the Federal and State requirements of the American Recovery and Reinvestment Act of 2009.

The ARRA Management System is coordinated by the ARRA Task Force Committee. Through the assignment of four subcommittees, the ARRA Task Force Committee is responsible for ensuring the accountability objectives of the ARRA are achieved.

Figure 1.1a

The quality management system processes are managed by IDOT in accordance with the requirements of the ISO 9001:2008 Standard. IDOT Management uses the PLAN-DO-CHECK-ACT principle in all areas of the organization to improve performance.
1.2 Documentation Requirements

1.2.1 General

The ARRA Management System documentation includes:

- a documented Quality Policy and Quality Statement;
- this ARRA Quality Plan;
- documented procedures referenced by the ARRA Quality Plan;
- documents identified by IDOT as needed for the effective planning, operation and control of ARRA processes, and;
- records required by the ARRA Quality Plan.

1.2.2 ARRA Quality Plan

In order to implement the ARRA management system, IDOT has developed the ARRA Quality Plan which identifies:

- the processes needed for the ARRA management system;
- the interaction and sequence of these processes;
- the criteria and methods needed to ensure that both the operation and control of these processes are effective;
• the availability of resources and information necessary to support the operation and monitoring of these processes; and

• the methods of measurement, monitoring, and analysis needed in order to implement actions that will achieve planned results and continual improvement of these processes.

1.2.3 Control of Documents

All ARRA-related documents will conform to the existing controls for departmental documentation. All IDOT documents are controlled according to the Document Management Manual. This document defines the general IDOT process for:

• approving documents for adequacy prior to issue;
• reviewing and updating documents as necessary and re-approving documents;
• ensuring that changes and current revision status of documents are identified;
• ensuring that relevant versions of applicable documents are available at points of use;
• ensuring that documents remain legible and readily identifiable;
• ensuring that documents of external origin are identified and their distribution controlled; and
• preventing the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.

1.2.4 Control of ARRA Records

Appropriate records of ARRA processes are necessary to provide evidence of conformity to requirements and of the effective operation of the ARRA management system. All records related to ARRA projects shall be maintained according to the Records Management Manual and shall be compliant with record control requirements contained in specific IDOT policies and record control requirements issued by the Illinois Office of the Secretary of State, the governing body for record control in Illinois state government. This manual requires that quality records remain legible, readily identifiable and retrievable. The manual defines the controls needed for identification, storage, protection, retrieval, retention time and disposition of records as they apply to the ISO 9001:2008 standard, the requirements of the Illinois Secretary of State, and IDOT policies.

Record control information specific to each QMS process is detailed in record retention schedules. Records Officers are responsible for keeping this record control information up to date.

Related Procedures

Document Management Manual

Records Management Manual
SECTION 2: MANAGEMENT RESPONSIBILITY

2.1 Management Commitment

Top Management has been actively involved in implementing the American Recovery and Reinvestment Act (ARRA). These leaders have provided the vision and strategic direction for the implementation of the ARRA, and established quality objectives for ARRA processes based on the accountability objectives contained in the ARRA. To demonstrate its commitment to the establishment of the ARRA, Top Management implemented the following actions:

- Compiled an overview of the functions and processes of all IDOT offices/divisions and identified how these functions/processes contribute to the achievement of ARRA objectives. This document is entitled ARRA Summary Overview and is maintained by the Director of Finance and Administration.

- Conducted a comprehensive assessment of the entire Department to determine risks to the achievement of ARRA objectives and identify appropriate mitigation strategies where appropriate. The final risk assessment was completed on May 15, 2009 and updated on August 25, 2009. The ARRA Risk Assessment Report is maintained by the Director of Finance and Administration.

To continue to provide leadership and show evidence of its commitment to the improvement of the ARRA, management will do the following:

- Communicate to all employees the importance of meeting customer, statutory and regulatory requirements through training, staff meetings and other communication methods.

- Establish and promote ARRA objectives at the department, division, bureau, district and process levels of IDOT.

- Conduct ARRA Task Force Committee meetings at regularly scheduled intervals

- Ensure the availability of resources for all ARRA projects.

2.2 Customer Focus

IDOT identifies current and future customer needs in order to understand customer requirements and meet customer expectations. IDOT identifies these needs through a variety of methods including a comprehensive annual Illinois motorist opinion survey, feedback from public informational meetings and hearings relating to planned projects, day-to-day feedback from customers and other stakeholders related to program and service delivery, technical data such as regular inspections of pavement and bridge conditions, and public comments solicited through the IDOT Internet site and other ongoing feedback mechanisms.

Customer requirements are determined, converted into internal requirements, and communicated to the appropriate process staff in our organization as outlined in applicable policy manuals.

Management may identify additional customer feedback projects during management review and other staff meetings. Management assigns responsibility for such projects as needed. Such projects may include:

- Focus group meetings
- Direct customer communication
• Satisfaction surveys or studies
• Project hearings or informational meetings
• Other methods identified by management.

2.3 Planning

2.3.1 ARRA Objectives

The following objectives have been developed by Top Management to support the accountability objectives of the ARRA:

**ARRA Objective:** ARRA funds are awarded and distributed in a prompt, fair, and reasonable manner.

- Measurement 1: Percentage of available ARRA funds awarded.
  - Goal: 100%

- Measurement 2: Percentage of available ARRA funds distributed.
  - Goal: 100%

**ARRA Objective:** The recipients and uses of all ARRA funds are transparent to the public, and the public benefits of these funds are reported clearly, accurately, and in a timely manner.

- Measurement 1: Percentage of reports submitted on-time.
  - Goal: 100%

- Measurement 2: Number of errors identified by overseeing Federal Agency
  - Goal: 0

**ARRA Objective:** ARRA funds are used for authorized purposes and instances of fraud, waste, error, and abuse are mitigated.

- Measurement: Number of contracts awarded to debarred/suspended vendors.
  - Goal: 0

- Measurement: Number of projects receiving a compliance review
  - Goal: 25% of State Let/State projects, 40% of State Let/Local projects, and 100% of Local Let/Local projects.

- Measurement: Number of critical findings identified during compliance reviews.
  - Goal: 0
ARRA Objective: ARRA projects avoid unnecessary delays and cost overruns.

Measurement: Percentage difference between project estimates and contract awards.

Goal: Limit the difference between project estimates and contract awards to an average of no more than +5 percent for all projects.

ARRA Objective: ARRA program goals are achieved, including specific program outcomes and improved results on broader economic indicators.

Measurement 1: Number of jobs directly created/retained by ARRA projects

Goal: 7,000 jobs created/retained

Additional measurements have been developed to support the achievement of the overall ARRA objectives and are maintained by the IDOT ARRA Coordinator.

The ARRA objectives have been communicated to all employees through training, staff meetings, and other communication means.

2.3.2 ARRA Management System planning

The ARRA management system has been planned and implemented to meet the quality objectives and the requirements of ISO 9001:2008 standard. Quality planning takes place as changes that affect the ARRA Management System are planned and implemented. Management oversight through management review is designed to ensure that changes in the ARRA management system will not undermine the integrity of the system and will continue to ensure conformance with the requirements of ARRA.

2.4 Responsibility, Authority and Communication

2.4.1 Responsibility and authority

The ARRA Task Force Committee has been empowered to oversee the implementation of the ARRA. Four subcommittees have been established to facilitate the effective coordination necessary to meet the requirements of ARRA and this quality plan. Table 2.4.1(a) defines the responsibilities of each subcommittee.

<table>
<thead>
<tr>
<th>Committee</th>
<th>Responsibility</th>
<th>Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARRA Performance Reporting</td>
<td>Ensure all ARRA reporting is conducted in accordance with guidance from the ARRA Requirements Guidance Subcommittee, is completed accurately and on-time and provide analysis of progress of all ARRA projects at ARRA Task Force meetings.</td>
<td>John Webber</td>
</tr>
<tr>
<td>ARRA Compliance Review Subcommittee</td>
<td>Coordinate all internal and external reviews to ensure the accountability objectives of ARRA are achieved. Analyze findings to identify problem areas and reduce redundant compliance review activity wherever possible. Report on the progress of compliance reviews at ARRA Task Force Meetings</td>
<td>Dan Kennelly</td>
</tr>
<tr>
<td>ARRA Requirements Guidance</td>
<td>Consolidate ARRA requirements into a single document to ensure IDOT is aware of changing requirements. Report ARRA changes and additional guidance at ARRA Task Force Meetings.</td>
<td>Jeff Bell</td>
</tr>
<tr>
<td>Communications</td>
<td>Ensure ARRA results are communicated in an open and transparent fashion to all stakeholders. Establish controls for communication with stakeholders. Report to the ARRA Task Force any issues related to communication.</td>
<td>John Webber</td>
</tr>
</tbody>
</table>
Table 2.4.1(a)

Responsibilities and authorities have been defined by the ARRA Performance Reporting Subcommittee to ensure all ARRA reporting is conducted accurately and on-time. Table 2.4.1(b) summarizes these responsibilities and authorities.

<table>
<thead>
<tr>
<th>Position</th>
<th>Responsibilities</th>
<th>Personnel Assigned</th>
</tr>
</thead>
<tbody>
<tr>
<td>IDOT ARRA Coordinator</td>
<td>Responsible for coordinating all activities related to implementation of ARRA within IDOT.</td>
<td>John Webber</td>
</tr>
<tr>
<td>ARRA Performance Reporting Chair</td>
<td>Responsible for ensuring all ARRA reporting is conducted accurately and on schedule.</td>
<td>John Webber</td>
</tr>
</tbody>
</table>
| ARRA Reporting Administrator            | 1. Submits all required ARRA reports, including:  
                                          a. Stimulus 360 (State)  
                                          b. FederalReporting.Gov  
                                          c. T&I Committee Reports  
                                          d. MOE (1201 Reports)  
                                          2. Coordinates the review process for all data submitted to FederalReporting.Gov  
                                          3. Maintains agency registration information (user names, passwords, etc…) for all ARRA reports.  
| Recipient Point of Contact              | Assigns ARRA Reporting Administration responsibilities. Maintains backup information for agency registration information (user names, passwords, etc…) for all ARRA reports.                                      | Nancy Dial & Juanita Akers         |
| ARRA Reporting Coordinator (Highways)   | Responsible for coordinating all ARRA reporting related to Highway improvements. Responsible for:  
                                          * Conducting data quality reviews  
                                          * Correcting data sources when errors are found  
                                          * Submitting necessary revisions to ARRA Reporting Administrators for correction of errors in FederalReporting.Gov | Missy Doedtman                     |
| ARRA Reporting Coordinator (Aeronautics) | Responsible for coordinating all ARRA reporting related to Aeronautical improvements. Responsible for:  
                                          * Conducting data quality reviews  
                                          * Correcting data sources when errors are found  
                                          * Submitting necessary revisions to ARRA Reporting Administrators for correction of errors in FederalReporting.Gov | Christina Pearce                   |
| ARRA Reporting Coordinator (Rail)       | Responsible for coordinating all ARRA reporting related to Railroad improvements. Responsible for:  
                                          * Conducting data quality reviews  
                                          * Correcting data sources when errors are found  
                                          * Submitting necessary revisions to ARRA Reporting Administrators for correction of errors in FederalReporting.Gov | George Weber & Mike Garcia         |
| ARRA Reporting Coordinator (Transit)    | Responsible for coordinating all ARRA reporting related to Transit improvements. Responsible for:  
                                          * Conducting data quality reviews  
                                          * Correcting data sources when errors are found  
                                          * Submitting necessary revisions to ARRA Reporting Administrators for correction of errors in FederalReporting.Gov | Todd Popish                        |

Table 2.4.1(b)
2.4.2 IDOT ARRA Coordinator

John Webber, IDOT Director of Communications, has been appointed by the Secretary of Transportation as the IDOT ARRA Coordinator. As the IDOT ARRA Coordinator, he has the following responsibilities and authorities:

- Ensure that processes needed for the ARRA Management System are established, implemented, and maintained.
- Report to IDOT management on the performance of the ARRA Management System, and note needed improvements.
- Promote awareness of ARRA requirements
- Serve as chair of the ARRA Task Force Committee
- Act as a liaison with external parties such as customers or auditors on matters relating to the ARRA Management System.

2.4.3 Internal communication

The ARRA Communications Subcommittee is responsible for developing and maintaining processes for ensuring effective communication processes are established within the organization. The ARRA Communications Subcommittee shall report performance and progress towards achievement of ARRA-related communication objectives during ARRA Task Force committee meetings.

2.5 ARRA Management System Review

2.5.1 General

IDOT management reviews the performance of the ARRA Management System at least quarterly at ARRA Task Force committee meetings. These reviews assess the continuing suitability, adequacy and effectiveness of the ARRA Management System, identifying opportunities for improvement and needed changes. Records are maintained for each ARRA Task Force meeting by the IDOT ARRA Coordinator.

2.5.2 Review input

Assessment of the ARRA management system is based on a review of information inputs to management review. These inputs include the following:

- results of audits (IOIA, OAG, OIJ, and other external audits);
- results of internal/external compliance reviews
- customer feedback;
- process performance and product/service conformity;
- status of preventive and corrective actions;
- follow-up actions from previous ARRA Task Force Meetings;
• changes that could affect quality (changes to reporting requirements, new statutory requirements, etc…); and
• recommendations for improvement.

All required inputs are reviewed during each ARRA Task Force Committee Meeting.

2.5.3 Review output

Output from the management review will include any decisions and actions related to:
• improvement of the effectiveness of the ARRA Management System and its processes;
• improvement of product or service related to customer requirements;
• resource needs.

Responsibility for required actions is assigned to members of the ARRA Task Force committee. Any decisions made during the meeting, assigned actions, and their due dates are recorded in the minutes of management review. These records are maintained by the management representative.

Related Procedures:

Order on Corrective Action          Order 14-6
Order on Preventive Action          Order 14-7
SECTION 3: RESOURCE MANAGEMENT

3.1 Provision of Resources

To maintain and continually improve the effectiveness of the ARRA Management System, management determines and provides necessary resources based on ARRA and project requirements, including requirements outlined and agreed to through project hearings, project information meetings, local agency meetings, project contracts, legislation, and tools such as the Illinois Motorist Survey.

The need for additional allocation of resources is continually assessed during ARRA Task Force meetings.

3.2 Human Resources

3.2.1 General

The Department has completed a resource analysis to identify the necessary human resources to complete the ARRA program. Allocation of human resources was accomplished through a combination of temporary employees, selective outsourcing, assignment of seasoned professionals and new hires. Details of the Department’s resources analysis are available from the Director of Finance and Administration and the Bureau of Personnel Management.

3.2.2 Competence, awareness and training

The ARRA Communications Subcommittee is responsible for communicating the requirements of the ARRA Management System through the use of training, announcements, webinars, and other means as necessary. Supervisors are responsible for ensuring employees have the necessary competence in regards to normal job responsibilities and ARRA requirements to complete their job responsibilities.
SECTION 4: ARRA PROJECT REALIZATION PROCESSES

4.1 Quality Planning of ARRA Improvements

Quality planning is required before ARRA projects or processes are implemented. At IDOT, quality planning is achieved through development and implementation of policies and procedures which define the controls needed for effective project realization (ARRA conformance and customer satisfaction) for all activities.

The outputs of quality planning are fully documented and controlled policies and procedures which form part of the overall ARRA management system.

These quality documents identify:

- ARRA requirements;
- processes, documentation, and resources required;
- verification, validation, monitoring, inspection and test requirements;
- procedures for review and approval of any necessary exceptions;
- criteria for project and sub-recipient acceptance; and
- records needed to provide evidence that ARRA processes and resulting projects meet requirements.

ARRA objectives are determined by the ARRA Task Force Committee and are applicable to all Offices and Divisions.

4.2 Determination of Requirements

4.2.1 Determination of ARRA Requirements

The ARRA Requirements Guidance Subcommittee is responsible for determining ARRA requirements and communicating those requirements at regularly scheduled ARRA Task Force Committee Meetings.

ARRA requirements include:

- all requirements specified by the ARRA, including the requirements for delivery and any post-delivery activities;
- any requirements not specifically required by ARRA but necessary for the Department to achieve the accountability objectives of the ARRA; and
- all other statutory and regulatory requirements related to ARRA projects and grants.

4.2.2 Review of ARRA Requirements

Once the ARRA requirements are determined and documented by the ARRA Compliance Review Subcommittee, the requirements are reviewed by the ARRA Task Force Committee to ensure:

- all ARRA Requirements are defined;
• requirements differing from those previously expressed are resolved; and
• the Department has the ability to meet the defined requirements.

Records of this review and any necessary actions arising from the review are maintained by the chair of the ARRA Task Force Committee.

When ARRA requirements are changed, affected documentation is amended and relevant personnel are made aware of the changes.

4.2.3 Communication

The ARRA Communications Subcommittee is responsible for determining and implementing effective arrangements for communicating with all ARRA stakeholders in relation to:

• ARRA project information
• Enquiries, contracts or
• Customer feedback, including customer complaints

Customer complaints are received and documented by the Communications Center in the Central Bureau of Operations in the Central Administrative Office. Customers may register a complaint by calling a toll free number which has been made available on the IDOT internet site and also is displayed on a bumper sticker on all IDOT vehicles.

ARRA project suggestions are welcome from the public through the use of the IDOT internet site.

4.3 Control of Outsourcing

4.3.1 Control of Outsourcing Processes

The Illinois Department of Transportation has four main purchasing processes which have a high impact to overall project quality:

Consultant Engineering Services

The process for purchasing consultant engineering services is documented in Chapter 8 of the Bureau of Design and Environment Manual which contains criteria for selection, evaluation, and re-evaluation of consultant services. Records of the results of evaluations and any necessary actions arising from the evaluation are maintained by the Bureau of Design and Environment in the consultant firm file.

Land Acquisition Services

The process for purchasing Land Acquisition Services is documented in Departmental Order 6-8 which contains criteria for the evaluation and selection of Land Acquisition Services. Records of the results of evaluations and any necessary actions arising from the evaluation are maintained by the Central Bureau of Land Acquisition.

Construction Contractor Services

The process for purchasing contractual services for road and bridge construction is
documented in Chapter 66 of the Bureau of Design and Environment Manual which contains criteria for selection (selection is made by evaluation of low bids) of Construction Contractor services. The Illinois Prequalification Rules contains criteria for evaluation and reevaluation of Construction Contractor performance. Records of the results of evaluations and any necessary actions arising from the evaluation are maintained by the Bureau of Construction in the Average Weighted Performance Database file.

**Material Suppliers**

Control of materials for purchase approval and acceptance is governed by Sections 105 and 106 of the Standard Specifications for Road and Bridge Construction. Additional controls are provided in the following documents:

- Manual for Materials Inspection
- Project Procedures Guide
- Manual for Test Procedures for Materials

These documents contain criteria for selection, evaluation, and re-evaluation of material suppliers. Records of the results of evaluations and any necessary actions arising from the evaluation are maintained by the Bureau of Materials and Physical Research.

The Engineer of Materials and Physical Research is responsible for developing controls for acceptance of materials.

To ensure quality of outsourcing activities, the Department has developed a comprehensive plan for conducting compliance reviews of ARRA projects (see Section 5.2.2).

Controls for procurement of all other commodities, services and equipment are documented in Departmental Order 12-2. The Bureau of Business Services is responsible for developing and maintaining Departmental Order 12-2.
4.3.2 ARRA Required Contract Provisions

Where necessary, the Department has implemented the changes to contract procedures to ensure conformance with ARRA-required contract provisions. Table 4.3.2(a) documents key ARRA requirements and the controls/procedures the Department has developed to comply with these requirements.

<table>
<thead>
<tr>
<th>ARRA Section</th>
<th>Required?</th>
<th>Requirement</th>
<th>IDOT Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>1605</td>
<td>Yes</td>
<td>Buy American</td>
<td>Section 106.01 of the Standard Specifications for Road and Bridge Construction contains the necessary requirements for domestic steel and iron.</td>
</tr>
<tr>
<td>N/A</td>
<td>No – but strongly encouraged by FHWA</td>
<td>American Recovery and Reinvestment Act Signing</td>
<td>BDE Special Provision “AMERICAN RECOVERY AND REINVESTMENT ACT SIGNING”</td>
</tr>
<tr>
<td>1512</td>
<td>Yes</td>
<td>Jobs Creation/Retention Reporting</td>
<td>BDE Special Provision “MONTHLY EMPLOYMENT REPORT”</td>
</tr>
<tr>
<td>902</td>
<td>Yes</td>
<td>Authority of the U.S. Comptroller General and the U.S. Inspector General</td>
<td>BDE Special Provision “AMERICAN RECOVERY AND REINVESTMENT ACT PROVISIONS”</td>
</tr>
<tr>
<td>1515(a)</td>
<td>Yes</td>
<td>Authority of the Inspector General</td>
<td>BDE Special Provision “AMERICAN RECOVERY AND REINVESTMENT ACT PROVISIONS”</td>
</tr>
<tr>
<td>1606</td>
<td>Yes</td>
<td>Davis-Bacon Prevailing Wage Rates</td>
<td>Required contract provisions for federal aid construction contracts contain the necessary requirements for complying with Davis-Bacon Prevailing Wage Rates.</td>
</tr>
<tr>
<td>1554</td>
<td>Yes</td>
<td>Competitive Procedures – FHWA-1273 “Required Contract Provisions Federal-Aid Construction Contracts”</td>
<td>Section 102.01 of the Standard Specifications for Road and Bridge Construction contains the necessary requirements for competitive bidding.</td>
</tr>
</tbody>
</table>

Table 4.3.2(a)

4.3.3 Verification of Purchased Materials and Services

Verification of Consultant Services for Phase I and Phase II engineering is documented by acceptance and approval of the specific engineering document. Examples include:

- Verification of Phase I engineering consultant services is documented by acceptance and approval of the Phase I Report by the Regional Engineer
- Verification of geotechnical investigation and recommendation consultant studies is documented by acceptance and approval of the Structure Geotechnical Report by the District Qualified Geotechnical Engineer or the Bureau of Bridges and Structures Foundation Section
- Verification of Phase II engineering consultant services is documented by acceptance and approval of the final plans, specifications and estimates.

Verification of Land Acquisition Services is documented by acceptance and approval of the specific land acquisition document (final plats, appraisals, contract, etc…).
Consultant Services for Phase III engineering are monitored and verified in accordance with the requirements of Construction Memorandum No. 03-61 Guidelines for the Negotiation and Administration of Consultant Contracts for Construction Engineering Services.

Verification of Contractor Services for road and bridge construction is documented by construction inspection activities as described in Section 105 of the Standard Specifications for Road and Bridge Construction and the Documentation Section of the Construction Manual.

Verification of materials purchased is documented by materials and construction inspection, measurement and monitoring as described in the applicable sections of the Standard Specifications for Road and Bridge Construction (sections corresponding to the specific pay item), the Manual for Materials Inspection, the Project Procedures Guide, and the Manual for Test Procedures for Materials. If verification must be performed at the supplier’s premises, the Department states the intended verification arrangements and the method of product release in the purchasing information.

The Districts and BMPR are responsible for final documentation of material conformance with specifications and final acceptance.

Controls for the verification of procurements of all other commodities, services and equipment are documented in Departmental Order 12-2. The Bureau of Business Services develops and maintains Departmental Order 12-2.
## 4.4 ARRA Reporting Requirements

### 4.4.1 Control of ARRA Reporting Activities

The Department has created table 4.4.1(a) to control the quality and consistency of all required ARRA reporting:

<table>
<thead>
<tr>
<th>Report Name</th>
<th>Who Receives This Report?</th>
<th>When Required?</th>
<th>Who is responsible?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Projects File (Highways Only)</td>
<td>FHWA - RADS</td>
<td>Due date: By March 31, 2009. The State shall provide an additional list of projects within 2 weeks of the State issuing a new Section 1511 certification until September 2012.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Awards File (Highways Only)</td>
<td>FHWA - RADS</td>
<td>Due date: New projects, changes and updates are to be submitted within 4 weeks of project initiation.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Sub-Awards File (Highways Only)</td>
<td>FHWA - RADS</td>
<td>Due date: New projects are to be submitted within 4 weeks of the day the contract is awarded.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Payments File (Highways Only)</td>
<td>FHWA - RADS</td>
<td>Due date: Within 30 days of the end of each calendar quarter.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Sub-Payments File (Highways Only)</td>
<td>FHWA – RADS</td>
<td>Due date: Within 30 days of the end of each calendar quarter.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Quarterly Status File</td>
<td>FHWA – RADS</td>
<td>Due date: Within 30 days of the end of each calendar quarter.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>DBE Payments and Percent Complete Data File (Highways Only)</td>
<td>FHWA – RADS</td>
<td>Due date: Due monthly by the 10th of each month.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Total Employees, Total Hours, and Total Payroll Data File (Highways Only)</td>
<td>FHWA – RADS</td>
<td>Due date: Due monthly by the 20th of each month.</td>
<td>Missy Doedtman</td>
</tr>
<tr>
<td>Section 1512 Report (<a href="http://www.federalreporting.gov">www.federalreporting.gov</a>)</td>
<td>ARRA Accountability and Transparency Board</td>
<td>Due date: Within 10 calendar days after the end of each federal fiscal year quarter.</td>
<td>ARRA Performance Reporting Subcommittee</td>
</tr>
<tr>
<td>Section 1201c Report (Maintenance of Effort)</td>
<td>FHWA</td>
<td>Due date: Due Annually on February 17th until 2012.</td>
<td>Jeff Bell &amp; Jim Olcarsik</td>
</tr>
<tr>
<td>Transportation and Infrastructure Report (T&amp;I Report)</td>
<td>Representative James Oberstar</td>
<td>Due date: October 20, 2009 and upon request.</td>
<td>Mary Sue Collins</td>
</tr>
<tr>
<td>Stimulus 360 Report</td>
<td>Office of the Governor</td>
<td>Due date: Within 3 days after the 15th of each month</td>
<td>Rhonda Jachino &amp; Dan Wilcox</td>
</tr>
</tbody>
</table>

*Table 4.4.1(a)*
4.4.2 Validation of ARRA Reporting Processes

All ARRA Reporting processes shall be validated before implementation. Validation shall be accomplished by one or more of the following ways:

- Completion of a dry run in which test reports are generated and compared to expected results
- Testing by an independent third party

Records shall be maintained by the office in which the validation occurred. Records shall provide objective evidence which demonstrates the ability of the reporting process to achieve required results.

4.4.3 Identification and Traceability of ARRA funds/projects

IDOT shall code ARRA financial records at IDOT based on instructions provided to the agencies by the Comptroller’s Office. The Monthly Management Report (MMR) has been revised to break out information related to Stimulus funding and BCM has been modified to provide stimulus required data to FOA. FOA contains Appropriations, Obligations, and Invoices by Fiscal Year. Procedures for identifying ARRA projects are as follows:

- Place “87” in Division Code within the Appropriation Account Code

- Since Division has been changed to “87” for Appropriations, IDOT shall place the following values in the 1st byte of the Sequence Number within the Appropriation Account Code to indicate Division:
  - 1 = Highways
  - 2 = Aeronautics
  - 3 = Public Transportation
  - 4 = Rail

The Sub-Responsibility (Subr) code shall be used for assigning Catalog of Federal Domestic Assistance (CFDA) Numbers.
4.4.4 ARRA Reporting Data Quality Verification

IDOT shall verify the quality of all ARRA reporting data prior to submission to all external entities. Where nonconformities are identified, they shall be addressed in accordance with the requirements of Section 5.3. Records shall be maintained of all reviews and must include the name of the reviewer, the date of each review, and the disposition of all nonconformities. Preliminary and Pre-Final reviews of Section 1512 Reports shall be recorded using the ARRA 1512 Reporting Data Quality Review Checklist (QMS 824001). Table 4.4.4(a) summarizes the verification activities for crucial data elements. Table 4.4.4(b) summarizes the verification processes for important ARRA reports.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Review Process</th>
<th>Responsible</th>
<th>Frequency of Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>New project entry to IDOT ARRA Web Application</td>
<td>• Review data entered against data source to ensure accuracy</td>
<td>• ARRA Reporting Coordinators</td>
<td>Monthly</td>
</tr>
<tr>
<td>Total Federal Expenditures/Total ARRA Federal Expenditures</td>
<td>• Review costs to ensure proper coding in federal systems. • Review and reconcile state costs against federal expenditures. • Review total federal expenditures against receipts.</td>
<td>1. Bureau of Business Services – Chief of Fiscal Operations will coordinate these reviews for Rail, Transit and Aeronautics projects 2. Bureau of Budget and Fiscal Management – Bureau Chief will coordinate these reviews for all Highways projects.</td>
<td>Monthly</td>
</tr>
</tbody>
</table>

Table 4.4.4(a)

<table>
<thead>
<tr>
<th>Report</th>
<th>Review Process</th>
<th>Responsible</th>
<th>Frequency of Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 1201c Report (Maintenance of Effort)</td>
<td>Conduct review of report data elements against data sources.</td>
<td>ARRA Reporting Coordinators</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Transportation and Infrastructure Reports (T&amp;I)</td>
<td>Conduct review of report data elements against data sources.</td>
<td>ARRA Reporting Coordinators</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Stimulus 360 Reports</td>
<td>Conduct review of report data elements against data sources.</td>
<td>ARRA Reporting Coordinators</td>
<td>Monthly</td>
</tr>
</tbody>
</table>

Table 4.4.4(b)
SECTION 5: MEASUREMENT, ANALYSIS AND IMPROVEMENT

5.1 General

IDOT plans and implements monitoring, measurement, analysis and improvement processes as needed:

- To demonstrate conformity of ARRA projects and all related documentation and records to the requirements of ARRA,
- To ensure conformity of the ARRA Management System, and
- To continually improve the effectiveness of the ARRA Management System.

These processes are identified in the ARRA Quality Plan or in policy manuals and include determination of applicable methods, including statistical techniques, and the extent of their use.

5.2 Monitoring and Measurement

5.2.1 Customer Satisfaction

As one of the measurements of the performance of the ARRA Management System, IDOT monitors information relating to customer perception as to whether the organization has fulfilled customer requirements primarily through an annual IDOT motorist survey and through other forms of customer feedback on specific processes including project evaluations or informational meetings. Records of motorist surveys are maintained by the management representative. Process-specific customer feedback is maintained by process managers or in process files.

5.2.2 ARRA Compliance Reviews

The ARRA Compliance Review Subcommittee is responsible for coordinating the various reviews required to determine whether the ARRA Management System:

- Conforms to the planned arrangements, to the requirements of the ARRA and to the ARRA Management System requirements established by the Department
- Is effectively implemented and maintained.

The ARRA Compliance Review Subcommittee shall plan and coordinate all ARRA related reviews taking into consideration the status and importance of the processes and areas to be reviewed as well as the results of previous reviews. The criteria, scope, frequency, methods, responsibilities and requirements for planning and conducting compliance reviews, and for reporting and maintaining results shall be defined and documented in the IDOT ARRA Compliance Review Plan.

All finding of nonconformity shall be corrected in accordance with the requirements of Departmental Order 14-6 (Order on Corrective Action). The management responsible for the area being reviewed is responsible for ensuring that corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities include the verification of corrective actions taken and the reporting of verification results as outlined in the IDOT ARRA Compliance Review Plan. All ARRA Compliance Review records shall be maintained by the Office of Quality and Compliance.
Review and the Bureau of Business Services as outlined in the IDOT ARRA Compliance Review Plan.

5.2.3 Monitoring and Measurement of ARRA Management System Processes

IDOT applies suitable methods for monitoring and, where applicable, the measurement of the ARRA management system processes. These methods demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, correction and corrective action is taken, as appropriate, to ensure conformity of the project or service provided.

Measures progress is reported at least quarterly as part of ARRA Task Force Meetings, and may be required more frequently as deemed appropriate by management. Feedback from management on measures status is reported back to process owners and their supervisors as needed, and is monitored in subsequent management reviews. Records of quarterly performance measures are kept by the management representative.

5.3 Control of Non-Conformities

If it is discovered that any State or Federal requirement (including ARRA requirements) was not met during the planning, design or construction of an ARRA project, it shall be immediately identified and recorded by the initiation of corrective action in accordance with the requirements of Departmental Order 14-6 and Section 5.5.2 of this manual. All nonconformities shall be corrected in one or more of the following ways:

- By taking action to eliminate the nonconformity
- By taking action to preclude its original intended use
- By authorizing acceptance of the nonconformity by the Federal Highway Administration, the Federal Aviation Administration, the Federal Rail Administration, the Federal Transit Administration or the United States Department of Transportation.

When nonconformities are corrected they shall be subject to re-verification to ensure conformity to ARRA requirements.

Implementation of corrective action shall not be required for random nonconformities identified during verification of required ARRA reports. The verifier shall clearly identify all nonconformities on the report. All nonconformities shall be corrected. Once the corrected report is completed, a second verifier shall review the corrected report to ensure the nonconformities were corrected as planned. Records of all nonconformities and of the reviews of corrected reports shall be maintained by the office in which the reviews were conducted. If an excessive number of nonconformities are identified during verification of a required ARRA report, corrective action should be initiated.

Corrective action shall be initiated for any data reporting errors or material omissions identified by external entities after required reports have been submitted (Federal Highway Administration, Federal Aviation Administration, Federal Rail Administration, the United States Department of Transportation, the Illinois Office of the Governor or the President's Office of Management and Budget).

Records of completed corrective actions shall be maintained by the IDOT Corrective Action Coordinator, the Office of Quality Compliance and Review and/or the Bureau of Business Services as required by specific procedures.
5.4 Analysis of Data

IDOT determines, collects and analyzes appropriate data to demonstrate the suitability and effectiveness of the ARRA Management System and to evaluate where continual improvement of the ARRA Management System can be made. Data analysis for use in ARRA Task Force committee meetings are coordinated by the appropriate subcommittee. Appropriate data includes data generated as a result of monitoring and measurement and from other relevant sources, including the annual motorist survey and other applicable performance measures.

Data analysis records for use in management review are maintained by the IDOT ARRA Coordinator.

5.5 Improvement

5.5.1 Continual improvement

IDOT continually improves the effectiveness of the ARRA Management System through the use of the Quality Policy, quality objectives, compliance review results, external audit results, analysis of data, corrective and preventive actions and management review.

5.5.2 Corrective action

IDOT takes action to eliminate the cause of nonconformities in order to prevent recurrence. Corrective actions are appropriate to the effects of the nonconformities encountered.

A documented procedure (Departmental Order 14-6) defines requirements for:

- Reviewing nonconformities (including customer complaints),
- Determining the causes of nonconformities,
- Evaluating the need for action to ensure that nonconformities do not recur,
- Determining and implementing action needed,
- Records of the results of action taken (see 4.2.4), and
- Reviewing corrective action taken.

5.5.3 Preventive action

IDOT determines action to eliminate the causes of potential nonconformities in order to prevent their occurrence. Preventive actions are appropriate to the effects of the potential problems.

A documented procedure (Departmental Order 14-7) defines requirements for:

- Determining potential nonconformities and their causes
- Evaluating the need for action to prevent occurrence of nonconformities
- Determining and implementing action needed
- Records of results of action taken
- Reviewing preventive action taken

**Related Documents**

<table>
<thead>
<tr>
<th>Order on Corrective Action</th>
<th>Order 14-6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Order on Preventive Action</td>
<td>Order 14-7</td>
</tr>
</tbody>
</table>
SECTION 6: ARRA REPORTING PROCEDURES

6.1 General

Table 6.1(a) identifies the procedures which have been developed to ensure all ARRA-related reporting is conducted accurately and on-time.

<table>
<thead>
<tr>
<th>Procedure Number</th>
<th>Procedure Name</th>
<th>What is the purpose of this procedure?</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1.1</td>
<td>ARRA Job Reporting Data Quality Reviews (Material Omissions)</td>
<td>This procedure is used by all reporting modes to ensure no material omissions exists of job reporting data.</td>
</tr>
<tr>
<td>6.1.2</td>
<td>ARRA Job Reporting Data Quality Reviews (Employment Data Accuracy)</td>
<td>This procedure is used by all reporting modes to conduct data accuracy quality reviews of job reporting data.</td>
</tr>
<tr>
<td>6.1.3</td>
<td>ARRA Project Entry Data Quality Reviews</td>
<td>This procedure is used to conduct data quality reviews for information entered into the IDOT ARRA Web Application.</td>
</tr>
<tr>
<td>6.1.4(a)</td>
<td>Section 1512 Reporting Process – Days 1-21</td>
<td>This flowchart documents the overall steps in the IDOT Section 1512 reporting process to be followed during days 1-21 after the end of the reporting quarter.</td>
</tr>
<tr>
<td>6.4.1(b)</td>
<td>Section 1512 Reporting Process – Days 22-29</td>
<td>This flowchart documents the overall steps in the IDOT Section 1512 reporting process to be followed during days 22-29 after the end of the reporting quarter.</td>
</tr>
<tr>
<td>6.1.5</td>
<td>Work instruction for uploading Section 1512 Reports to IDOT File Transfer Directory</td>
<td>This work instruction documents the steps required for uploading Section 1512 Reports to the IDOT File Transfer Directory.</td>
</tr>
<tr>
<td>6.1.6</td>
<td>Procedure for Registration of DUNS Administrators</td>
<td>This procedure documents the process used to complete registration of DUNS Administrators to <a href="http://www.federalreporting.gov">www.federalreporting.gov</a></td>
</tr>
<tr>
<td>6.1.7</td>
<td>Work Instruction – ARRA Quarterly Jobs Reporting: FTE Calculations</td>
<td>This work instruction documents the procedure for calculating FTE from hourly job reports for all quarterly ARRA Reporting.</td>
</tr>
<tr>
<td>6.1.8</td>
<td>Cut-Off Dates for Section 1512 Reporting</td>
<td>This procedure documents the IDOT cut-off dates for Section 1512 Reporting.</td>
</tr>
<tr>
<td>6.1.9</td>
<td>Work Instruction - 1512 Report Submission Verification</td>
<td>This work instruction documents the procedures for ensuring all 1512 reports submitted to FederalReporting.Gov passed validation and were successfully uploaded to the site.</td>
</tr>
<tr>
<td>6.1.10</td>
<td>Work Instruction – Completion of Form QMS 824001 (ARRA 1512 Data Quality Review Checklist)</td>
<td>This work instruction documents the process for completing form QMS 824001 (ARRA 1512 Data Quality Review Checklist). QMS 824001 provides documentation that all required data quality reviews have been completed and the 1512 reports are ready for upload to FederalReporting.Gov.</td>
</tr>
</tbody>
</table>
6.1.1 ARRA Jobs Reporting Data Quality Reviews – Material Omissions

ARRA Jobs Reporting – Data Quality Checks
Material Omissions

**Procedures**
- Vendor must correct any missing employment data within 24 hours of identification.
- If no action is taken within 24 hours, payment will be suspended.
- If no action is taken within 14 business days, prequalification will be reduced (DOH contracts only).
ARRA Jobs Reporting – Data Quality Checks

Employment Data Accuracy


Any projects not pass validation?

YES

Contact vendor and request a review of employment data to ensure accuracy.

Is employment data accurate?

NO

Correct data.

YES

Review expenditure information.

Is expenditure information correct?

NO

End

YES
6.1.3 ARRA Project Entry Data Quality Reviews

ARRA Project Entry – Data Quality Checks

1. Enter project details into IDOT ARRA Web Application
2. Generate Report from IDOT ARRA Web Application
3. Reviewer checks 10% of items (random sampling) against data sources
   - Errors identified? YES → Correct errors and maintain records of review
   - Errors identified? NO → Maintain records of review
4. Reviewer checks an additional 10% of items (random sampling) against data sources
   - Errors identified? YES → Correct errors and maintain records of review
   - Errors identified? NO → YES → NO
5. Reviewer checks all items against data sources
   - Errors identified? YES → Correct errors and maintain records of review
   - Errors identified? NO → Initiate corrective action procedure
Section 1512 Reporting Process - Days 1-21 after the end of reporting quarter

<table>
<thead>
<tr>
<th>IDOT Consultants/ Contractors</th>
<th>ARRA Reporting Coordinators</th>
<th>ARRA Reporting Administrator</th>
<th>Federal Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contractors/consultants enter monthly employment data on IDOT ARRA Web Application</td>
<td>For IDOT grants related to equipment purchases, appropriate ARRA Reporting Coordinator enters employment data on IDOT ARRA Web Application</td>
<td>Conduct data quality review for material omissions.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Generate Section 1512 Report(s) (XML or Excel Spreadsheet)</td>
<td>Submit Section 1512 Report(s) to IDOT File Transfer Directory</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Submit Section 1512 Report(s) to IDOT File Transfer Directory</td>
<td>Submit Section 1512 Report(s) to FederalReporting.gov</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Revise IDOT ARRA Web Application (Data Source) if errors exists.</td>
<td>Download extract from FederalReporting.gov and submit to ARRA Reporting Coordinators</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Revise Section 1512 Report(s)</td>
<td>Submit notification of errors/omissions to ARRA Reporting Coordinators</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Submit Section 1512 Report(s) to IDOT File Transfer Directory</td>
<td>Upload revised Section 1512 Report(s) to FederalReporting.gov</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Contact Governor’s office for approval to revise data</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

End of Process

Corrections necessary?

YES

NO
6.1.4(b) Section 1512 Reporting Process – Days 22-29

<table>
<thead>
<tr>
<th>Illinois Office of Internal Audits</th>
<th>ARRA Reporting Coordinators</th>
<th>ARRA Reporting Administrator</th>
<th>Federal Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Determine nature of error/omission</td>
<td>Complete 1512 Comment/Correction Tracking Form and assign to appropriate ARRA Reporting Coordinator</td>
<td>Federal Agency reviews Section 1512 Report(s)</td>
</tr>
<tr>
<td>Concur?</td>
<td>Provide response and correction (if necessary)</td>
<td>Corrections necessary?</td>
<td>YES</td>
</tr>
<tr>
<td></td>
<td>Revise IDOT ARRA Web Application (Data Source)</td>
<td>Federal Agency Review Complete</td>
<td>NO</td>
</tr>
<tr>
<td></td>
<td>Form submitted to Governor’s Office for Approval</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Correct data in Federal/Reporting.Gov and maintain records</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Form submitted to Governor’s Office for Approval

NO

YES

Concur?
6.1.5 Work instruction for uploading Section 1512 Reports to IDOT Stimulus Site

Naming Convention for Files

Naming Convention for Excel Spreadsheet Reports

1. All excel spreadsheet reporting files should be named using the following convention:
   a. Indicate the agency by the use of IDOT
   b. Reporting Period: indicate the year and month of the current report separated by a dash. Please use an abbreviation for the month and all 4 digits for the year (i.e. 2009-OCT)
   c. CFDA Number
   d. Reporting Mode: use one of the following four digit names:
      i. HWYS (for highways)
      ii. AERO (for aeronautics)
      iii. TRAN (for Transit)
      iv. RAIL (for Rail)
   e. Federal Project Number/Grant Number: use the federal project number/grant number as it appears in the federal award document corresponding to the report.
   f. Indicate filing status. Use PRIME if you are submitting a report for the agency only and SUB if you are submitting a report on behalf of, or that includes sub-recipients.

2. The different elements of the file name should be separated by a space.

3. Example: For the first submittal of a report for federal grant # 1234567 which includes sub-recipient information from Division of Aeronautics for the October, 2009 reporting period, the file name should look like this:

   IDOT 2009-OCT 20.106 AERO 1234567 SUB

Naming Convention for XML Reports

All XML reporting files shall be named by Filing Status and Federal Project Number/Grant Number.

Uploading Files to IDOT File Transfer Directory

1. Please load all files at once. Do not begin deposit reports in the file transfer directory until all reports have been completed.

2. Access the IDOT File Transfer Directory at the following address:

\Cocent1\data1\Transfer

Open the folder named “ARRA OMB Quarterly Reports”: 
ARRA Quality Plan

Effective: 01/01/11

3. Select the folder corresponding to the mode for which you are submitting reports:

   ![Folder Selection](image)

4. Upload your reports into the appropriate folder.
5. Notify Dan Loyd and Gwen Montgomery (cc: John Webber, , and John Baranzelli) via e-mail that your reports have been submitted and are ready for upload. In the subject line, please identify the reporting mode, CFDA #, and date of the report you have uploaded. In the body of the message please indicate the number of reports and the location:
### 6.1.6 Procedure for Registration of DUNS Administrators

<table>
<thead>
<tr>
<th>Requestor</th>
<th>IDOT Point(s) of Contact</th>
<th>ARRA Performance Reporting Subcommittee Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Go to</strong> <a href="http://www.federalreporting.gov">www.federalreporting.gov</a> and select “Register Now”. Enter all required information.**</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Contact requestor and confirm request was submitted. Determine need for registration.</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Request review of request by Chair of ARRA Performance Reporting Subcommittee</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Complete registration. Submit records of log-in and password information to Agency Point of Contact</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Approve request in system.</strong></td>
<td><strong>YES</strong> Request Approved? <strong>NO</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Notify requestor that request has been denied.</strong></td>
<td></td>
</tr>
</tbody>
</table>
6.1.7 Work Instruction – ARRA Quarterly Jobs Reporting: FTE Calculation

1.0 Purpose

1.1 This work instruction describes the procedure to be used to calculate full time equivalents (FTE) for all quarterly ARRA jobs reporting.

1.0 Definitions

1.1 For the purposes of all ARRA-related jobs reporting, a work year shall be defined as 2,080 hours (520 hours per quarter).

3.0 Work Instruction

3.1 Divide the number of hours reported by 520 hours to calculate the quarterly FTE.

3.2 Divide the total ARRA award amount for the project by the total contract award amount to determine the ARRA funding ratio.

3.3 Multiply the quarterly FTE by the ARRA funding ratio.

3.4 The total of steps 3.1 – 3.3 is the final FTE calculation.

3.4.1 Summary:

3.4.1.1 Number of hours reported/520 hours = Quarterly FTE

3.4.1.2 Total ARRA award amount/total contract award amount = ARRA funding ratio.

3.4.1.3 Quarterly FTE X ARRA funding ratio = Final FTE calculation.
### 6.1.8 Cut-Off Dates for Section 1512 Reporting

<table>
<thead>
<tr>
<th>Deadline</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>30 days prior to the end of the reporting quarter</td>
<td>Notify Contractors/Consultants/Vendors of reporting requirements.</td>
</tr>
<tr>
<td>15 days prior to the end of the reporting quarter</td>
<td>ARRA Performance Reporting Subcommittee Meeting – Readiness Review</td>
</tr>
<tr>
<td>2 days after the end of the reporting quarter</td>
<td>Deadline for submission of jobs data to IDOT ARRA Web Application</td>
</tr>
<tr>
<td>5 days after the end of the reporting quarter</td>
<td>Deadline for review and correction of jobs data for IDOT ARRA Web Application</td>
</tr>
<tr>
<td>6 days after the end of the reporting quarter</td>
<td>- Upload data from IDOT ARRA Web Application to FHWA RADS System (DOH only)</td>
</tr>
<tr>
<td></td>
<td>- Download report from FHWA RADS System (DOH only)</td>
</tr>
<tr>
<td></td>
<td>- Create Section 1512 Report(s) from IDOT ARRA Web Application</td>
</tr>
<tr>
<td></td>
<td>- ARRA Reporting Coordinators upload Section 1512 Report(s) to IDOT File</td>
</tr>
<tr>
<td></td>
<td>Transfer Directory by 10:00 AM.</td>
</tr>
<tr>
<td></td>
<td>- ARRA Reporting Administrators upload Section 1512 Report(s) to Governor’s</td>
</tr>
<tr>
<td></td>
<td>Portal by NOON.</td>
</tr>
<tr>
<td>7 days after the end of the reporting quarter</td>
<td>- ARRA Reporting Coordinators complete all necessary revisions to 1512</td>
</tr>
<tr>
<td></td>
<td>reports and upload revised reports to the IDOT File Transfer Directory</td>
</tr>
<tr>
<td></td>
<td>- All revisions must be complete and revised reports must be submitted to</td>
</tr>
<tr>
<td></td>
<td>the Governor’s Portal by 5:00 PM.</td>
</tr>
<tr>
<td>8 days after the end of the reporting quarter</td>
<td>ARRA Reporting Administrators upload Section 1512 Report(s) to FederalReporting.Gov by NOON.</td>
</tr>
<tr>
<td>10 days after the end of the reporting quarter</td>
<td>Deadline for uploading Section 1512 Report(s) to <a href="http://www.federalreporting.gov">www.federalreporting.gov</a></td>
</tr>
<tr>
<td>11 days after the end of the reporting quarter</td>
<td>- ARRA Reporting Administrators create reports from <a href="http://www.federalreporting.gov">www.federalreporting.gov</a></td>
</tr>
<tr>
<td></td>
<td>- ARRA Reporting Coordinators begin final data quality reviews</td>
</tr>
<tr>
<td>15 days after the end of the reporting quarter</td>
<td>- Deadline for ARRA Reporting Coordinators to submit corrections to ARRA</td>
</tr>
<tr>
<td></td>
<td>Reporting Administrators.</td>
</tr>
<tr>
<td></td>
<td>- ARRA Reporting Administrators begin correcting data on <a href="http://www.federalreporting.gov">www.federalreporting.gov</a></td>
</tr>
<tr>
<td>21 days after the end of the reporting quarter</td>
<td>Deadline for ARRA Reporting Administrators to complete data corrections to</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.federalreporting.gov">www.federalreporting.gov</a></td>
</tr>
<tr>
<td>30 days after the end of the reporting quarter</td>
<td>ARRA Performance Reporting Subcommittee Meeting – Lessons Learned</td>
</tr>
<tr>
<td>45 days after the end of the reporting quarter</td>
<td>ARRA Performance Reporting Subcommittee reports results to ARRA Task Force</td>
</tr>
</tbody>
</table>
6.1.9 Work Instruction - 1512 Report Submission Verification

1.0 Purpose

1.1 This work instruction describes the procedure to be used to verify all 1512 reports have been successfully accepted by FederalReporting.Gov.

2.0 Definitions

2.1 Reports shall be considered accepted when they pass all validation tests and are available for review on FederalReporting.Gov.

3.0 Work Instruction

3.1 Identify the number of reports which will be submitted during the planned upload.

3.2 Complete activities necessary for the report upload.

3.3 Review the e-mail received from FederalReporting.Gov. Identify any reports which display the results "Failed Validation".

3.4 Log-onto FederalReporting.Gov and access the uploaded reports. Determine the total number of reports displayed on the site. Compare the number of reports on the site to the number of reports which were submitted to ensure the totals match.
6.1.10 Work Instruction – Completion of Form QMS 824001

1.0 Purpose

1.1 This work instruction describes the procedure for completing QMS 824001 (ARRA 1512 Data Quality Review Checklist).

2.0 Responsibilities

2.1 ARRA Reporting Coordinators are responsible for completing a QMS 824001 form and submitting the form to the IDOT ARRA Coordinator to request submission of the 1512 reports completed for their modes. Each reporting mode shall complete one form during each reporting cycle.

2.2 ARRA Reporting Administrators are responsible for submitting ARRA 1512 Reports to the Illinois Federal Test Site and FederalReporting.Gov. ARRA Reporting Administrators are also responsible for completing extracts of reports submitted to the Illinois Federal Test Site and FederalReporting.Gov and providing the extracts to the ARRA Reporting Coordinators to enable them to complete their data quality reviews.

3.0 Definitions

3.1 Phase A Reviews: Reviews completed of static data elements contained in new 1512 reports (not submitted in a previous quarter). Phase A Reviews are only required when new 1512 reports will be submitted to FederalReporting.Gov. Templates and procedures for conducting Phase A Reviews are maintained in the Division of Highways, Central Bureau of Construction.

3.2 Phase B Reviews: Reviews completed of dynamic elements (i.e. subject to change from quarter to quarter) in current 1512 reports. Templates and procedures for conducting Phase B Reviews are maintained in the Division of Highways, Central Bureau of Construction.

3.3 Expenditure Validation Report (R014): The expenditure validation report calculates the ratio of jobs reported (expressed as a FTE) per $1M of expenditure and identifies any job ratios that are less than 1 job/$1M of expenditure and more than 50 jobs/$1M of expenditure. The purpose of this report is to identify projects for which jobs reported falls outside of expected ranges.

4.0 Work Instruction

4.1 Complete Phase A Reviews using the Phase A Review Checklist.

4.2 Complete Phase B Reviews using the Phase B Review Checklist.

4.3 Generate R014 from ESP09 and clear or correct all exceptions. Maintain records of the investigation and resolution of each exception for future audits.

4.4 Submit 1512 reports to the ARRA Reporting Administrator for upload to the Illinois Test Site in accordance with procedure number 6.1.5.

4.5 After successful upload to the Illinois Test Site, the ARRA Reporting Administrator will complete an extract of all 1512 reports submitted.
4.5.1 Generate R024 from ESP09 and compare the sum of job creation numbers for your mode to the total contained in the extract from the Illinois Test Site and confirm the totals match.

4.5.1.1 If the totals do not match, contact Mary Sue Collins in the Bureau of Information Processing for assistance.

4.5.2 Use R024 to compare the sum of ARRA expenditures for your mode to the total contained in the extract from the Illinois Test Site and confirm the totals match.

4.5.2.1 If the totals do not match, contact Mary Sue Collins in the Bureau of Information Processing for assistance.

4.6 Contact appropriate personnel to ensure reimbursements from the applicable federal system has been reconciled to FOA. Maintain record of their confirmation in your project files for future audits.

4.7 Contact Lori Beeler in the Bureau of Business Services to confirm that FOA expenditures for your mode have been reconciled to totals in SAMS.

4.8 Where exceptions exists that are not within your power to correct, note these exceptions under "Exceptions/Comments".

4.9 Sign and date the form, scan and submit via e-mail to the IDOT ARRA Coordinator (John Webber) and cc: the ARRA Reporting Administrators.

4.10 Maintain the original completed form in your project files for future audits.
The ARRA Quality Plan will be reviewed by the ARRA Task Force committee for adequacy annually and updated as necessary. Updates are approved by the IDOT ARRA Coordinator and made to the electronic file as needed and hard copies are uncontrolled. Archive versions are available to examine in the Bureau of Business Services.

ARRA QUALITY PLAN REVISIONS

<table>
<thead>
<tr>
<th>REV.</th>
<th>SECTION</th>
<th>DATE</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Revised Figure 1.1a to clarify roles and responsibilities of ARRA Compliance Review Subcommittee.</td>
<td>1.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added references to the ARRA Summary Overview and the ARRA Risk Assessment.</td>
<td>2.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added measurements and goals for ARRA compliance review processes.</td>
<td>2.3.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised Table 2.4.2(a) to clarify roles and responsibilities of ARRA Compliance Review Subcommittee.</td>
<td>2.4.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised inputs to clarify the difference between external audits and internal compliance reviews.</td>
<td>2.5.2</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added text to identify that the need for additional allocation of resources is assessed during ARRA Task Force meetings.</td>
<td>3.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Identified the Department’s resources analysis and provided additional information of actions taken to address resource needs.</td>
<td>3.2.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added text to clarify roles and responsibilities of ARRA Compliance Review Subcommittee.</td>
<td>4.2.2</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added text to identify the role of ARRA compliance reviews in ensuring quality of outsourced activities.</td>
<td>4.3.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Updated table 4.4.1(a) to clarify responsibilities for Section 1201(c) report.</td>
<td>4.4.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Updated table 4.4.4(a) to clarify responsibilities of BoBS Chief of Fiscal Operations.</td>
<td>4.4.4</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Clarified the roles and responsibilities of the ARRA Compliance Review Subcommittee.</td>
<td>5.2.2</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added text to include all “State and Federal Requirements” in addition to ARRA requirements.</td>
<td>5.3</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Clarified the difference between audits and compliance reviews.</td>
<td>5.5.1</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Eliminated need to identify version history in 1512 reports naming convention.</td>
<td>6.1.5</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added procedure for verification of submitted 1512 reports</td>
<td>6.1.9</td>
<td>12/18/09</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added “Diversity” to guiding principles</td>
<td>Introduction</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
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<tr>
<td>Removed “Chuck Ingersoll” from responsibility for RADS reports for clarification.</td>
<td>4.4.1</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
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<tr>
<td>Revised Stimulus 360 report frequency to once per month (15th)</td>
<td>4.4.1</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Changed responsibility for reviewing jobs data against certified payroll to ARRA reporting coordinators. Changed frequency of review from “continuous” to “as needed”.</td>
<td>Table 4.4.4(a)</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised frequency of Stimulus 360 reports to monthly</td>
<td>Table 4.4.4(b)</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Added clarification regarding responsibility for maintaining records of corrective actions to reference OQCR and BoBS.</td>
<td>5.3</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised table to reflect changes to ARRA reporting procedures.</td>
<td>6.1</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised procedure for ARRA Jobs Reporting Data Quality Reviews into two separate procedures: 1) Material Omissions, and 2) Employment Data Accuracy</td>
<td>6.1.1</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td></td>
<td>6.1.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revised flowchart to more accurately reflect the current 1512 reporting process.</td>
<td>6.1.4(a)</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised flowchart to more accurately reflect the current 1512 reporting process.</td>
<td>6.1.4(b)</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
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<tr>
<td>Revised work instruction to clarify file naming convention and to add Gwen Montgomery to distribution list for file upload notification.</td>
<td>6.1.5</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised FTE calculation to reflect latest OMB Guidance.</td>
<td>6.1.7</td>
<td>03/31/2010</td>
<td>Bill Grunloh</td>
</tr>
<tr>
<td>Revised signature block to reflect John Webber’s appointment as IDOT ARRA Coordinator.</td>
<td>Introduction</td>
<td>10/01/2010</td>
<td>John Webber</td>
</tr>
<tr>
<td>Revised table 2.4.1(b) to reflect changes to responsibilities.</td>
<td>2.4.1</td>
<td>10/01/2010</td>
<td>John Webber</td>
</tr>
<tr>
<td>Revised to reflect change in responsibility – IDOT ARRA Coordinator.</td>
<td>2.4.2</td>
<td>10/01/2010</td>
<td>John Webber</td>
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<tr>
<td>Revised table 4.4.1(a) to reflect recent changes in responsibilities.</td>
<td>4.4.1</td>
<td>10/01/10</td>
<td>John Webber</td>
</tr>
<tr>
<td>Revised table 4.4.4(a) to reflect recent changes to frequency of reviews of certified payroll.</td>
<td>4.4.4</td>
<td>10/01/10</td>
<td>John Webber</td>
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<tr>
<td>Revised flow-chart to assign responsibility for generation of report ESP09-R13 to the ARRA Reporting Coordinators.</td>
<td>6.1.1</td>
<td>10/01/10</td>
<td>John Webber</td>
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<tr>
<td>Revised flow-chart to remove reference to certified payroll reviews. Certified payroll reviews will now be conducted during 1512 quarterly reporting data quality reviews.</td>
<td>6.1.2</td>
<td>10/01/10</td>
<td>John Webber</td>
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<tr>
<td>Revised table to reflect changes in assignment of personnel as ARRA Reporting Administrators.</td>
<td>2.4.1</td>
<td>01/01/11</td>
<td>John Webber</td>
</tr>
<tr>
<td>Removed requirement that all verification activities include a review by independent reviewers.</td>
<td>4.4.4</td>
<td>01/01/11</td>
<td>John Webber</td>
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</tbody>
</table>
Clarified that completion of data quality reviews is the responsibility of the ARRA Reporting Coordinator.

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<td>4.4.4(b)</td>
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Added procedure number 6.1.10

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<td>6.1</td>
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Revised procedure to reflect change in assignment of responsibility for ARRA Reporting Administrator.

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