



Community Development Block Grant - Coronavirus

SHELTER CONSTRUCTION PROGRAM

City of Chicago, Department of Housing

LA CASA NORTE

SECTION IV

APPLICATION FORMS

CDBG Shelter Construction Application Submission Checklist

All applications will be screened for completeness. Applicants must complete and submit this checklist with the application. **All pages of the application must be sequentially numbered.** Use the right-hand column, labeled "Page Number" to indicate the page for each item.

- ___ Original grant application (*indicate the "original" on the label on the cover*)
- ___ A complete copy of the grant application (*indicate the "copy" on the label on the cover*)

PROJECT INFORMATION

PAGE NUMBER

- | | |
|---|-------|
| ___ Completed Submission Checklist (This Page) | _____ |
| ___ Letter of Transmittal from Chief Official | _____ |
| ___ *State of Illinois DCEO Uniform Grant Application (See Section III F) | _____ |
| ___ CDBG Applicant Project Information | _____ |
| ___ Project Summary (See Section III F) | _____ |
| ___ Project Readiness Summary (See Section III F) | _____ |
| ___ Documentation of Property Ownership (if applicable) | _____ |
| ___ Current Lease for the Location (if applicable) | _____ |
| ___ Copy of Option to Purchase (if applicable) | _____ |
| ___ Zoning Documents (See Section III F) | _____ |
| ___ Project Location Map (See Section III F) | _____ |
| ___ FEMA Issued Floodplain Map (See Section III F) | _____ |
| ___ Working Cost Estimate | _____ |
| ___ Architect or Engineer's Cost Estimate (See Section III F) | _____ |
| ___ GATA Budget (See Section III I) | _____ |
| ___ Real Estate Listing or Appraisal (if applicable) | _____ |
| ___ Firm documentation of commitment from other funding source(s) (See Section III E) | _____ |
| ___ Minority Benefit/Affirmative Housing Statement | _____ |

DOCUMENTATION, CERTIFICATIONS, RESOLUTIONS

- | | |
|---|-------|
| ___ Letter(s) of Support from 5 community homelessness support services; | _____ |
| ___ Resolution of Support or Resolution of Support and Commitment of Local Funds | _____ |
| ___ Certified Minutes of the Meeting authorizing application and Attendance Sheet(s) | _____ |
| ___ Documentation of Meeting Notice | _____ |
| ___ Local Government Certifications | _____ |
| ___ Mandatory Disclosures | _____ |
| ___ Conflict of Interest Disclosure | _____ |

ATTACHMENTS

- | | |
|--|-------|
| ___ W-9 | _____ |
| ___ SAM Registration (CAGE #) | _____ |
| ___ IRS Certification Letter | _____ |
| ___ GATA Registration Printout | _____ |
| ___ Copy of Current Shelter Funding Strategy | _____ |

* Uniform Grant Application - Lines 21-27 should contain the grant administrator's contact information; lines 28-34 should contain the contact information for the person who will be working on the grant within the organization; lines 41-46 should be contact information for the Chief Official and line 47 should be signed by the Chief Official as the "Authorized Representative."

Letter of Transmittal

This information must be transferred to the Applicant's Official Letterhead

June 24, 2024

The Honorable Kristin A. Richards
Director
Illinois Department of Commerce & Economic Opportunity (DCEO)
607 East Adams
Springfield, Illinois 62701

Dear Director Richards:

The City of Chicago Department of Housing is applying for a Shelter Construction grant under the Community Development Block Grant-Coronavirus program (CDBG-CV). We are requesting \$2,000,000 for the rehabilitation of a prospective property for a into a non-congregate shelter dedicated to the provision of stable, safe, and adequate housing and with a goal of increasing capacity to pre-covid levels. This funding will help the City address gap financing for the costs associated facility conversion into a non-congregate shelter (NCS) in order to mitigate the spread of infectious diseases i.e., COVID-19. These improvements will also enable the addition of 3 new beds to the shelter which will also be installed in a non-congregate setting.

The proposed property is located at 1622 N. California Avenue, Chicago, IL 60647 and the program will be executed in collaboration with the partner *La Casa Norte* as a partner in the City of Chicago Department of Housing's Non-Congregate Shelter acquisition program and a recipient of City funds. Based upon the U.S. Department of Housing and Urban Development's definition of "limited clientele" the benefit to low-to-moderate-income individuals is 100%. The City of Chicago will contribute approximately \$4,300,000 in City municipal bond proceeds toward the acquisition and rehabilitation of the property to be utilized as a non-congregate shelter for unhoused Chicago youth.

I certify that this application will address the purpose of CDBG-CV funds by preventing, preparing for, or responding to COVID-19 and future public health crises. Please accept this letter of transmittal on behalf of the City of Chicago's application to fund the rehabilitation of this shelter. I welcome the opportunity to partner with you. In keeping with your existing rules and regulations, I urge you to give this proposal your full and fair consideration.

Very truly yours,

STATE OF ILLINOIS – DCEO UNIFORM GRANT APPLICATION

The Uniform Grant Application can be found as part of the Notice of Funding Opportunity (NOFO) at: [Apply for Funding - Grant Opportunities \(illinois.gov\)](https://www.illinois.gov/apply)

* Uniform Grant Application - Lines 21-27 should contain the grant administrator’s contact information; lines 28-34 should contain the contact information for the person who will be working on the grant within the organization; lines 41-46 should be contact information for the Chief Official and line 47 should be signed by the Chief Official as the “Authorized Representative.”



**Illinois
Department of Commerce
& Economic Opportunity**

Uniform Application for State Grant Assistance

Agency Completed Section

1. Type of Submission:

Pre-Application

Application

Changed/Corrected Application

2. Type of Application:

New

Continuation (i.e. Multiple Year Grant)

Revision (Modification to Initial Application)

3. Date/Time Received By State (Completed by
State Agency Upon Receipt of Application)

4. Name of Awarding Agency

5. Catalog of State Financial Assistance (CSFA) Number

6. CSFA Title

Federal Assistance Listing

Not Applicable (No Federal Funding)

7. Assistance Listing Number #1

8. Assistance Listing Program Title #1

9. Assistance Listing Number #2

10. Assistance Listing Program Title #2

Additional Assistance Listing Number,
if required

Additional Assistance Listing Program
Title, if required

Funding Opportunity Information

11. Funding Opportunity Number

12. Funding Opportunity Title

Competition Identification Not Applicable

13. Competition Identification Number

14. Competition Identification Title

Applicant Completed Section

Applicant Information

15. Legal Name

16. Common Name (DBA)

17. Employer/Taxpayer Identification Number
(EIN, TIN)

18. Organizational DUNS Number (optional)

19. SAMS Unique Entity Identifier (UEI)

20. Business Address

City

State

County

Zip + 4

Applicant's Information

21. Department Name

22. Division Name

Applicant's Name and Contact Information for Person to be Contacted for *Program/Project* Matters Involving This Application

23. First Name

24. Last Name

25. Suffix

26. Title

27. Organizational Affiliation

28. Telephone Number

29. Fax Number

30. Email Address

Applicant's Name and Contact Information for Person to be Contacted for *Business/Administrative Office* Matters Involving This Application

31. First Name

32. Last Name

33. Suffix

34. Title

35. Organizational Affiliation

36. Telephone Number

37. Fax Number

38. Email Address

Areas Affected

39. Areas Affected by the Project (cities, counties, state-wide)

40. Legislative and Congressional Districts of Applicant

41. Legislative and Congressional Districts of Program/Project

Applicant's Program/Project

42. Descriptive Title of Program/Project

43. Proposed Program/Project Term

Start Date:

End Date:

44. Estimated Funding (include all that apply)

Amount Requested from the State Applicant

Contribution (e.g. in kind, matching)

Local Contribution

Other Sources of Contribution

Program Income

Total Program/Project Amount (calculated)

Applicant Certification:

By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. (U.S. Code, Title 18, Section 1001)

(*) The list of certification and assurances, or an internet site where you may obtain this list is contained in the Notice of Funding Opportunity. If a NOFO was not required for the award, the state agency will specify required assurances and certifications as an addendum to the application.

I agree

Authorized Representative

45. First Name

46. Last Name

47. Suffix

48. Title

49. Telephone Number

50. Fax Number

51. Email Address

52. Signature of Authorized Representative

53. Date Signed

CDBG-CV APPLICANT PROJECT INFORMATION

I. PROJECT BENEFIT INFORMATION - Provide the following:

PROJECT LOCATION (Address):

Street: 1622 N California Ave.

City: Chicago, IL Zip Code: 60647

The project location will be utilized to verify inclusion in an an opportunity zone and/or DCEO underserved area.

CENSUS TRACT(s) and /BLOCK GROUP NUMBER(s) of project area

2408.00				

TOTAL SHELTER CAPACITY ON JANUARY 1, 2020:
40

TOTAL ANTICIPATED CAPACITY AS A RESULT OF THIS PROJECT:
43

II. APPLICANT INFORMATION

Applicant Phone	(312) 744-3653
Applicant E-Mail	DOH@cityofchicago.org
Fiscal Year End Date	12/31
Applicant UEI #	MGP9V14KFTR6

III. APPLICATION WRITER

First Name	Frank		
Last Name	Zhu		
Title	Sr Recovery Team Program Manager		
Agency Name	City of Chicago Office of Budget & Management		
Agency Type	Government Agency		
Mailing Address	121 N La Salle ST RM 604 Chicago, Illinois 60602-1241, United States		
Telephone	312-744-5836	Email	Frank.zhu@cityofchicago.org
Federal Employer Identification Number of Application Writer	36-6005820		
RACF ID Number (if applicable)			

IV. PROJECT ENGINEER or ARCHITECT

First Name	Jack		
Last Name	Schroeder		
Title	Principal		
Agency Name	LBBA		
Agency Type	Architecture Firm		
Mailing Address	1625 W Carroll Ave., Chicago, IL 60612		
Telephone	312-212-0780	Email	JSchroeder@lbba.com
Federal Employer Identification Number of Engineer or Architect	36-3514997		

PROJECT SUMMARY

See Section III F-3

Describe the project – What is being proposed (i.e. what specific construction, reconstruction or acquisition activities and at what locations will they occur) and why? Applicants may also submit blueprints as a supplement to their submission, if they deem necessary in order to show project details sufficiently.

The City of Chicago Department of Housing (DOH), in partnership with La Casa Norte, is pleased to submit a proposal for the IL DCEO CDBG-Coronavirus Urban Shelter Program. The City and La Casa Norte are requesting \$2,000,000 from the State to address funding gaps for the conversion of the facility into a non-congregate shelter. The facility is located at 1622 N. California Ave in the Humboldt Park community area in Chicago, Illinois. This project will enable the rehabilitation of a former single-room occupancy (SRO) building to serve as a non-congregate shelter for youth 18 – 24 years old in Chicago.

In 2022 City of Chicago Department of Housing issued a competitive request-for-proposals (RFP) to support the transition of existing shelters into non-congregate settings to mitigate the spread of COVID-19 during the pandemic. Through the RFP, *La Casa Norte* was selected as a recipient for City funds to rehabilitate and renovate the Casa Corazon shelter, a low-barrier youth-serving shelter with 40 beds. This selection was based on their need for a new location, mission alignment, and readiness and capacity to own. Their existing shelter program operated in a congregate setting, and the building being rented had significant structural and repair challenges. They sought to move the program into a new property that would establish a safe and dignified non-congregate setting for youth at Casa Corazon. This aligned closely with the City's mission to move more of the existing shelter system into non-congregate settings based on better health and housing outcomes.

With City-funded acquisition taking place later this year, we are seeking CDBG-CV funds to support the second phase of the project in the rehabilitation and establishment of services on the first floor level. The blueprints of planned renovation are attached to this application.

Describe the project location and surrounding area, its attributes and challenges. Include information on nearby public transportation or agency shuttle services, and location of nearby entities that may serve the homeless population

La Casa Norte has worked closely with the Department of Housing (DOH) and the Department of Family and Support Services (DFSS) and is under contract to acquire a building in the Humboldt Park community area located at 1622 North California Avenue.

The building, located at 1622 North California Avenue, is adjacent to Humboldt Park. The park has been a primary location for unsheltered homelessness in the city. Creating a non-congregate shelter within walking distance can help to serve any youth at the park experiencing unsheltered homelessness – this is one of the key attributes and challenges of this location, and a primary reason for seeking to locate non-congregate shelter in this part of the city. This area is rich in amenities and easy access to nodes of public transportation including access to major bus routes and Chicago Transit Authority (CTA) Western and California Blue Line stops. The shelter will be across the street from Wright College, Humboldt Park—a training site for Vocational City Colleges, Erie Community Health, a Federally Qualified Health Center (FQHC), around the corner, and other *La Casa Norte* services located nearby in the community. However, this area is experiencing rapid gentrification in the community area accentuating the critical need for more shelter services to this part of the City.

In addition to aligning with equitable transit-oriented development (ETOD) principles, this site was selected for several other reasons:

- The property, originally an SRO for low-income residents at risk of homelessness, was previously acquired and renovated to rent at market rate as micro-apartments. This new acquisition will return the building to its original purpose of serving people experiencing homelessness.

- Due to prior structural adaptations, the vast majority of residential units can remain as is, and will begin serving as shelter upon acquisition. The primary rehabilitation is planned for the first floor, which will be adapted to a resource center to provide direct supportive services to residents, a community center with life skills training, and ADA accessible units.
- The location, through in another part of the City from the current Casa Corazon site, is in close proximity to La Casa Norte's other programming site – this will allow for continued organizational deepening in the Humboldt Park community, as well as provide service proximity for residents.

The degree to which present conditions affect public health and safety, and the severity and immediacy of the problem.

Even prior to the Covid-19 pandemic, approximately 30% of the 3,304 shelter beds in the City of Chicago Department of Family and Support Services were in congregate spaces with over 20 people per space and shared bathrooms. For shelter-served single individuals, over 80% of individuals were housed in congregate spaces. In 2022 alone, La Casa Norte emergency shelters logged 3,641 unique overnight stays by unhoused Chicago youth ages 18 through 24. Additional concerns include the fact that youth facing hunger are more likely to be hospitalized and experience higher rates of health-related complications.

Whether the project is necessary to comply with state or federal regulations.

The City of Chicago and La Casa Norte will comply with all applicable federal and state requirements. This includes 2 CFR 200, 24 CFR 570, Part 85, and the Grantee Accountability & Transparency Act (GATA). The City of Chicago is a recipient of entitlement funds from various federal and state agencies, and has extensive experience in complying with requirements associated with these funds. La Casa Norte has been a recipient of federal and state funds, and is additionally familiar. Key compliance requirements are:

- The National Environmental Policy Act (NEPA), as the City complies with environmental procedures, standards and guidelines mandated by NEPA and all other applicable environmental regulations (e.g., prime farmland protection, historic preservation, floodplain hazards, etc.).
- The Interagency Wetland Policy Act of 1989, as the proposed project is compatible with established State of Illinois policy regarding wetlands.
- The Illinois Endangered Species Protection Act and the Illinois Natural Area Preservation Act & Federal Endangered Species Act of 1973, as the City adheres to the completion of the consultation process of the Endangered Species Consultation Program of the Illinois Department of Natural Resources, as well as Federal Endangered Species Compliance under 24 CFR 58.5(e).
- The Davis-Bacon prevailing Wage Act, as prevailing wages will be paid for all construction funded in whole or in part with Federal funds, including funds passed through private firms.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1987., as any person displaced as a result of federal assistance must be provided with Uniform Relocation benefits.
- Equal Opportunity and Fair Housing Accessibility Laws, as the City administers projects in a manner that affirmatively furthers equal opportunity and housing. Also, all activities further fair housing and are accessible to persons with disabilities.
- Section 3 under the Housing and Urban Development Act of 1968, as the City will provide to the greatest extent possible and consistent with the existing federal, state, and local laws and regulations, job training, employment, contracting and other economic opportunities, to Section 3 and Section 3 business concerns.
- The National Emission Standards for Hazardous Air Pollutants (NESHAP) of the U.S. Clean Air Act, as the people outside the related buildings will be protected from airborne asbestos.

- Steel Products Procurement Act (30 ILCS 565 et seq.), certifying that any steel products used or supplied in accordance with this award for a public works project shall be manufactured or produced in the US per the requirements of the Steel Products Act (30 ILCS 565 et seq.).

PROJECT READINESS SUMMARY

See Section III F-4

Status of required permit(s) from the local, state and or federal agencies.

La Casa Norte is in the process of seeking a Zoning Special Use Permit for the property, and is planned to be on the Chicago Zoning Board of Appeals agenda for the July meeting. Once the Special Use Permit is obtained, they will work to gather building permits required for the first floor renovation plan.

Option To Purchase/Property Ownership - Identify the ownership of any property needed to complete the project (including option to purchase); and verify that the project will be shovel-ready; Agreements should be in place and included as documentation in the grant application.

La Casa Norte under an active purchase and sale agreement for the property. The purchase is anticipated to take place ahead of the awarding timeline for the CDBG-CV grant opportunity, and it is expected that permits for construction will be in place for the project to be shovel-ready upon grant award.

Additional funding commitment(s) – Address all additional funding commitments in narrative form.

The DOH non-congregate shelter acquisition program was established through the Chicago Recovery Plan (CRP). As such, the project proposed will receive CRP municipal bond funding. This funding was specified in the Chicago Recovery Plan, and across the program DOH plans to commit \$80- 100k per bed to selected grantee finalists from City funds to support the project. The CRP ordinance, plan, and exhibit specify and commit this funding to non-congregate housing.

If a "phased project," indicate the status of all pertinent readiness issues. In addition, the application should include supporting documentation of council/board-approved phases, as appropriate.

This project is planned to be phased – the acquisition is planned to take place through the DOH non-congregate shelter acquisition program. The rehabilitation of the first floor for use as supportive services space will take place after the acquisition phase with the support of this and/or other funding opportunities.

DOCUMENTATION of PROPERTY OWNERSHIP – N/A
CURRENT LEASE – N/A
COPY OF OPTION TO PURCHASE

The property is currently under contract for acquisition. Thus, there is no documentation of property ownership, nor will there be a lease agreement. A purchase sale agreement for the sale of 1622 N. California Ave. is currently in effect and will be included with the submittal of this grant application to IL DCEO.

ZONING DOCUMENTS

See Section III F-5

Insert Here



DEPARTMENT OF PLANNING AND DEVELOPMENT
CITY OF CHICAGO

June 25, 2024

Kristin A. Richards
Director
IL Dept. of Commerce and Economic Opportunity
607 E. Adams St.
Springfield, IL 62701

Re: **1622 N. California Avenue**

Dear Ms. Richards:

This letter is in regard to the property at 1622 N. California Ave. The subject site is zoned B3-1 Community Shopping District and located within the predominance of the Block (606) District, the Northwest ADU Area and the ARO Community Preservation Area. It is our understanding that La Casa Norte is seeking to purchase the subject property and convert the existing 4-story, mixed-use building into a transitional shelter. The shelter will contain 43 non-congregate beds for youths ages 18-24 experiencing homelessness. The ground floor of the building will include a community center providing meals, training, counseling, and other services. Funding for the project includes approximately \$4M in grant funds provided by the City of Chicago to be used to acquire and rehab the property. The City is also seeking up to \$2M in funds from the State of IL.

Pursuant to Section's 17-3-0207-B10 and 17-3-0207-11 of the Zoning Ordinance, both a transitional shelter and a community center require special use approval in the B3 district. Two special use applications for the establishment of the shelter and community center, along with a variation application to reduce the automobile parking from 5 spaces to 0 spaces, have been filed with the Zoning Board of Appeals. They are tentatively scheduled to be heard on July 19, 2024. If the applications are approved by the Zoning Board of Appeals, our review of building permit application no. 101046267 can be completed. All new construction must comply with the requirements of the B3 district, and all necessary permits must be obtained prior to the start of construction.

Sincerely,

Patrick Murphey
Zoning Administrator

PM:tm

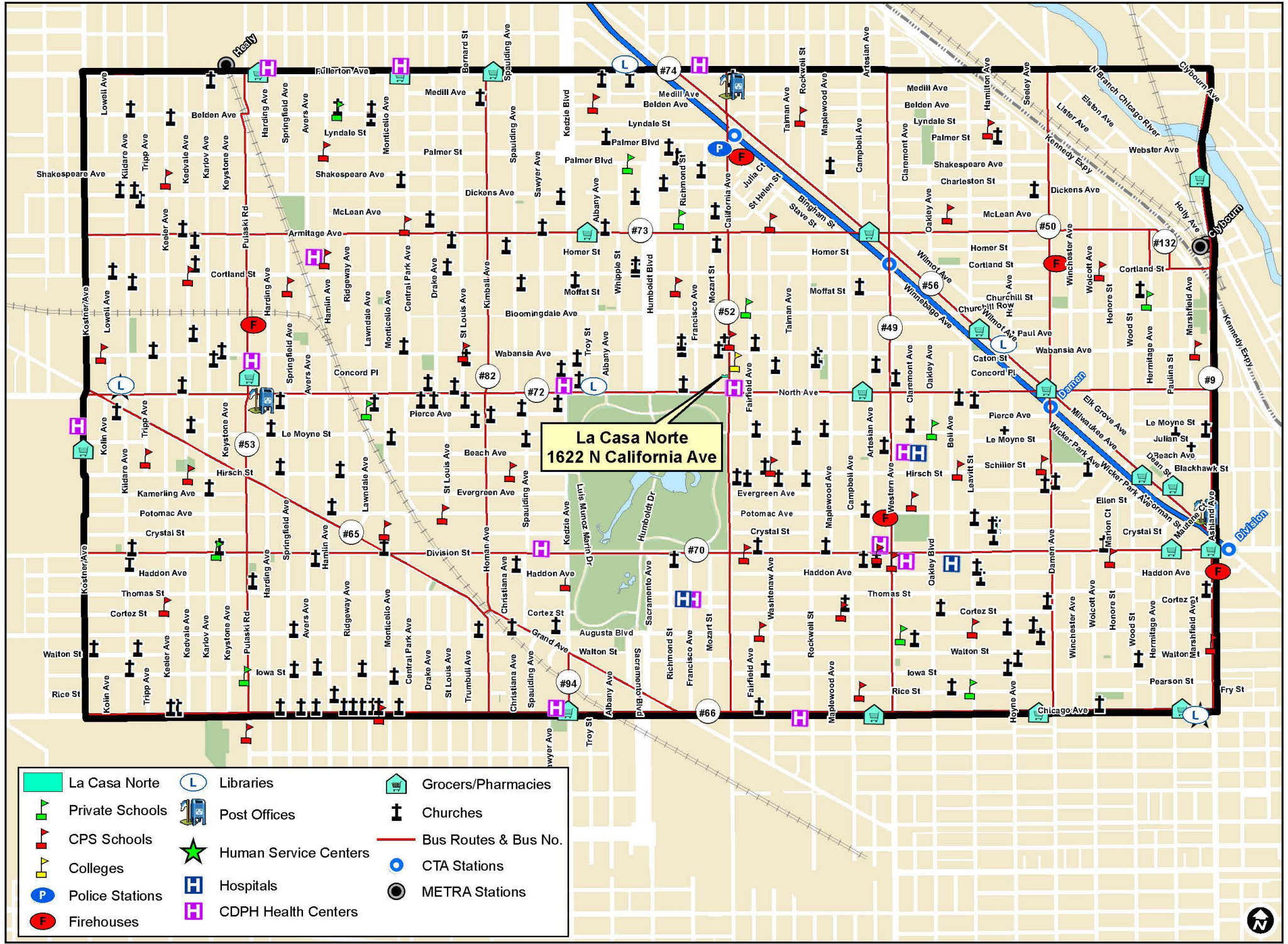
C: Kyle Bartlett, Carlos Ramirez, Meredith Muir

PROJECT LOCATION MAP

See Section III F-6

Insert Here

CDBG - Shelter Construction Program - La Casa Norte - 1622 N California Ave

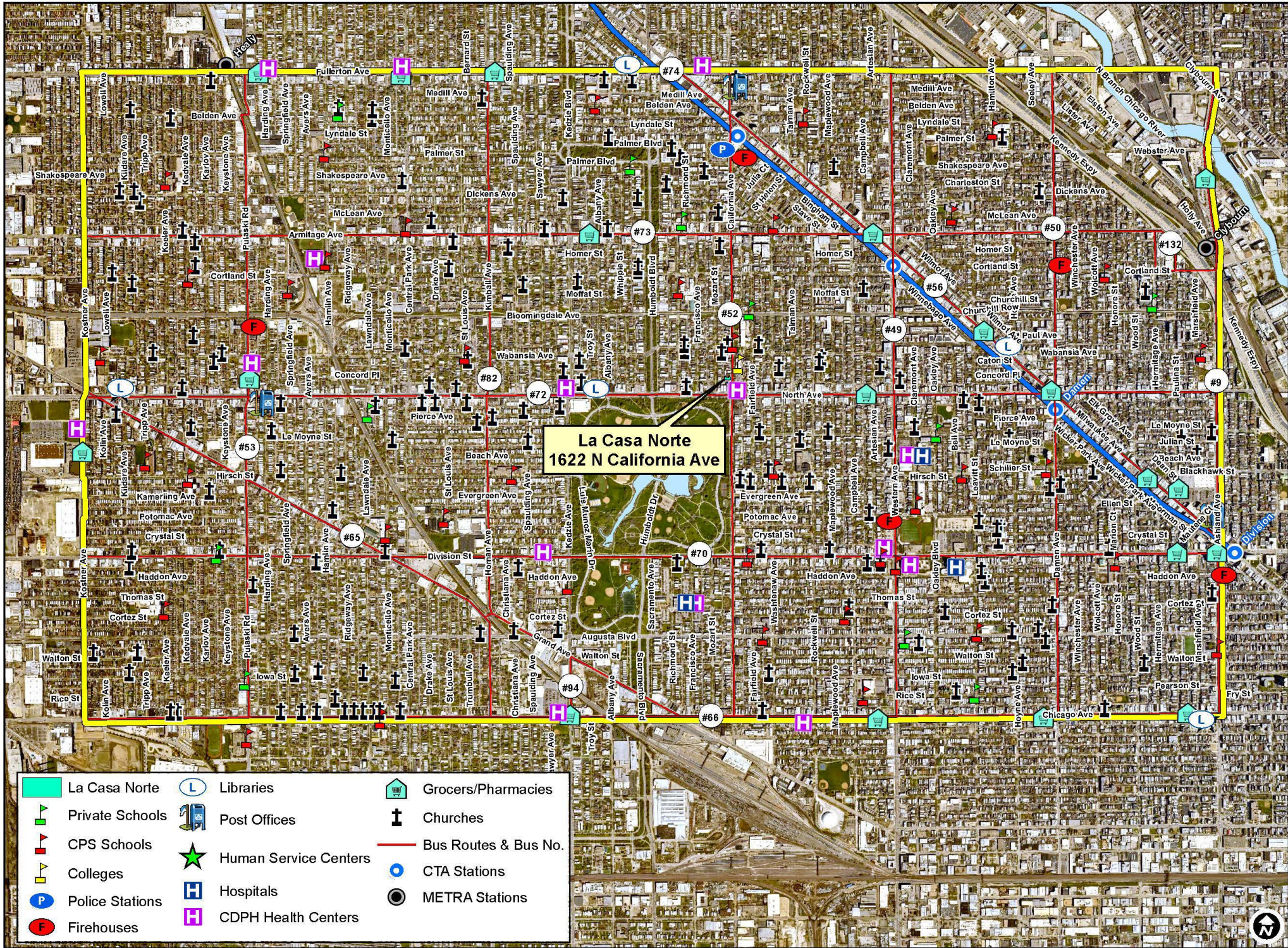


La Casa Norte
1622 N California Ave

- | | | | | | |
|--|-----------------|--|-----------------------|--|----------------------|
| | La Casa Norte | | Libraries | | Grocers/Pharmacies |
| | Private Schools | | Post Offices | | Churches |
| | CPS Schools | | Human Service Centers | | Bus Routes & Bus No. |
| | Colleges | | Hospitals | | CTA Stations |
| | Police Stations | | CDPH Health Centers | | METRA Stations |
| | Firehouses | | | | |



CDBG - Shelter Construction Program - La Casa Norte - 1622 N California Ave



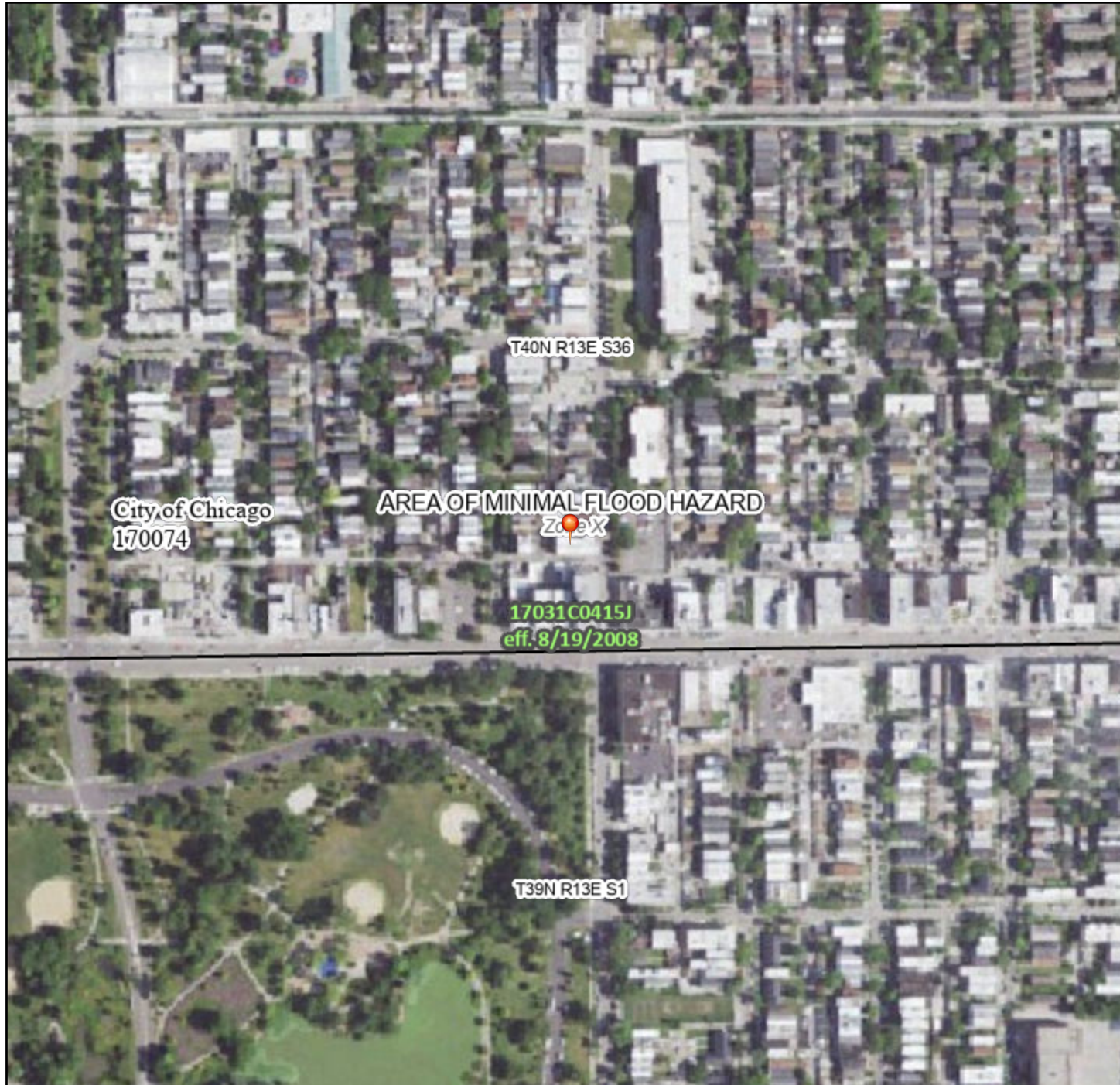
FEMA ISSUED FLOODPLAIN MAP

See Section III F-6

National Flood Hazard Layer FIRMette



87°42'9"W 41°54'53"N



Legend

SEE FIS REPORT FOR DETAILED LEGEND AND INDEX MAP FOR FIRM PANEL LAYOUT

- | | | |
|------------------------------------|--|--|
| SPECIAL FLOOD HAZARD AREAS | | Without Base Flood Elevation (BFE)
<i>Zone A, V, A99</i> |
| | | With BFE or Depth <i>Zone AE, AO, AH, VE, AR</i> |
| | | Regulatory Floodway |
| OTHER AREAS OF FLOOD HAZARD | | 0.2% Annual Chance Flood Hazard, Areas of 1% annual chance flood with average depth less than one foot or with drainage areas of less than one square mile <i>Zone X</i> |
| | | Future Conditions 1% Annual Chance Flood Hazard <i>Zone X</i> |
| | | Area with Reduced Flood Risk due to Levee. See Notes. <i>Zone X</i> |
| | | Area with Flood Risk due to Levee <i>Zone D</i> |
| OTHER AREAS | | NO SCREEN Area of Minimal Flood Hazard <i>Zone X</i> |
| | | Effective LOMRs |
| GENERAL STRUCTURES | | Area of Undetermined Flood Hazard <i>Zone D</i> |
| | | Channel, Culvert, or Storm Sewer |
| | | Levee, Dike, or Floodwall |
| OTHER FEATURES | | 20.2 Cross Sections with 1% Annual Chance |
| | | 17.5 Water Surface Elevation |
| | | Coastal Transect |
| | | Base Flood Elevation Line (BFE) |
| | | Limit of Study |
| MAP PANELS | | Jurisdiction Boundary |
| | | Coastal Transect Baseline |
| | | Profile Baseline |
| | | Hydrographic Feature |
| | | Digital Data Available |
| | | No Digital Data Available |
| | | Unmapped |
| | | The pin displayed on the map is an approximate point selected by the user and does not represent an authoritative property location. |



This map complies with FEMA's standards for the use of digital flood maps if it is not void as described below. The basemap shown complies with FEMA's basemap accuracy standards

The flood hazard information is derived directly from the authoritative NFHL web services provided by FEMA. This map was exported on 6/24/2024 at 7:05 PM and does not reflect changes or amendments subsequent to this date and time. The NFHL and effective information may change or become superseded by new data over time.

This map image is void if the one or more of the following map elements do not appear: basemap imagery, flood zone labels, legend, scale bar, map creation date, community identifiers, FIRM panel number, and FIRM effective date. Map images for unmapped and unmodernized areas cannot be used for regulatory purposes.



Basemap Imagery Source: USGS National Map 2023

WORKING COST ESTIMATE

The CDBG-CV Working Cost Estimate should include all funding used to complete the eligible HUD-defined construction activity. The CDBG-CV Working Cost Estimate should include any contract that is paid, in part or in full, with CDBG-CV grant funds. Do not include any contracts for which CDBG-CV funds are not used.

If other funds are necessary to finance the construction contract, identify all activities included within the project and the amount and source of financing. Each activity included in the project must contribute to the benefit of low-to-moderate income persons. CDBG-CV funds can be used only to finance activities related to the HUD-defined activity codes indicated in the table below.

Activity Budget	Total Amount	CDBG-CV Request	Locally Committed Funds	Identify Other Source(s)
01 Acquisition	\$ 4,477,000	\$0	\$ 4,477,000	City of Chicago STSC bond funds and La Casa Norte funds
03C Homeless Facilities Construction, Conversion, Renovation or Rehabilitation	\$ 1,697,150	\$ 1,697,150	\$0	
03Q Abused and Neglected Children's Facilities	\$ 0			
Activity Delivery (up to \$50,000)	\$ 50,000	\$ 50,000	\$ 0	
Other: Architecture, Design, and Engineering_____	\$ 253,750		\$ 253,750	City of Chicago STSC bond funds
Other_____				
Other_____				
TOTAL	\$ 6,477,900	\$ 1,747,150	\$ 4,730,750	

An Architect or Engineer's Cost estimate must be submitted and support the numbers above (to be funded in part or in full with CDBG-CV funds) in the working cost estimate; and should include detailed specifications of the project. Do not include any contracts for activities ineligible for CDBG-CV funding. Amounts in the Working Cost Estimate, GATA Budget and Architect or Engineer's Cost Estimate must align.

ARCHITECT or ENGINEER'S COST ESTIMATE

See Section III F-7

Insert Here

GATA BUDGET

The GATA Budget can be found as part of the Notice of Funding Opportunity (NOFO) at:
[Apply for Funding - Grant Opportunities \(illinois.gov\)](#)

See Section III I

Insert Here

DOCUMENTATION OF FUNDING SOURCES (if applicable)

See Section III E

Insert Here

MINORITY BENEFIT/AFFIRMATIVE HOUSING STATEMENT

<p>a. What is the percentage of the minority group(s) population residing in the Census Block geography (i.e. community wide or census tract block group(s)).</p>	58.7%
<p>Identify the characteristics of the population of the project area by specific ethnic group. This information may be obtained from the most recent Census Data for the “applicant community.” If submitting an “on behalf of” application for a project in an unincorporated area, use Census Data for the project’s County.</p>	

Racial Group	Total Persons	# of Hispanic / Latino Ethnicity
White	789	92
Black/African American	125	19
Asian	64	0
American Indian/Alaskan Native	22	18
Native Hawaiian/Other Pacific Islander	0	0
American Indian/Alaskan Native and White	9	N/A
Asian and White	26	N/A
Black/African American and White	16	N/A
American Indian/Alaskan Native and Black/African American	0	N/A
Other Individuals Reporting more than One Race	29	N/A
# of Female Headed Households	242	N/A

<p>With the <u>exception of "Female Heads of Households"</u>, the above numbers should equal the total number of persons to benefit from the project service area.</p>	
<p>b. What is the goal for the percentage of CDBG-CV funded contracts to be awarded to minority contractors?</p>	26 %
<p>c. If the percentage goal in <i>b</i> is <u>substantially less</u> than the percentage of minorities residing in the community, please explain. The goal is following the City of Chicago guidelines that all project have 26% of their contract go to minority businesses and 6% to women owned businesses. The grantee aims to exceed this goal.</p>	

NOTE: This form is utilized to establish the Minority Business Enterprise (MBE) goal for contracting.

Signature of Chief Official: _____

Date _____

A minimum of 5 LETTER(S) OF SUPPORT FROM

from Community Homelessness Support Services
(service providers, community organizations, local governments, etc.)

See Section III D

Insert Here

RESOLUTION OF SUPPORT

Resolution No. _____

(The Resolution CANNOT be dated prior to the date of the Applicant's Governing Body's Meeting)

WHEREAS, Applicant) is applying to the State of Illinois for a Community Development Block – Coronavirus Grant, and

WHEREAS, it is necessary that an application be made and agreements entered into with the State of Illinois.

NOW, THEREFORE, BE IT RESOLVED as follows:

- 1)that Applicant apply for a grant under the terms and conditions of the State of Illinois and shall enter into and agree to the understandings and assurances contained in said application.
- 2)that the Chief Official and Treasurer on behalf of Applicant's Name execute such documents and all other documents necessary for the carrying out of said application.
- 3)that the Chief Official and Treasurer are authorized to provide such additional information as may be required to accomplish the obtaining of such grant.

Passed this _____ day of _____, _____. (date required)

ATTEST: _____
Chief Official (Title) Treasurer

RESOLUTION OF SUPPORT AND COMMITMENT OF LOCAL FUNDS

(The Resolution CANNOT be dated prior to the date of the Applicant's Governing Body's Meeting)

WHEREAS, the Applicant (name), is applying to the State of Illinois for a Community Development Block Grant (CDBG-CV) grant,

WHEREAS, it is necessary that an application be made and agreements be entered into with the State of Illinois, and

WHEREAS, cost of the project are such that financial participation by the grantee is necessary in conjunction with CDBG-CV funds.

NOW, THEREFORE, BE IT RESOLVED as follows:

- 1) that the Applicant (Name) apply for a grant under the terms and conditions of the State of Illinois and shall enter into and agree to the understandings and assurances contained in said application.
- 2) that the Chief Official and Treasurer on behalf of the Applicant execute such documents and all other documents necessary for the carrying out of said application.
- 3) that the Chief Official and Treasurer are authorized to provide such additional information as may be required to accomplish the obtaining of such grant.
- 4) that (Applicant's Name) does hereby commit funds from (**account/fund/source**) in the amount of \$(dollars) for use in conjunction with an Illinois Community Development Block Grant, for an estimated total project cost of \$(dollars).

Passed this (x) day of (month), (year) (date required)

Chief Official (Title)

ATTEST:

Treasurer

CERTIFIED MEETING MINUTES AUTHORIZING APPLICATION and ATTENDANCE SHEETS

See Section II C

Insert Here

DOCUMENTATION OF MEETING NOTICE

See Section II C

Insert Here

CERTIFICATIONS

On this (date) of (month), (year), the (title and name of the Chief Official) of (Applicant's name) hereby certifies to the Department of Commerce and Economic Opportunity in regard to an application and award of funds through the Community Development Block Grant – Coronavirus that:

1. It will comply with the National Environmental Policy Act (NEPA) with the submission of this application and it further certifies that no aspect of the project for assistance has or shall commence prior to the award of funds to the community and the receipt of an environmental clearance.
2. It will comply with the Interagency Wetland Policy Act of 1989 including the development of a plan to minimize adverse impacts on wetlands, or providing written evidence that the proposed project will not have an adverse impact on a wetland.
3. It will comply with the Illinois Endangered Species Protection Act and the Illinois Natural Area Preservation Act by completing the consultation process with the Endangered Species Consultation Program of the Illinois Department of Natural Resources, or providing written evidence that the proposed project is exempt.
4. It will identify and document all appropriate permits necessary to the proposed project, including, but not limited to: building, construction, zoning, subdivision, IEPA and IDOT.
5. No legal actions are underway or being contemplated that would significantly impact the capacity of the (Applicant's name) to effectively administer the program, and to fulfill the requirements of the CDBG-CV program.
6. It will coordinate with the County Soil and Water Conservation District regarding standards for surface and sub-surface (tile) drainage restoration and erosion control in the fulfillment of any project utilizing CDBG-CV funds and involving construction.
7. It is understood that the obligation of the State will cease immediately without penalty of further payment being required if in any fiscal year the Illinois General Assembly or federal funding source fails to appropriate or otherwise make available sufficient funds for this agreement.
8. It acknowledges the applicability of Davis-Bacon prevailing wage rate requirements to construction projects; a wage rate determination must be obtained prior to commencement of any construction or equipment installation; and, it shall discuss these requirements with the contractor.
9. It will comply with Section 3 of the Housing and Urban Development Act of 1968 to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state, and local laws and regulations, be directed to low and very low income persons and businesses.
10. It certifies that no occupied or vacant occupiable low-to-moderate income dwellings will be demolished or converted to a use other than low-to-moderate income housing as a direct result of activities assisted with funds provided under the Housing and Community Development Act of 1974, as amended.
11. It will conduct a Section 504 self-evaluation of its policies and practices to determine whether its employment opportunities and services are accessible to persons with disabilities.
12. It will comply with 2 CFR 200, 24 CFR 570, Part 85, and the Illinois' Grant Accountability and Transparency Act (GATA).
13. The area, in whole or in part, in which project activities will take place, **IS** or **IS NOT** (circle one) located in a floodplain.
A FEMA Floodplain map is included in the application (as required) and is located on Page

Signature of Chief Official Date

MANDATORY DISCLOSURES

Award applicants and recipients of awards from the State of Illinois (collectively referred to herein as “Grantee”) must disclose, in a timely manner and in writing to the State awarding agency, all violations of State or federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the award. See 30 ILCS 708/40; 44 Ill. Admin Code § 7000.40(b)(4); 2 CFR § 200.113. Failure to make the required disclosures may result in remedial action.

Please describe all violations of State or federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the awarding of a grant to your organization:

Grantee has a continuing duty to disclose to the Department of Commerce and Economic Opportunity (the “Department”) all violations of criminal law involving fraud, bribery or gratuity violations potentially affecting this grant award.

By signing this document, below, as the duly authorized representative of the Grantee, I hereby certify that:

- All of the statements in this Mandatory Disclosure form are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. (U.S. Code, Title 18, Section 1001).
- There is no action, suit or proceeding at law or in equity pending, nor to the best of Grantee’s knowledge, threatened, against or affecting the Grantee, before any court or before any governmental or administrative agency, which will have a material adverse effect on the performance required by the grant award.
- Grantee is not currently operating under or subject to any cease and desist order, or subject to any informal or formal regulatory action, and, to the best of the Grantee’s knowledge, it is not currently the subject of any investigation by any state or federal regulatory, law enforcement or legal authority.
- If Grantee becomes the subject of an action, suit or proceeding at law or in equity that would have a material adverse effect on the performance required by an award, or an investigation by any state or federal regulatory, law enforcement or legal authority, Grantee shall promptly notify the Department in writing.

Grantee Organization: **Company Name**

By: _____
Signature of Authorized Representative

Printed Name: **Authorized Signator Name**

Printed Title: **Authorized Signator Title**

Date:

CONFLICT OF INTEREST DISCLOSURE

Award applicants and recipients of awards from the State of Illinois (collectively referred to herein as “Grantee”) must disclose in writing to the awarding State agency any actual or potential conflict of interest that could affect the State award for which the Grantee has applied or has received. See 30 ILCS 708/35; 44 Ill. Admin Code § 7000.40(b)(3); 2 CFR § 200.112. A conflict of interest exists if an organization’s officers, directors, agents, employees and/or their spouses or immediate family members use their position(s) for a purpose that is, or gives the appearance of, being motivated by a desire for a personal gain, financial or nonfinancial, whether direct or indirect, for themselves or others, particularly those with whom they have a family business or other close associations. In addition, the following conflict of interest standards apply to governmental and non-governmental entities.

- a. Governmental Entity.** If the Grantee is a governmental entity, no officer or employee of the Grantee, member of its governing body or any other public official of the locality in which the award objectives will be carried out shall participate in any decision relating to a State award which affects his/her personal interest or the interest of any corporation, partnership or association in which he/she is directly or indirectly interested, or which affects the personal interest of a spouse or immediate family member, or has any financial interest, direct or indirect, in the work to be performed under the State award.
- b. Non-governmental Entity.** If the Grantee is a non-governmental entity, no officer or employee of the Grantee shall participate in any decision relating to a State award which affects his/her personal interest or the interest of any corporation, partnership or association in which he/she is directly or indirectly interested, or which affects the personal interest of a spouse or immediate family member, or has any financial interest, direct or indirect, in the work to be performed under the State award.

The Grantee shall also establish safeguards, evidenced by policies, rules and/or bylaws, to prohibit employees or officers of Grantee from engaging in actions, which create or which appear to create a conflict of interest as described herein.

The Grantee has a continuing duty to immediately notify the Department of Commerce and Economic Opportunity (the “Department”) in writing of any actual or potential conflict of interest, as well as any actions that create or which appear to create a conflict of interest.

Please describe all current potential conflict(s) of interest, as well as, any actions that create or which appear to create a conflict of interest related to the State award for which your organization has applied.

If the Grantee provided information above regarding a current potential conflict of interest or any actions that create or appear to create a conflict of interest, the Grantee must immediately provide documentation to the applicable Department grant manager to support that the potential conflict of interest was appropriately handled by the Grantee’s organization. If at any later time, the Grantee becomes aware of any actual or potential conflict of interest, the Grantee must notify the Department’s grant manager immediately, and provide the same type of supporting documentation that describes how the conflict situation was or is being resolved.

Supporting documentation should include, but is not limited to, the following: the organization’s bylaws; a list of board members; board meeting minutes; procedures to safeguard against the appearance of personal gain by the organization’s officers, directors, agents, and family members; procedures detailing the proper internal controls in place; timesheets documenting time spent on the award; and bid documents supporting the selection of the contractor involved in the conflict, if applicable.

By signing this document, below, as the duly authorized representative of Grantee, I hereby certify that:

- All of the statements in this Conflict of Interest Disclosure form are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. (U.S. Code, Title 18, Section 1001).
- If I become aware of any situation that conflicts with any of the representations herein, or that might indicate a potential conflict of interest or create the appearance of a conflict of interest, I or another representative from my organization will immediately notify the Department's grant manager for this award.
- I have read and I understand the requirements for the Conflict of Interest Disclosure set forth herein, and I acknowledge that my organization is bound by these requirements.

Grantee Organization: **Community Name**

By: _____
Signature of Authorized Representative

Printed Name: **Authorized Signator Name**

Printed Title: **Authorized Signator Title**

Date:

COPY OF W-9

See Section III I

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type.
See Specific Instructions on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. CITY OF CHICAGO	
2 Business name/disregarded entity name, if different from above N/A	
3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input checked="" type="checkbox"/> Other (see instructions) ▶ TAX-EXEMPT CITY GOVERNMENT	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) <u> 3 </u> Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>
5 Address (number, street, and apt. or suite no.) See instructions. 121 N LASALLE ST, ROOM 700	Requester's name and address (optional)
6 City, state, and ZIP code CHICAGO, IL 60602	
7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black;"> </td> <td style="width: 25%; border: 1px solid black;"> </td> <td style="width: 25%; border: 1px solid black;"> </td> <td style="width: 25%; border: 1px solid black;"> </td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> </tr> </table>					-	-	-	-		
-	-	-	-							
or										
Employer identification number										
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: 1px solid black;">3</td> <td style="width: 25%; border: 1px solid black;">6</td> <td style="width: 25%; border: 1px solid black;">-</td> <td style="width: 25%; border: 1px solid black;">6</td> <td style="width: 25%; border: 1px solid black;">0</td> <td style="width: 25%; border: 1px solid black;">0</td> <td style="width: 25%; border: 1px solid black;">5</td> <td style="width: 25%; border: 1px solid black;">8</td> <td style="width: 25%; border: 1px solid black;">2</td> <td style="width: 25%; border: 1px solid black;">0</td> </tr> </table>	3	6	-	6	0	0	5	8	2	0
3	6	-	6	0	0	5	8	2	0	

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ▶	Date ▶ <u>2/15/24</u>
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

Insert Here

COPY OF SAM REGISTRATION (CAGE#)

See Section III I

Insert Here



CITY OF CHICAGO DEPARTMENT OF PLANNING AND DEVELOPMENT

Unique Entity ID MGP9V14KFTR6	CAGE / NCAGE 5J4D6	Purpose of Registration Federal Assistance Awards Only
Registration Status Active Registration	Expiration Date Nov 8, 2024	
Physical Address 121 N La Salle ST RM 1000 Chicago, Illinois 60602-1209 United States	Mailing Address 121 N. LASALLE, Room 1000 Chicago, Illinois 60602-1202 United States	

Business Information

Doing Business as (blank)	Division Name Department Of Planning And Development	Division Number 50
Congressional District Illinois 07	State / Country of Incorporation (blank) / (blank)	URL http://www.cityofchicago.org

Registration Dates

Activation Date Nov 14, 2023	Submission Date Nov 9, 2023	Initial Registration Date Jun 10, 2009
--	---------------------------------------	--

Entity Dates

Entity Start Date Mar 1, 1837	Fiscal Year End Close Date Dec 31
---	---

Immediate Owner

CAGE (blank)	Legal Business Name (blank)
------------------------	---------------------------------------

Highest Level Owner

CAGE (blank)	Legal Business Name (blank)
------------------------	---------------------------------------

Executive Compensation

Registrants in the System for Award Management (SAM) respond to the Executive Compensation questions in accordance with Section 6202 of P.L. 110-252, amending the Federal Funding Accountability and Transparency Act (P.L. 109-282). This information is not displayed in SAM. It is sent to USAspending.gov for display in association with an eligible award. Maintaining an active registration in SAM demonstrates the registrant responded to the questions.

Proceedings Questions

Registrants in the System for Award Management (SAM.gov) respond to proceedings questions in accordance with FAR 52.209-7, FAR 52.209-9, or 2. C.F.R. 200 Appendix XII. Their responses are displayed in the responsibility/qualification section of SAM.gov. Maintaining an active registration in SAM.gov demonstrates the registrant responded to the proceedings questions.

Exclusion Summary

Active Exclusions Records?

No

SAM Search Authorization

I authorize my entity's non-sensitive information to be displayed in SAM public search results:

Yes

Entity Types

Business Types

Entity Structure U.S. Government Entity	Entity Type US Local Government	Organization Factors (blank)
---	---	--

Profit Structure

(blank)

Socio-Economic Types

DOT Certified DBE

Check the registrant's Reqs & Certs, if present, under FAR 52.212-3 or FAR 52.219-1 to determine if the entity is an SBA-certified HUBZone small business concern. Additional small business information may be found in the SBA's Dynamic Small Business Search if the entity completed the SBA supplemental pages during registration.

Government Types

U.S. Local Government

City

Financial Information

Accepts Credit Card Payments No	Debt Subject To Offset No
---	-------------------------------------

EFT Indicator 0000	CAGE Code 5J4D6
------------------------------	---------------------------

Points of Contact

Electronic Business

👤 Joann Kirby, Contracts Administrator	121 N. LASALLE, 1000 Chicago, Illinois 60602 United States
---	---

Joann Kirby, Contracts Administrator	121 N. Lasalle ST. 1000 Chicago, Illinois 60602 United States
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Government Business

👤 Joann Kirby, Contracts Administrator	121 N. LASALLE, 1000 Chicago, Illinois 60602 United States
---	---

Aaron Johnson	121 N. LASALLE, RM 1000 Chicago, Illinois 60602 United States
---------------	---

Past Performance

👤 Hamid Zavareh, Grants Manager	121 N. Lasalle ST. 604 Chicago, Illinois 60602 United States
------------------------------------	---

Joann Kirby, Contracts Administrator	121 N LASALLE, 10TH Floor Chicago, Illinois 60602 United States
--------------------------------------	---

Service Classifications

NAICS Codes

Primary	NAICS Codes	NAICS Title
---------	-------------	-------------

Disaster Response

This entity does not appear in the disaster response registry.

COPY OF IRS CERTIFICATION LETTER

See Section III I

Insert Here



Department of the Treasury
Internal Revenue Service
Ogden, UT 84201-0038

Notice	CP248
Tax period	September 30, 2021
Notice date	August 9, 2021
Employer ID number	36-6005820
To contact us	Phone 800-829-0115
Page 1 of 1	

000254.146144.52420.8071 1 MB 0.450 371


CITY OF CHICAGO
 % PAYMASTER - CITY COMPTROLLER
 121 N LA SALLE ST RM 700
 CHICAGO IL 60602-1246



000254

Important information about your Federal Tax Deposits

You must make federal tax deposits electronically

You are required to use electronic funds transfer (EFT), such as the Electronic Federal Tax Payment System (EFTPS), to make your federal tax deposits. If you make deposits at a local IRS office, we may charge you a 10% penalty when you file your tax return.

What you need to do

- Enroll in EFTPS at www.eftps.gov, if you haven't already. You can also request an enrollment package by mail or by calling EFTPS customer service at 800-555-4477.
- Make all future tax deposits electronically.
- Review your procedures to ensure you or your employees don't deposit your taxes incorrectly again.

Payments credited to your account

Our records indicate that you made the following federal tax deposits using a payment method other than the EFT:

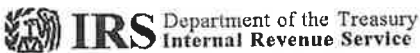
Date received	Amount
July 13, 2021	\$165,499.88

Additional information

Visit www.irs.gov/cp248.

- For tax forms, instructions, and publications, visit www.irs.gov/forms-pubs or call 800-TAX-FORM (800-829-3676).
- Keep **this notice** for your records.

If you need assistance, please don't hesitate to contact us.



Department of the Treasury
Internal Revenue Service

Cincinnati Service Center
CINCINNATI OH 45999-0038

In reply refer to: 0256554074
Apr. 19, 2023 LTR 4076C 0
36-6005820 000000 00

00015438
BODC: TE

CITY OF CHICAGO
% PAYMASTER - CITY COMPTROLLER
121 N LA SALLE ST RM 700
CHICAGO IL 60602

026042

Taxpayer identification number: 36-6005820
Person to contact: CONTACT SERVICE REPRESENTATIVE
Toll-free telephone number: 877-829-5500

Dear Taxpayer:

We received your request dated Apr. 12, 2023, asking about your federal tax status. Our records don't specify your federal tax status. The following information about the tax treatment of state and local governments and affiliated organizations may help you.

GOVERNMENTAL UNITS

Governmental units, such as states and their political subdivisions, generally are not subject to federal income tax. Political subdivisions of a state are entities with the authority to exercise one or more of the sovereign powers of the state: taxation, police powers, or eminent domain. They typically include counties or municipalities and their agencies or departments. Charitable contributions to governmental units may be tax-deductible under Internal Revenue Code (IRC) Section 170(c)(1) if made for an exclusively public purpose. Generally, grantors and contributors may rely on the status of governmental units based on state or local law in determining the deductibility of their contributions.

AFFILIATED ORGANIZATIONS

* INSTRUMENTALITIES

In general, an instrumentality is an entity separate from, but affiliated with, a state or local government, and lacking any sovereign powers. Instrumentalities generally are subject to federal income tax. However, they may be recognized as tax-exempt under IRC Section 501(a) as organizations described in IRC Section 501(c), including IRC Section 501(c)(3). In addition, the income of a state or local government instrumentality may be excluded from gross income if it meets the requirements of IRC Section 115(1).

* ENTITIES MEETING THE REQUIREMENTS OF IRC SECTION 115(1)

An entity that is not a governmental unit but that performs an essential governmental function may qualify for an income exclusion under IRC Section 115(1). If the entity's income (1) is derived from a

CITY OF CHICAGO
% PAYMASTER - CITY COMPTROLLER
121 N LA SALLE ST RM 700
CHICAGO IL 60602

public utility or the exercise of an essential governmental function, and (2) accrues to a state, a political subdivision of a state, or the District of Columbia, it may be excluded from gross income. Charitable contributions to these entities may not be tax deductible to the donors.

RULING LETTERS

To receive a ruling on its status as a political subdivision or instrumentality of a government, or on whether its income is excluded from gross income under IRC Section 115(1), a governmental unit or affiliated organization may request a letter ruling by following the procedures in Revenue Procedure (Rev. Proc.) 2019-1 or its annual successor. There is a fee associated with obtaining a letter ruling.

TAX-EXEMPT CHARITABLE ORGANIZATIONS

An organization affiliated with a state, county, or municipal government may qualify for exemption from federal income tax under IRC Section 501(c)(3), if (1) it is not an integral part of the government, and (2) it does not have governmental powers inconsistent with exemption (such as the power to tax or to exercise enforcement or regulatory powers). Note that an affiliated organization may meet the requirements of both IRC Sections 501(c)(3) and 115(1) under certain circumstances. See Rev. Proc. 2003-12, 2003-1 C.B. 316, for more information.

Most entities must file a Form 1023, Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code, or Form 1023-EZ, Streamlined Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code, to be recognized as exempt from federal income tax under IRC Section 501(c)(3), and to ensure that any charitable contributions they receive are tax-deductible to contributors under IRC Section 170(c)(2).

ADDITIONAL INFORMATION

This letter does not determine that you have a particular tax status. If you're unsure of your status, you can:

- Visit www.irs.gov/government-entities/federal-state-local-governments for government entity information.
- Visit www.stayexempt.irs.gov, an IRS site created especially for 501(c)(3) organizations.
- Read Publication 4220, Applying for 501(c)(3) Tax-Exempt Status.
- Seek a private letter ruling, following the procedures in Rev. Proc. 2019-1, 2019-1 I.R.B. 1 (updated annually).

0256554074
Apr. 19, 2023 LTR 4076C 0
36-6005820 000000 00
00015440

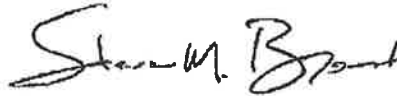
CITY OF CHICAGO
% PAYMASTER - CITY COMPTROLLER
121 N LA SALLE ST RM 700
CHICAGO IL 60602

You can get the forms or publications mentioned in this letter from our website www.irs.gov/forms-instructions or by calling 800-TAX-FORM (800-829-3676).

If you have questions, you can call the contact person shown above between 8 a.m. and 5 p.m., local time, Monday through Friday (Alaska and Hawaii follow Pacific time).

Keep a copy of this letter for your records.

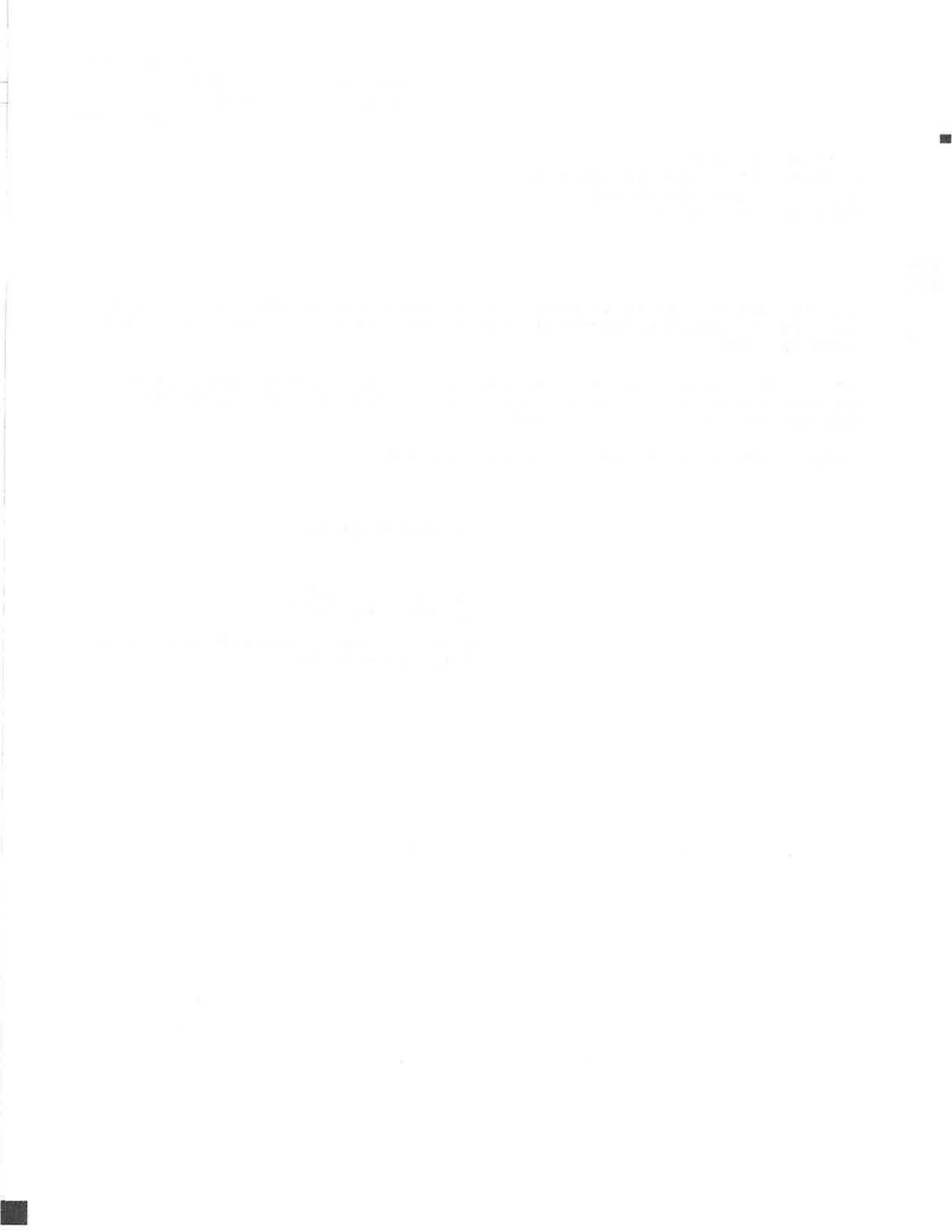
Sincerely yours,

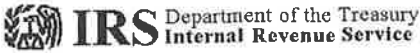


Steve M. Brown, Operations Manager
Operations 3-CIN

026042







ATLANTA GA 39901-0001

OMB Clearance No.: 1545-0074

In reply refer to: 0752294699
Apr. 25, 2023 LTR 4076C 0
36-6005820 000000 00

00014971
BODC: TE

CITY OF CHICAGO
% PAYMASTER - CITY COMPTROLLER
121 N LA SALLE ST RM 700
CHICAGO IL 60602-1246

054893

Taxpayer identification number: 36-6005820
Person to contact: Customer Service
Toll-free telephone number: 877-829-5500

Dear Organization:

We received your request dated Apr. 14, 2023, asking about your federal tax status. Our records don't specify your federal tax status. The following information about the tax treatment of state and local governments and affiliated organizations may help you.

GOVERNMENTAL UNITS

Governmental units, such as states and their political subdivisions, generally are not subject to federal income tax. Political subdivisions of a state are entities with the authority to exercise one or more of the sovereign powers of the state: taxation, police powers, or eminent domain. They typically include counties or municipalities and their agencies or departments. Charitable contributions to governmental units may be tax-deductible under Internal Revenue Code (IRC) Section 170(c)(1) if made for an exclusively public purpose. Generally, grantors and contributors may rely on the status of governmental units based on state or local law in determining the deductibility of their contributions.

AFFILIATED ORGANIZATIONS

* INSTRUMENTALITIES

In general, an instrumentality is an entity separate from, but affiliated with, a state or local government, and lacking any sovereign powers. Instrumentalities generally are subject to federal income tax. However, they may be recognized as tax-exempt under IRC Section 501(a) as organizations described in IRC Section 501(c), including IRC Section 501(c)(3). In addition, the income of a state or local government instrumentality may be excluded from gross income if it meets the requirements of IRC Section 115(1).

* ENTITIES MEETING THE REQUIREMENTS OF IRC SECTION 115(1)

An entity that is not a governmental unit but that performs an essential governmental function may qualify for an income exclusion under IRC Section 115(1). If the entity's income (1) is derived from a

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CHICAGO IL 60602-1246

public utility or the exercise of an essential governmental function, and (2) accrues to a state, a political subdivision of a state, or the District of Columbia, it may be excluded from gross income. Charitable contributions to these entities may not be tax deductible to the donors.

RULING LETTERS

To receive a ruling on its status as a political subdivision or instrumentality of a government, or on whether its income is excluded from gross income under IRC Section 115(1), a governmental unit or affiliated organization may request a letter ruling by following the procedures in Revenue Procedure (Rev. Proc.) 2019-1 or its annual successor. There is a fee associated with obtaining a letter ruling.

TAX-EXEMPT CHARITABLE ORGANIZATIONS

An organization affiliated with a state, county, or municipal government may qualify for exemption from federal income tax under IRC Section 501(c)(3), if (1) it is not an integral part of the government, and (2) it does not have governmental powers inconsistent with exemption (such as the power to tax or to exercise enforcement or regulatory powers). Note that an affiliated organization may meet the requirements of both IRC Sections 501(c)(3) and 115(1) under certain circumstances. See Rev. Proc. 2003-12, 2003-1 C.B. 316, for more information.

Most entities must file a Form 1023, Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code, or Form 1023-EZ, Streamlined Application for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code, to be recognized as exempt from federal income tax under IRC Section 501(c)(3), and to ensure that any charitable contributions they receive are tax-deductible to contributors under IRC Section 170(c)(2).

ADDITIONAL INFORMATION

This letter does not determine that you have a particular tax status. If you're unsure of your status, you can:

- Visit www.irs.gov/government-entities/federal-state-local-governments for government entity information.
- Visit www.stayexempt.irs.gov, an IRS site created especially for 501(c)(3) organizations.
- Read Publication 4220, Applying for 501(c)(3) Tax-Exempt Status.
- Seek a private letter ruling, following the procedures in Rev. Proc. 2019-1, 2019-1 I.R.B. 1 (updated annually).

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You can get the forms or publications mentioned in this letter from our website www.irs.gov/forms-instructions or by calling 800-TAX-FORM (800-829-3676).

If you have questions, you can call the contact person shown above between 8 a.m. and 5 p.m., local time, Monday through Friday (Alaska and Hawaii follow Pacific time).

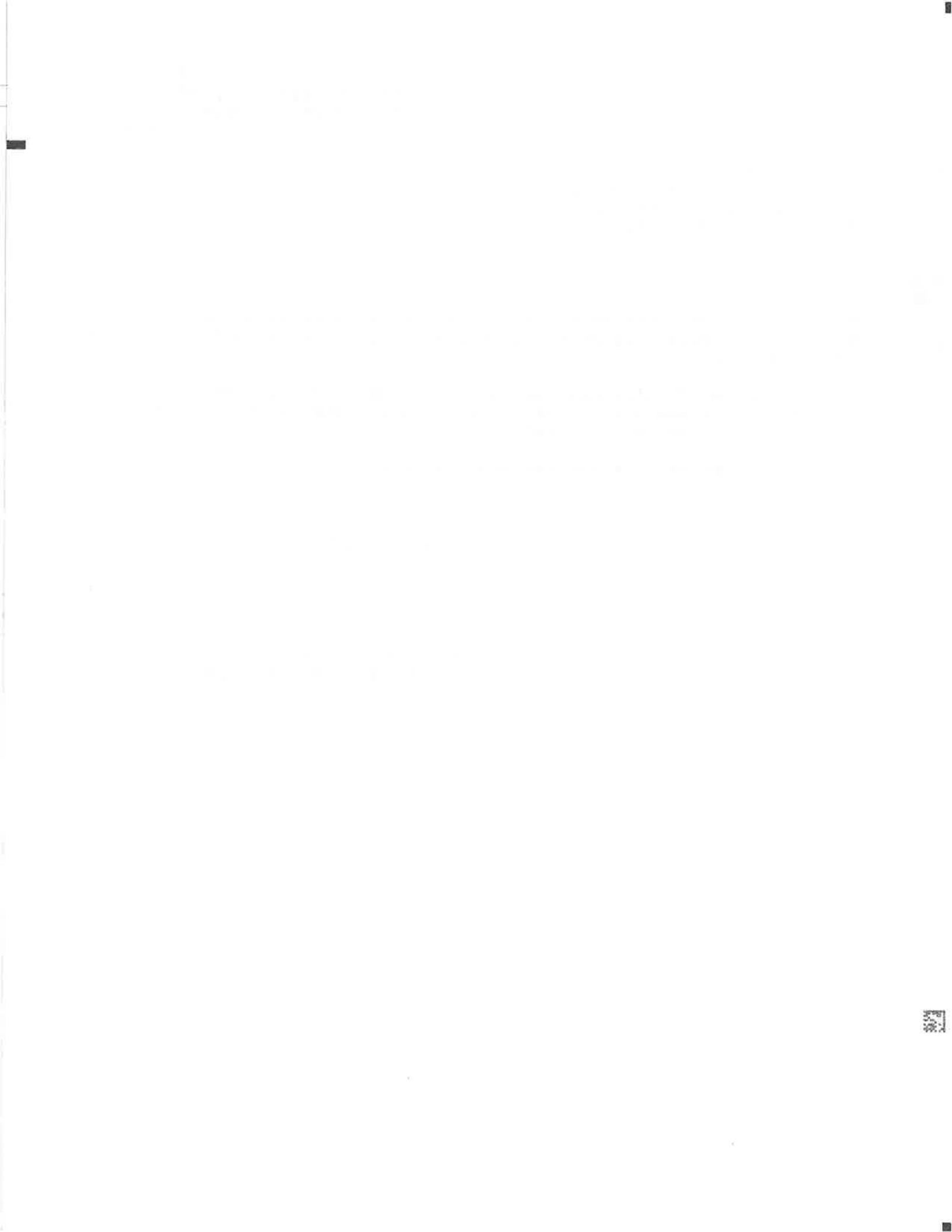
Keep a copy of this letter for your records.

Sincerely yours,

Sheralyn C. Hanks

Sheralyn C. Hanks
Ops. Manager, AM Ops. 3005

054893



COPY OF GATA REGISTRATION PRINTOUT

See Section III I

Insert Here

[Sign out](#)

Illinois Grant Accountability and Transparency Act Grantee Portal - Main Menu

Effective December 5, 2023, all State of Illinois indirect cost rate negotiations will be completed in the vendor's new negotiation system, CRMP. Grantee's will still access and make their annual indirect cost rate election via the Indirect Cost Rate Election System (ICRES), housed in the Grantee Portal. If the grantee elects to negotiate a rate with the State of Illinois, an email invitation will be received once the survey (previously called a 'case' in CARS) is available.

All cases currently in process in CARS have been moved into CRMP in their current stage and status to seamlessly continue current negotiations without interruption. These grantees will receive an email invitation on Tuesday, December 5, 2023, to access their survey.

To view the CRMP User Manual, visit our website, <https://gata.illinois.gov/indirect-cost/indirect-cost-negotiation.html>

Organization: **City of Chicago - 05 Office of Budget and Management (OBM)** [Edit](#)

GATA ID: **680314**

State cognizant agency: **Criminal Justice Info Authority (546)**

Contact for assistance: kristina.dion2@illinois.gov

You are signed in as: **fzhuster (frank.zhu@cityofchicago.org)**

Parent Organization: **City of Chicago - 05 Office of Budget and Management (OBM)**
[View](#)

Notes and Comments [Add Note](#)

Post notes for other portal users in your organization. State agency staff can also view and create notes.

Pre-Qualification Status

Your organization is currently in good standing with all pre-qualification requirements.

Requirement	Status	Remediation
SAM.gov Account	Good	Help
Federal Employer ID (FEIN)	Good	Help
Federal Excluded Parties List	Good	Help
Illinois Secretary of State	Good	Help
Illinois Stop Payment List	Good	Help
Illinois DHFS Sanction List	Good	Help

Your organization must remain in good standing in all pre-qualification requirements. The status of these requirements are validated nightly. Notifications when changes occur to the pre-qualification status can be emailed to Grantee Portal Access users by clicking the "Manage" button below.

Fiscal and Administrative Internal Controls Questionnaire (ICQ)

[Create an FY 2025 ICQ](#)

ICQ	State FY	Date Started	Date Submitted	Date Accepted
View	2024	01-17-2024		
View	2023	05-02-2022	05-02-2022	05-02-2022
View	2022	05-18-2021	06-04-2021	06-04-2021
View	2021	04-30-2020	09-02-2020	09-03-2020
View	2020	04-23-2019	11-13-2019	11-14-2019
View	2019	06-14-2018	06-14-2018	06-25-2018
View	2018	09-11-2017	09-11-2017	09-12-2017
View	2017	08-26-2016		

An ICQ is required for each state fiscal year your organization does business with the State of Illinois. For example, state FY 2018 which begins on 7/1/2017 and runs through 6/30/2018 requires an FY 2018 ICQ. Notifications when changes occur to an ICQ status can be emailed to Grantee Portal Access users by clicking the "Manage" button below.

Indirect Cost Rate Election System

[Rate List](#)

[Election List](#)

ICR	Effective Period	Election	Rate	Base	Applicable	Location
View	1/1/2024 - 12/31/2024	Waive	0%	N/A	ALL	ALL

[View / Change](#) Current ICR Election: **Waive**

[Change Email](#) Primary ICR Address: **Chloe.Belczak@cityofchicago.org**

Your organization has elected to waive indirect cost reimbursements. This election will remain in effect in perpetuity unless another option is selected.

[Indirect Cost Rate Election Manual](#)

Notice Of State Awards (NOSA)

No pending Notice of State Awards.

[Click to view previous Notice of State Awards](#)

Notice of State Awards require the ability to view PDF files. [Click here](#) for assistance.

Active Audit Reviews

GATU/GOMB has issued the following memorandum which provides guidance for the GATA Administrative Rules update to the Audit Report Review System (ARRMS). To support the changes in GATA rules, ARRMS was updated for audit reviews created for fiscal year-end October 1, 2022 or later, if the awardee has not taken action on the audit case. [GATA Administrative Rules Update](#)

Audit	Audit ID	Status	Status Description
View	41703	Pending Audit Completion	Based on the certification form submitted, a single audit is required and is to be submitted to the Federal Audit Clearinghouse (FAC) 30 days after completion but no later than 9 months after the end of the fiscal year.
View	36107	Under Review	The audit package is currently under review.
View	30631	Under Review	The audit package is currently under review.
View	25241	Under Review	The audit package is currently under review.

[Click to view a list of all audit reviews](#)

[Federal Uniform Guidance and Illinois GATA audit requirements](#)

[Audit Report Review Manual](#)

Grantee Portal Access [Manage](#)

User Name	Name	Last Name	Last Access	Access Type
christiantaylor	Christian Taylor	christian.taylor@cityofchicago.org	05-03-2024	Portal
192488	Christina Tse	christina.tse@cityofchicago.org	10-18-2023	Portal
cdharris99	Corey Harris	corey.harris@cityofchicago.org	08-06-2021	Portal
corey.harris	Corey Harris	corey.harris@cityofchicago.org	09-26-2023	Full
fneely	Fletcher Neely	fletcher.neely@cityofchicago.org	07-17-2023	Portal

User Name	Name	Last Name	Last Access	Access Type
fletcher.neely	Fletcher Neely	fletcher.neely@cityofchicago.org	09-30-2021	Portal
fzhuster	Frank Zhu	frank.zhu@cityofchicago.org	06-18-2024	Full
ganidragusha	Gani Dragusha	gani.dragusha@cityofchicago.org	04-02-2024	Full
GMCCLARN	Graylen McClarn	Graylen.McClarn@cityofchicago.org	06-05-2024	Full
kevin_allen	Kevin Allen	kevin.allen@cityofchicago.org	07-18-2022	Portal
m.maldonado	Maria Maldonado	maria.maldonado@cityofchicago.org	07-26-2023	Portal
MJamesCOC22	Michele James	michele.james@cityofchicago.org	09-07-2023	Portal
Cazares22	Monica Cazares	monica.cazares@cityofchicago.org	01-17-2024	Portal
nancy.delgado	Nancy Delgado	nancy.delgado@cityofchicago.org	11-07-2023	Portal
nancydelgado711	Nancy Delgado	nancy.delgado@cityofchicago.org	08-11-2023	Full
Rick.Girven	Rick Girven	rgirven@cityofchicago.org	03-12-2024	Full
rcastillo	Romina Castillo Guerrero	romina.castilloguerrero@cityofchicago.org	04-01-2024	Full
ValMorton	Valerie Morton	Valerie.Morton@cityofchicago.org	07-31-2023	Portal
yulanda_ross	Yulanda Ross	yulanda.ross@cityofchicago.org	09-26-2023	Portal

To manage alerts and notifications, click the "Manage" button then the "Select" button next to the user.

Organization Contacts

Manage

Name	Title	Email	Roles	Responsibilities
Chloe Belczak	Deputy Budget Director	Chloe.Belczak@cityofchicago.org	CFO	
Christina Tse	Supervisor of Accounting - Health	Christina.Tse@cityofchicago.org	Fiscal Officer	
Corey Harris	Director of Accounting - CD/Misc	corey.harris@cityofchicago.org	Fiscal Officer	
Nancy Delgado	Director of Accounting - Human Services	nancy.delgado@cityofchicago.org	Fiscal Officer	
Rick Girven	Assistant Comptroller - CD/Misc/Transportation	rick.girven@cityofchicago.org	Fiscal Officer	Indirect cost rate
Valerie Morton	Supervisor of Accounting - Public Safety	valerie.morton@cityofchicago.org	Fiscal Officer	

For questions or problems first [click here](#) to refer to the [Grantee Portal FAQs](#)
 For other issues please email kristina.dion2@illinois.gov with the subject "Grantee Portal"

COPY OF CURRENT SHELTER FUNDING STRATEGY

See Section III A

Insert Here

SECTION V

ADDITIONAL INFORMATION

STATE OF ILLINOIS CDBG PROCUREMENT STANDARDS

OVERVIEW

The primary goal of the rules and regulations governing procurement is to ensure open and free competition for federally assisted projects. The various procurement methods outlined in this chapter all attempt to promote open and free competition for contracts. Open and free competition by nature mandates contracting opportunity is equal opportunity. The goal of the State CDBG Program is to ensure that small firms along with women and minority owned firms have an equal opportunity to participate in contract opportunities provided by the program. Requirements related to Section 3 and Minority and Women Business Enterprise (MBE/WBE) participation are in place to ensure this opportunity.

Units of General Local Government (UGLG) may use their own procurement procedures, which reflect applicable state and local laws and regulations, provided that the procurement conforms to federal procurement regulations, 2 CFR Part 200. If a community does not have a written procurement policy, the CDBG policy must be adopted for all phases of the project.

In addition, the State of Illinois' Compiled Statutes must also be considered when establishing procurement procedures. Illinois Compiled Statutes that may apply can be found at: <http://www.ilga.gov/legislation/ilcs/ilcs.asp> in:

Chapter 50 – Local Government

Chapter 55 – Counties

Chapter 60 – Townships

Chapter 65 – Municipalities

UGLGs should follow the stricter regulation, whether Federal, State or Local Government.

The Grantee shall conduct all procurement transactions in a manner providing for full and open competition and comply with all applicable federal procurement regulations (2 CFR 200, Section 200.318 through Section 200.326). The Grantee shall also follow the federal conflict of interest provisions (24 CFR 570.489(h)) and/or Illinois' Procurement Ethics and Disclosure law (30 ILCS 500/50), whichever are more stringent. The Grantee must maintain all records and source documentation related to its purchase of services, supplies, materials, property, equipment or other acquisitions. Procurement records will include rationale for the method of procurement selection of contract type, contractor selection or rejection, and basis of contract price. The Grantee shall provide the Department with executed copies of all contracts along with documentation concerning the selection process as part of the grant reporting process. The Grantee agrees to abide by the provisions of 2 CFR 200; 24 CFR 570.609; and 24 CFR 570.611, which include, but are not limited to, the following:

- a. The Grantee shall maintain a written code or standards of conduct that shall govern the performance of its officers, employees or agents engaged in the award and administration of contracts supported by Federal funds.
- b. The Grantee shall comply with the requirements set forth in 24 CFR Part 5 concerning the use of debarred, suspended or ineligible contractors or subrecipients.
- c. No employee, officer or agent of the Grantee shall participate in the selection, or in the award, or administration of, a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved.
- d. No covered persons who exercise or have exercised any functions or responsibilities with respect to CDBG assisted activities (Project/Scope of Work), or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a financial interest in any contract, or have a financial interest in any contract, subcontract, or agreement with respect to the CDBG assisted activity, or with respect to the proceeds from the CDBG assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for a period of one

(1) year thereafter. For purposes of this paragraph, a “covered person” includes any person who is an employee, agent, consultant, officer, or elected or appointed official of the Grantee, or any designated public agency.

STANDARDS AND PROCEDURES

The standards and procedures for procurement and contracting are intended to ensure that supplies, equipment, construction, and other services are obtained as efficiently and economically as possible. Solicitations must explain all the requirements that the bidder/offeror has to meet for his or her bid/offer to be evaluated by the UGLG. Solicitations for goods and services must be based on a clear and accurate description of the material, product, or service to be procured and cannot contain features which unduly restrict competition. Some of the situations considered to be restrictive of competition include, but are not limited to:

- Placing unreasonable qualifying requirements on firms;
- Requiring unnecessary experience or excessive bonding;
- Specifying only brand name products, instead of allowing an equal product;
- Non-competitive pricing practices between firms or affiliated companies; and
- Non-competitive awards to consultants on retainer contracts.

Awards are to be made to the bidder/offeror whose bid/offer is responsive to the solicitation and is most advantageous to the UGLG, price and other factors considered. Any and all bids may be rejected when it is in the UGLG’s interest to do so. The UGLG must ensure that the award is made only to responsible contractors possessing the ability to perform successfully under the terms and conditions of the proposed procurement. Consideration should be given to such matters as contractor integrity, compliance with public policy, record of past performance, financial capabilities, and technical capabilities.

USE OF LOCAL, SMALL, MINORITY-OWNED and/or WOMEN-OWNED BUSINESSES

Federal regulations make it very clear that UGLGs should make every effort to use local business firms and contract with small, minority-owned, and women-owned businesses in the procurement process. Specifically, the UGLG must take affirmative steps to use small firms, minority-owned firms, women-owned firms, or labor surplus area firms. For example, the UGLG should:

- Incorporate such businesses in solicitation lists whenever they are potential sources;
- Ensure that such businesses are solicited when identified as potential sources;
- Divide procurement requirements, when economically feasible, to permit maximum participation of such businesses; and
- Require prime contractors, when subcontracts are let, to take affirmative steps to select such firms.

USE OF SECTION 3 BUSINESSES

In conformance with requirements of Section 3 of the Housing and Community Development Act of 1968, to the greatest extent feasible, the UGLG must award contracts for work to be performed to eligible businesses located in or owned by residents of the distribution area to ensure that employment and other economic opportunities generated by federal financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very-low income persons, particularly those who are recipients of government assistance for housing.

DEBARRED & INELIGIBLE CONTRACTORS

The UGLG must ensure that awards are not made to any party which is debarred or suspended, or is otherwise excluded from or ineligible for, participation in federal assistance programs under Executive Order 12549 “Debarment and Suspension” UGLG must check the status of all contractors and sub-contractors on the System for Award Management (SAM) at <http://sam.gov/>.

EXCEPTION FOR ACTIVITY DELIVERY CONTRACTS

As outlined under 2 CFR 200.318(e), to foster greater economy and efficiency and to promote the cost-effective use of shared services across the Federal government, the local governmental unit receiving CDBG funds may procure its sub-grant’s Activity Delivery services from an intergovernmental agreement organization, such as a regional planning commission (RPC), or a governmental-private sector inter-entity agreement organization, such

as a regional economic development corporation (EDC), without regard to the competitive procurement provisions outlined in 2 CFR 200.320.

A primary function of regional planning commissions and of regional economic development corporations is to assist units of local government, under the oversight and control, or partial control, of elected officials from the member units of local government. The public purpose served by regional planning commissions and regional economic development corporations, combined with the local control of each, lends itself to protection equal to those contemplated by the competitive provisions of 2 CFR 200.320. However, nothing prevents any UGLG from complying with the provisions of Subpart 320 when procuring administrative services if the UGLG deems compliance to be equitable and in their best interest.

CONFLICTS OF INTEREST

Recipients must avoid conflicts of interest. In the procurement of property and services, 2 CFR 200.319 regarding conflicts of interest apply. In all cases not governed by those rules, conflicts of interest are not permitted. If a person is an employee, agent, consultant, elected official or appointed official of a recipient or subrecipient of CDBG funds and has project-related responsibilities or access to inside information, he or she may not obtain a financial benefit or interest from the project for himself or herself or those with whom he or she has family or business ties during his or her tenure or for one year thereafter.

SELECTION

The lowest, most responsible and responsive bidder must be selected to provide the required supplies, equipment, or services, with the exception of engineering and architectural services. Only A/E professional services may use factors other than price as a selection factor. Responsive refers to a valid and correct bid. Examples of responsiveness include bids turned in prior to the deadline, bid forms filled out correctly, bids containing all required information (bonds), etc. UGLGs may discard a non-responsive construction bid. Responsible refers to financial standing, skill, facilities, capacity, experience, previous work record, or any default within the last 12-month period. Discarding a construction contractor solely based upon the factors of “responsibility” demands much more documentation and requires the written recommendation of the UGLG’s own attorney.

PROCUREMENT METHODS

2 CFR Part 200 allows five methods of procurement: micro-purchase, small purchase, competitive sealed bids, procurement by competitive proposals, and procurement by noncompetitive proposals. Each of these methods is described below. Again, if the UGLG has written procurement procedures or if a State statute applies, the stricter method shall be followed.

1. Micro-Purchase

Procurement by micro-purchase is the procurement of supplies or services of which the aggregate dollar amount does not exceed \$1,000 (or \$2,000 in the case of procurement for construction, subject to the Davis-Bacon Act). To the extent practicable, the grantee must distribute micro-purchases equitably among qualified suppliers. Micro-purchases may be awarded without soliciting competitive quotations if the grantee considers the price to be reasonable.

2. Small Purchase

This method of procurement may be used for the procurement of services, supplies, and/or other property that has an estimated dollar value less than the threshold limits and restrictions determined by 2 CFR Part 200, State or Local statutes. The Small Purchases Method of procurement may not be used for professional services such as Architectural, Engineering, Grant Administration, etc.

Step 1: Determine Threshold. The UGLG must determine whether or not the estimated dollar amount of the product or service being procured is equal to or less than the applicable bidding limit. If the estimated amount is equal to or less than the amount prescribed, go to Step 2. If the estimated amount will exceed the prescribed limit, use another method of procurement.

Step 2: Prepare Solicitation for Products/Services By email, letter or fax, at least three vendors must be contacted for competitive quotes. There is no requirement to contact MBE/ WBE providers. At least seven days must be allowed for responses. The UGLG should be specific in describing the product or service being requested.

Step 3: Document Responses. All responses should be documented and records maintained. Verbal quotes are not valid.

Step 4: Make Vendor Selection. If the vendor with the lowest quote is not selected, the UGLG must document the justification as to why another vendor was selected. Issues such as poor past performance or bad references are typical reasons for selection denial. The UGLG's legal counsel should be consulted on all procurements awarded to vendors not having the lowest quote.

Step 5: Execution of Contract(s). The UGLG may execute contracts with the successful vendor after they have received the Environmental Release Letter from the State. If the UGLG only receives one quote, the consulting Engineer or Architect must validate that the price is reasonable. For record keeping purposes, a cost analysis must be performed. Making several separate small purchases from the same vendor or different vendors in order to stay under the formal bidding threshold is prohibited.

3. Competitive Sealed Bids

The Competitive Sealed Bid method is also referred to as an Invitation for Bid (IFB). This method of procurement is much more formal than the others and does not allow for negotiation. It is the required procurement method for all CDBG construction work.

Step 1: Prepare Invitation for Bid (IFB). The grantee must develop an IFB that clearly identifies the services required including: all technical specifications required, any other requirements that apply to the contract, and instructions for preparing and submitting a bid. Bid specifications may not identify a specific name brand or provider except if required to identify a piece of equipment necessary for completion of the project. In this instance, the name brand or provider must be followed with the terminology, 'or approved equals'. Bid specifications are prepared by the professional services provider, either an Architect or Engineer and must include all parts of the project scope as outlined in the Grant Agreement. It is the responsibility of the UGLG to provide the bid specifications preparer with a copy of the Federal Construction Contract Provisions and the Davis Bacon Wage Decision applicable to the project. The bid specifications must include a statement that the Wage Decision is subject to change and the one that is in effect on the date of the bid opening will be applicable to the total project if the contract is awarded within 90 days of bid opening. If not, the applicable Wage Decision becomes the one that is in effect on the date that contracts are signed.

Step 2: Publish Invitation for Bid (IFB). The IFB must be published at least twice in a newspaper of general circulation, at least seven days apart. The last advertisement must be published at least seven days prior to the bid opening date. The IFB must state the date, time and location for submission of bids. The legal advertisement must provide information pertaining to where the project plans and specifications may be obtained or reviewed. In order to obtain the highest level of free and open competition, publishing the IFB in well-known trade journals and/or sending a copy of the IFB to the area's local contractors may increase the number of responses received.

Step 3: Solicit MBE/WBE Responses.

Step 4: Receive Bids. As bid packets arrive, the time and date the bid was received from the vendor is written on the outside of the bid packet. Any bid received after the date and time due must be rejected and returned to submitter unopened.

Step 5: Open Bids. Bids must be opened and read aloud at a public meeting, at the date, time and location stated in the legal advertisement. The bidder's name and amount of bid must be read and recorded in the minutes of the bid opening meeting. No action should be taken at the bid opening meeting except by order of the CEO to take the bids under advisement. Bid opening meeting minutes and a sign in sheet of all attendees must be maintained for the project records. If all bids exceed the amount budgeted for construction costs, the UGLG has only two options. The local funds budget may be increased to cover the additional costs or all bids may be rejected and the CEO may instruct the Architect or Engineer to revise bid specifications and rebid the project in an attempt to bring construction costs to within the project budget. The project may not be altered or changed to eliminate any part of the original project scope.

Step 6: Make Vendor Selection. The Competitive Sealed Bid Method of procurement requires that the construction contract be awarded to the lowest bidder, provided that the lowest bidder is found to be a responsive and responsible bidder. If the bids received are within the project budget, the Architect or Engineer will review all bid packages to determine if each one is responsive and responsible and the Grantee's legal counsel will verify that the bonding and certification requirements outlined in the bid specifications have been included. Upon completion of these reviews, the Architect or Engineer will prepare a bid tabulation sheet and a written statement to the UGLG making a recommendation of the lowest responsive and

responsible bidder. The bid tabulation must be certified (stamped) by the project Architect or Engineer. If the low bidder is found to be unresponsive or irresponsible and is not recommended by the project Architect or Engineer, the UGLG's legal counsel must be consulted prior to making the determination to reject the lowest bid and consider the second lowest bidder. A written legal opinion must accompany all procurement documents where the low bidder was not selected in case of a formal bid protest or possible litigation.

Step 7: All unsuccessful bidders must be notified in writing if not documented as present at the bid opening.

Step 8: Award Construction Contract. When the Grantee has received the Architect or Engineer's recommendation for award and certified bid tabulation, the UGLG may award a firm, fixed price contract to the recommended bidder.

4. Procurement by Competitive Proposals (Request for Proposals (RFP's)/Request for Qualifications (RFQ's)
Competitive Proposals are generally used when sealed bids are not appropriate. The Competitive Proposal process is most typically used for the procurement of professional services, including, but not limited to administration, architecture, engineering, asbestos inspection, demolition inspection, and title search services.

When procuring the services of a licensed Architect or Engineer, and these services are to be paid for using federal funds, the UGLG should develop and distribute to a number of companies, a Request for Qualifications (RFQ) that may utilize the Architectural or Engineering Industries' Qualification Based Selection (QBS) procedures.

All RFPs and RFQs received must be evaluated. A written method for evaluation, which includes the significant factors used to determine the contract selection award, must be prepared and publicized along with the Request.

Step 1: Prepare RFP/RFQ. The Grantee must prepare a Request for Proposal or Request for Qualifications.

Step 2: Solicit Responses. Send the RFP/RFQ to at least five vendors.

Step 3: Publish RFP. The Grantee must advertise the RFP at least once in a newspaper of general circulation. A formal legal advertisement is required. Proposals are due no sooner than 15 days following the date of publication of the legal advertisement; OR Publish RFQ. The Grantee must publish the RFQ at least once in a newspaper of general circulation a minimum of 30 days prior to the RFQ submission due date. A formal legal advertisement is required.

Step 4: Establish Evaluation Committee. Appoint an evaluation team of knowledgeable members (town council, board of public works members, etc.) and develop an evaluation plan to rank respondents and provide guidance during the selection process. Typically three to five people make up the Evaluation Committee. At least one of the committee members must be the Chief Elected Official (CEO) or designee.

Step 5: Open Responses. Responses must be received at the address stated in the legal advertisement, logged in and stamped with the date and time received prior to being opened and submitted to the Evaluation Committee for review. Any response not received by the date and time stated in the legal advertisement must be returned, unopened to the submitter.

Step 6: Short List Vendors. The purpose of the evaluation process is to select the responders whose proposals meet all of the criteria required in the solicitation. The committee must select two or more of the responders for interviews.

Step 7: Conduct Interviews. The UGLG is required to contact the firms selected, in writing with the time, date and location of the interview. The UGLG must also notify those who will not be interviewed. On occasion, the UGLG may receive only one proposal. That respondent must be interviewed before the scoring committee. The interview may be conducted via conference call.

Step 8: Make Vendor Selection. Each member of the Evaluation Committee must complete an Interview Evaluation and Score Sheet for each vendor short listed. Each scorer must use the same scoring and weighting criteria making their best effort to score each proposal fairly and without bias. The score sheets must be signed by each member of the Evaluation Committee and maintained in the project file. Following the Evaluation Committee's review, the vendor whose proposal is determined to be the most advantageous to the project, based upon qualifications, price (if applicable) and other factors may be selected.

If utilizing QBS Procedures, the vendor with the highest number of aggregate points should be selected for price negotiations. If unable to reach an agreement on the fees to be charged for the services required, the Statement of Qualifications may be rejected and the vendor with the second highest number of aggregate points

may be approached for price negotiations. This process may continue until an agreement is reached, so long as the vendor selected is capable of providing the requested services based upon quality and other relevant factors.

Step 9: Notify Successful and Unsuccessful Proposer(s). The UGLG must notify all successful and unsuccessful vendors, in writing.

Step 10: Execution of Contract. The UGLG may execute contracts with the successful vendor.

5. Procurement by Noncompetitive Proposals

This method of procurement is used to solicit products or services from a single source and may only be used when the other three methods of procurement are not applicable. Generally, the State does not allow Procurement by Noncompetitive Proposals. The stipulations that would exclude the other methods of procurement include the following:

- The item or service can only be obtained from one source.
- A condition of public emergency or urgency exists and time does not permit the use of a competitive procurement method.
- Following solicitation of a number of service providers, competition was deemed to be inadequate.
- State expressly authorizes.
- Noncompetitive and Sole Source procurement is discouraged and must be well documented to avoid disallowance.

Step 1: Justification for Use of Method. The UGLG must prepare a written justification as to why this method of procurement is being utilized and allow the State to review this justification prior to proceeding to Step 2.

Step 2: Specification of Products/Services. Prepare a specific list of products or services to be acquired along with a cost price analysis that evaluates specific elements of cost and proposed profit.

Step 3: Verify Data. A licensed Architect or Engineer must verify the UGLG's data to certify the specifications and reasonableness of the estimated costs.

Step 4: Specification of Products/Services. The vendor should be provided with a specific listing of products or services required.

Step 5: Evaluate Bid. The bid is evaluated based upon responsiveness and price reasonability. For this method of procurement, the UGLG may negotiate with the vendor to assure the most advantageous offer is acquired.

Step 6: Execution of Contract. The Grantee may execute contracts with the successful vendor.

BONDING AND INSURANCE

2 CFR Part 200 specifies bonding and insurance requirements for federally supported activities. In carrying out CDBG activities (except professional services contracts), CDBG recipients must establish bonding and insurance requirements that ensure completion of CDBG funded construction contracts in the event of contractor or subcontractor default.

For contracts exceeding \$25,000, recipients must require a bid guarantee from each bidder equivalent to 5% of the bid price. This may be secured through a bid bond or a certified check. Any contract with an amount over \$25,000 is required to produce documentation of performance bonding within two weeks of contract award. The contractor will obtain a performance bond for 100% of the contract price to ensure completion of the contract. Any contract with an amount over \$50,000 requires the contractor to produce documentation of a payment bond for 100% of the contract price to ensure payment to all persons supplying labor and materials.

In the event of the surety performing under a takeover agreement, the bonding company must produce evidence of participation in the E-Verify program.

Grantees are free to use their requirements relating to bid guarantees, performance bonds, and payment bonds for contracts of \$25,000 or less in value.

An irrevocable letter of credit from a federally insured financial institution may be used for contracts of less than \$25,000. The irrevocable letter of credit cannot have an expiration date and must remain in effect for the duration of the federally funded project.

RECORDS AND FILES

The UGLG shall maintain records to detail the significant history of a procurement and contracting and monitor the contracts to assure that the contracts are completed in a satisfactory and timely manner.

The Procurement and Contracting files must contain:

- Description of method used to select consultants and contractors
- Request for Bids (RFB), Request of Qualifications (RFQ) and Request of Proposals (RFP) documents including advertisements, correspondence, and bids/qualifications/ proposals received evaluation method(s)
- Cost and pricing data
- Record of the approval by the governing body of the bid/qualifications/proposal accepted/selected
- Contract(s) for services
- Records of partial payments and supporting documentation (in financial management files)
- Contract amendments (if any) and rationale for the amendment
- Procurement Policy
- Conflict of Interest disclosure documents and records/Exemption Request documentation (if applicable)
- Evidence of debarment search

PLAYING BY THE RULES
A Handbook for Subrecipients on Administrative Systems

<https://files.hudexchange.info/resources/documents/Playing-By-the-Rules-a-Handbook-for-CDBG-Subrecipients-On-Administrative-Systems.pdf>