

Cook County, IL
Community
Development
Block Grant –
Disaster
Recovery
(CDBG-DR)

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Cook County Board of Commissioners

Infrastructure Policies
and
Procedures Manual

**COOK COUNTY BUREAU OF
ECONOMIC DEVELOPMENT**

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Chapter 1: Overview

1.1 Introduction

The Department of Planning and Development (DPD) is the division of Cook County government identified to receive federal grant dollars from various grants from the U.S. Department of Housing and Urban Development (HUD). These funds are used to design and administer affordable housing, community development, and economic development programs to improve the quality of life for low- to moderate-income people and/or communities within suburban Cook County. DPD is organized according to three program divisions: Housing, Community Development, and Economic Development. The staff work across numerous HUD program areas, but within their program division. Being a one-time grant, HUD's Community Development Block Grant-Disaster Recovery (CDBG-DR) grant is being managed with existing County staff with the assistance of a contractor, CDM Smith. A functional organization chart is included in the CDBG-DR General Policies and Procedures Manual as an attachment which depicts all County and CDM Smith staff designated to assist in some role of implementing and overseeing the CDBG-DR activities. In addition, a table highlighting the responsibilities related to the CDBG-DR grant for each major DPD position, including support staff that work department-wide or who are outside the department is included in Section 1.3 of the CDBG-DR General Policies and Procedures Manual.

This manual contains Cook County's policies and procedures and guidance on the implementation of the County's CDBG-DR Infrastructure Program ("Infrastructure" or "Program"). It is designed to help ensure compliance with all applicable federal, state, and local laws, rules, statutes, regulations, and guidelines in the overall administration of the Program. This includes compliance by subrecipients undertaking any approved CDBG-DR-eligible infrastructure activity and provides the record-keeping and reporting requirements for same. In addition, the General Policies and Procedures Manual supplements this document to provide a basic reference source for the operation of all CDBG-DR Programs. DPD's General Compliance Monitoring Handbook further supplements this manual and provides a guide for areas of programmatic review and responsibilities relating to compliance, which will enable the funding subrecipients and the general public to understand the program, its objectives, and methods to ensure success of the program. The Handbook establishes standards and provides guidance for monitoring DPD's Programs as they relate to the CDBG-DR Grants.

These three manuals contain the basic program policies, rules, and procedures, but do not and are not intended to contain every detail of policy, rule, or regulation. For full guidance and reference federal standards and regulations, refer to the HUD website or consult with the County's HUD Community Planning and Development (CPD) representative. All CDBG-DR policies and procedures conform to federal and state regulations governing the CDBG-DR activities. Whenever there are conflicts between local, state, and federal requirements, the most restrictive regulation always take precedence. The County reserves the right to supplement, amend, or change policies, procedures, and forms in the manual at any time.

1.2 Purpose

The purpose of the DPD Infrastructure Program is to assist applicants who were directly impacted by the flooding in April/May 2013. The Program is offered by the DPD to provide assistance to affected applicants to repair damages caused by the floods and assist with improvements to minimize the risk of

future flooding. Although it is anticipated, the properties may require some level of repairs to remaining damage; the focus and priority will be constructing mitigation measures. The federally declared disaster is FEMA-4116-DR, declared on May 10, 2013, for the incident period of April 16, 2013, to May 5, 2013.

DPD desires to fund projects that strategically assist with the recovery efforts and support other investments which are occurring throughout the County; therefore, in addition to gathering Needs Assessments beyond the initial research, the County will use the resources of internal and external agencies and also the planning efforts to assess flooding risk, support recovery efforts, and potentially reduce the likelihood /impacts of future flooding.

Chapter 2: Grants Management and Administration

2.1 Introduction

Cook County is responsible for establishing the necessary operating principles and administrative policy and procedures to ensure implementation of its HUD-approved CBGR-DR Action Plan. The operating procedures set forth herein help to ensure consistent and uniformly applicable programs to all subrecipients participating in the Cook County CDBG-DR program.

This chapter describes Cook County's CDBG-DR Infrastructure Program's eligible activities, stages of the CDBG-DR grant and related grants management and administrative processes. These processes are presented in a step-by-step process for the benefit of county staff that administer and monitor CDBG-DR program activities, as well as subrecipients.

CDBG-DR grant funds are awarded to municipalities and other local entities to carry out infrastructure projects. County planners are assigned to coordinate infrastructure projects with these subrecipients.

2.2 National Objectives

Section 101(c) of the Housing and Community Development Act (HCDA) sets forth the primary objective of the program as the development of viable communities by the provision of decent housing and a suitable living environment and expanding economic opportunities, principally for persons of low- and moderate-income. The statute further states in Section 104(b)(3) that this is to be achieved in the CDBG program by ensuring that each funded activity meets one of three named national objectives. Those three objectives are identified as: Benefiting Low- and Moderate-Income (LMI) Persons; Preventing or Eliminating Slums or Blight; and Meeting Urgent Needs. The statute also states that each grant recipient must ensure that at least 50% of its expenditures over a particular time period must be used for activities qualifying under the first of those national objectives (that of Benefiting Low- and Moderate-Income (LMI) Persons). This threshold for LMI was also included in the applicable Federal Register Notices for this funding; although, some CDBG-DR appropriations do require a different LMI threshold.

As indicated above, the program rules state that in order to be eligible for funding, every CDBG-DR funded activity must qualify as meeting one of the three national objectives of the program. This requires that each activity, except certain activities carried out under planning and administration, meet specific tests for either:

- Benefiting low- and moderate-income persons,
- Preventing or eliminating blight, or
- Meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available to meet such needs.

An activity that fails to meet one or more of the applicable tests for meeting a national objective is in noncompliance with CDBG-DR rules. The applicable national objective for a project is indicated on “Exhibit B – Project Summary” which is incorporated into the subrecipient agreement (See Appendix 1).

Additional details on the national objectives are provided in [24 CFR 570.208](#). The CDBG-DR General Policies and Procedures Manual provides a detailed description of each of the national objectives. Infrastructure projects must meet either the benefit to low- and moderate-income persons using the area benefit method or be an urgent need. This section summarizes the two objectives applicable to Infrastructure projects.

At least 50% of the grantee’s overall CDBG-DR expenditures must be used for activities that benefit low- and moderate-income persons. To ensure that this statute is met; all new applications are reviewed by Cook County CDBG Staff to ensure eligibility of proposed projects and compliance with low- to moderate-income areas. (Area benefit shall not exceed 49.2% for infrastructure projects and 51% for water/sewer and projects requiring flood control).

1. Activities Benefiting low- and moderate-income persons

a) Area benefit activities

Area benefit activities include an activity that benefits all the residents in a particular area, where at least 49.2% of the residents are low- and moderate-income persons. The service area must be primarily residential or serve a residential community, and it must meet the identified needs of low- and moderate-income persons. Examples include street improvements, water and sewer lines, neighborhood facilities, and façade improvements in neighborhood commercial districts. Such an activity must meet one of the following qualifying criteria.

- (i) Fifty-one percent of the persons residing in the service area are low- and moderate-income, supported by the most recently available decennial census information, together with the Section 8 income limits that would have applied at the time the income information was collected by the Census Bureau. (HUD provides grantees with information by census tract and block group that may be used to determine this percentage); or
- (ii) Fifty-one percent of the persons residing in the service area are low- and moderate-income residents supported by a current survey of the residents of the service area **if** the applicant believes that the census data do not reflect current relative income levels in an area, **or** where census boundaries do not coincide sufficiently well with the service area of an activity. The survey results must meet statistical reliability standards and be approved by HUD; or
- (iii) Under the Exception Criteria, a service area that contains less than 51% of low- and moderate-income residents will be considered to meet the National Objective if the proportion of low- and moderate-income persons in the area is within the **highest quartile** of all areas in the recipient’s jurisdiction in terms of the degree of concentration of such persons. **HUD** will determine the lowest proportion a recipient may use to qualify an area for this purpose.

Cook County has determined that, based on Census figures, the top one-quarter of all census block groups which would be eligible to undertake area benefit activities to principally benefit low- and moderate-income persons must have at least **49.2%** low- and moderate-income persons. All water, sewer, and flood control projects must serve areas that are 51% or more low- and moderate-income.

2. Activities designed to meet urgent community development needs

An activity designed to alleviate existing conditions that have a particular urgency. Examples include reconstruction of water and sewer lines destroyed by major catastrophes or emergencies such as floods or tornadoes. The activity must meet the following qualifying criteria:

- a) The existing conditions must pose a serious and immediate threat to the health or welfare of the community,
- b) The existing conditions are of **recent origin** or recently became urgent (generally within the past 18 months),
- c) The grantee is **unable to finance** the activity on its own, and
- d) Other sources of funding are not available.

2.3 Tie-Back to the Disaster

Cook County DPD understands as the grantee we must document how an activity is addressing a disaster-related impact and how it serves to restore housing, infrastructure, or the economy. For example, the Department must have documentation which includes damage or building estimates for physical losses, post-disaster analyses or assessments for economic or non-physical losses. All activities and projects must be related to recovery from the disaster(s) covered by the appropriation. For every funded applicant or project, the grantee must document a tie to the storm. Documentation is maintained in the project file.

Possible Approaches – Beneficiary suffered damage from the storm/other disaster OR – Funded project will help to economically revitalize an impacted community OR – Applicant community suffered impact from disaster.

Tie to the storm is not the same as duplication of benefits (DOB). Tie to the storm documents whether the project will directly address a storm-related impact. DOB tells us whether that need has already been met by other sources or whether there is an unmet need. Documentation could include damage or building estimates for physical losses or post-disaster analyses or assessments for economic or non-physical losses. If Cook County is using the economic impact approach, DPD must work with HUD to develop an acceptable set of criteria given the disaster. Per HUD guidance, simply being located within a declared county is not sufficient documentation – the grantee must demonstrate that the specific project or applicant has a tie.

2.4 Duplication of Benefits

Section 312 of the Robert T. Stafford Disaster Assistance and Emergency Relief Act (42 U.S.C. 5155(a), Stafford Act) requires that recipients of federal disaster recovery funding ensure that no

'person, business concern, or other entity will receive duplicative assistance'. Because disaster assistance to each person/entity varies widely based on their insurance coverage and eligibility for federal funding, grantees cannot comply with the Stafford Act without first completing a duplication of benefits (DOB) analysis specific to each applicant. The analysis should be filed in the individual project file. It should be noted that FEMA Public Assistance funding was not received for this particular event.

A Duplication of Benefit occurs when:

- A beneficiary receives assistance, and
- The assistance is from multiple sources, and
- The assistance amount exceeds the need for a particular recovery purpose.

In response to the severe storms and subsequent flooding that occurred as a result of Hurricane Sandy (DR 4116), Cook County received supplemental disaster recovery assistance through HUD's Community Development Block Grant (CDBG) Program. This assistance is intended to supplement, not replace, other public, private, and non-profit sector resources that have already been provided for the same need or loss. For example, if a family's damaged home costs \$100,000 to repair and the homeowner received insurance proceeds in that amount, the homeowner could not also receive federal disaster recovery funds to repair the home. To ensure that CDBG-DR funding is spent on eligible activities, the County is responsible to verify that each program provides assistance to a person or entity only to the extent that the person or entity has a disaster recovery need that has not been fully met by funds that have already been, or will be paid, from another source.

The purpose of this activity is to outline the process by which Cook County will verify that assistance from the programs funded by the County (both housing and non-housing), as well as all projects implemented by County grantees, contractors, and sub-recipients will be reviewed for possible duplication of benefits. The procedures described here are also applicable to all grantees and sub-recipients and must be incorporated in the design and administration of programs/projects undertaken by them.

The first step of the DOB determination (calculation) is to determine the amount of assistance needed and the amount of funds previously received, or to be received, for a disaster recovery activity. This is accomplished by first determining the applicant's, grantee's, or subrecipient's post-storm disaster need prior to the receipt of other funds. Next, all other sources of recovery assistance received, or available to be received, must be disclosed during the application process and must be verified. Other sources of funds include, but are not limited to private insurance, Federal Emergency Management Agency (FEMA), Small Business Administration (SBA), the National Flood Insurance Program (NFIP), local and state funds, other federal programs, and private and nonprofit organizations.

The next step is to identify assistance that is not available for the activity. This consists of: funds received that are not for the same purpose as the CDBG-DR activity(s); funds not available to the applicant, i.e., forced mortgage payoff, funds from private loans not guaranteed by the SBA (forgivable loans are duplicative); and any other asset or line of credit available to the applicant, such as checking and savings accounts, stocks, etc. These funds are not considered to be duplicative and may be excluded from being deducted as a duplication of benefit. Finally, after subtracting from the proposed

activity cost the duplicate funds received or available to receive, calculate the maximum CDBG-DR award.

Once the maximum CDBG-DR award has been determined, applicants, grantees, or sub-recipients will be required to sign a *subrogation agreement* requiring them to return to Cook County any assistance received for the same purpose as the CDBG-DR funds. This agreement will be monitored by Cook County program staff, grantees, and sub-recipients (if applicable) at least once annually for a period of three years. Unless an additional need is established, disaster recovery funds must be recaptured to the extent they are in excess of the need and duplicate other assistance received by the beneficiary for the same purpose.

The following is an example of the above-described process for DOB determinations:

1. Identify the Applicant's Total Need Prior to Assistance	\$100,000
2. Identify ALL Potential Duplicative Assistance	\$35,000
3. Deduct Assistance Determined to be Duplicative	\$30,000
4. Determine the Maximum Eligible Award (Item 1 less Item 3)	\$70,000
5. Apply Program Cap (if applicable)	\$50,000
6. Calculate Final Award (lesser of Items 4 or 5)	\$50,000

The federal regulation pertaining to Cook County policy and procedure for identifying Duplication of Benefits is found in Federal Register/ Vol.76, No.221, November 16, 2011, which should be reviewed as part of determining Duplication of Benefits. This guidance will be incorporated into all the policies and procedures for each CDBG-DR funded program, if applicable. DOB monitoring, methods of verifying DOB, and the staff responsible for conducting DOB analysis will also be included in each program procedure.

Once the application for assistance is complete, verification of all third-party sources of funding will be reviewed. County assigned Compliance and Monitoring staff will review any updates of third-party information for duplicative assistance and will alert the program manager if action needs to be taken on an applicant file. Any duplicative assistance will require an adjustment of the calculation and either a reduction in award or grant recapture carried out in accordance with the program's subrogation agreement, if necessary.

It should be noted that first, there were no FEMA Public Assistance dollars awarded for Cook County as a result of the 2013 major flooding events for which these CDBG-DR funds were awarded. Second, the infrastructure projects are for mitigation and not repair of damage therefore it is unlikely that there would be insurance proceeds nor FEMA dollars to cover these costs.

2.5 Basic Eligible Activities

Program Administrative Costs

Per 24 CFR 570.206, payment of reasonable administrative costs and carrying charges related to the planning and execution of community development activities are eligible. This does not include staff and overhead costs directly related to carrying out activities eligible under Sec. 570.201 through Sec. 570.204, since those costs are eligible as part of such activities. Such eligible activities include:

1. General management, oversight, and coordination. Reasonable costs of overall program management, coordination, monitoring, and evaluation. Such costs include, but are not necessarily limited to, necessary expenditures for the following:
 - a) Public information. The provisions of information and other resources to residents and citizen organizations participating in the planning, implementation, or assessment of activities being assisted with CDBG-DR fund.
 - b) Indirect costs. Indirect costs may be charged to the CDBG-DR program under a cost allocation plan prepared in accordance with 2 CFR 200.
 - c) Submission of applications for federal programs. Preparation of documents required for submission to HUD to receive funds under the CDBG-DR and UDAG programs. In addition, CDBG-DR funds may be used to prepare applications for other Federal programs where the recipient determines that such activities are necessary or appropriate to achieve its community development objectives.

Infrastructure Program Eligible Activities

Various community public facilities and improvement activities are eligible for funding under the Cook County CDBG-DR Program.

The following activities are eligible for funding under the specified conditions, except that equipment, ongoing maintenance, repair, or operating expenses of facilities are not eligible under any circumstances:

1. Construction, reconstruction, or installation of public works, facilities (except for buildings for the general conduct of government), and site or other improvements.
2. Physical redevelopment of streets, alleys, curbs, gutters, sidewalks, streetlighting, signs, traffic signals, street furniture, trees, culverts and other normal appurtenances to streets and structures facilitating the passage on, or usage of streets (excluding expressways and limited access highways and their appurtenances). Costs estimates for street-related improvements should be given on a street block by street block basis. Again, maintenance activities are not eligible for funding (e.g., pothole repair, seal coating, etc.).
3. Parks, playgrounds and other permanent recreational improvements.
4. Water and sanitary sewer facilities and storm drainage facilities, but not sewage treatment plants. Planning and construction of water and sewer facilities are subject to Executive Order 12372 (<http://www.fws.gov/policy/library/rgeo12372.pdf>), which replaced OMB Circular A-95. A

60-day review period is required by local and/or state agencies charged with implementing E.O. 12372.

5. CDBG normally allows for the acquisition, construction, reconstruction, rehabilitation, or installation of distribution lines and facilities of privately-owned utilities, including the placing underground of new or existing distribution facilities and lines. However, please note: CDBG-DR funds made available under 78 FR 14329 (November 18, 2013) are prohibited from assisting privately-owned utilities for any purpose.
6. Activities to meet compliance with the Americans with Disabilities Act of 1990. Activities funded with CDBG-DR funds will primarily involve alterations to existing facilities and include removal of architectural barriers, curb cuts for wheelchair accessibility, renovation of washrooms, re-installation of drinking fountains, ramp installation, elevator improvements, and the widening of doors and access ways.
7. Matching grants for other federal, state or, local programs of infrastructure projects which are eligible under this Part. Note: all funds involved in the project are subject to all CDBG-DR statutes and regulations.
8. Project delivery costs for infrastructure projects may include engineering fees, staff time, and other related expenses necessary to complete projects. Applications for funds to pay for these costs must be included in the requests for funds on a project-by-project basis.

2.6 Labor Standards

The U.S. Department of Housing and Urban Development (HUD). Under section 110(a) of the Housing and Community Development Act of 1974, the Davis-Bacon Act (40 U.S.C. 3141 et seq.) applies to construction work over \$2,000, “financed in whole or in part” with CDBG assistance. The CDBG-DR appropriation law has applied the Davis Bacon Act to the CDBG-DR funds. The Act requires that workers receive no less than the prevailing wages being paid for similar work in the same area. The Davis-Bacon Act does not apply to the rehabilitation, reconstruction, and demolition of single-family owner-occupied housing comprised of fewer than eight units, multi-family housing comprised of fewer than eight units, and commercial buildings.

For activities that must comply with Davis-Bacon, the DPD must:

- Review payroll reports.
- Conduct interviews of both the prime contractor and subcontractors.
- Resolve any discrepancies.

Where underpayments of wages have occurred, the employer will be required to pay wage restitution to the affected employees. The employer is required to report the restitution paid on a correction certified payroll. A signed Statement of Compliance must be attached to the corrected payroll form and each employee who has received restitution should sign the corrected payroll as evidence of their receipt of the payments.

For a period of five years following the provision of CDBG-DR assistance, the DPD (or its subrecipient/developer/contractor) must maintain documentation to demonstrate compliance with the labor standards requirements including, but not limited to:

- Bid and contract documents with the labor standards clause and wage decision.
- Payroll forms from the contractor and subcontractors, including signed statements of compliance.
- Documentation of on-site job interviews and review of the corresponding payroll to detect any discrepancies.
- Documentation of investigations and resolutions to issues that may have arisen (e.g., payments to workers for underpayments of wages or overtime).
- Enforcement reports.

DPD's Compliance Officer provides HUD with the Semi-Annual Labor Standards Enforcement Report (HUD Form 4710i).

2.7 Single-Audits

Single-Audits (2 CFR 200 Subpart F)

1. Each successful applicant will be considered a "Major" recipient under the single audit requirements, regardless of the amount of CDBG-DR funds received in any one local fiscal year.
2. Annual single audits must be filed with the Cook County CDBG-DR Program until all subrecipient projects are closed.
3. ANY APPLICANT WHO HAS NOT SUBMITTED SINGLE AUDITS, AS REQUIRED BY THE SUBRECIPIENT AGREEMENT, MAY NOT APPLY FOR ADDITIONAL FUNDING.
4. Each new applicant must submit a copy of its audit prepared by its CPA firm and dated within the last 12 months.

2.8 Application, Review, and Selection Process

CDBG-DR Design/Engineering Grant

This grant program will support the design and engineering costs related to identified stormwater issues in municipalities and unincorporated areas of suburban Cook County that sustained flooding in April-May 2013. The goal of the program is to help applicants develop projects that are shovel-ready and can then proceed to implementation with local funding or by seeking project funding from Cook County or other funders as appropriate, such as the Metropolitan Water Reclamation District (MWRD), Cook County Department of Transportation and Highways (CCDOT), U.S. Army Corps of Engineers (USACE), Federal Emergency Management Agency (FEMA), or the Illinois Department of Natural Resources (IDNR). Applications will be accepted on a rolling basis. The Program Guide and Application can be found in Appendix 2.

CDBG-DR Infrastructure Grant

The accomplished design from a Design/Engineering Grant may contribute to the development of a subsequent CDBG-DR or CDBG application; however, receipt of a Design/Engineering grant does not guarantee that a related future application will be funded.

In addition to the Design/Engineering projects as a source for identifying potential projects for funding, MWRD has a significant pipeline of stormwater management projects through its Phase 1 and Phase 2 programs. Phase 1 includes regional flood control projects that were recommended in MWRD's Detailed Watershed Plans, and these projects aim to address flood control and overbank flooding on regional waterways. Each recommended project was categorized as either streambank stabilization or flood control based on its primary objective. MWRD developed a prioritization methodology that recommended the highest priority for implementation be given to streambank stabilization projects that address public safety and/or protect structures or infrastructure in imminent danger of failure. The next highest priority was flood control projects, which were ranked using factors including the project's benefit-to-cost ratio, the number of benefiting communities, total dollar cost, and total dollar benefit. Cook County is focusing on the Phase 1 flood control projects given the nature and purpose of the CDBG-DR funding, though some streambank stabilization projects have flood control benefits as well.

MWRD's Phase 2 program includes projects that will assist communities with more localized flooding issues. Information about flooding concerns, current efforts underway, and any applicable studies were solicited from units of government and other agencies within Cook County. Over 600 problem areas and/or project requests were received. Based on the severity of flooding and project specifics, MWRD initially recommended 35 projects for implementation. The full set of Phase 2 projects approved by the MWRD Board in September 2013 are included in the Appendix of the March 2014 Action Plan. Phase 2 includes 12 projects now in the design stage and 23 conceptual projects in a variety of areas across Cook County. Four additional Phase 2 projects (in Brookfield, Burbank, Elk Grove Village, and Franklin Park) were approved by the MWRD Board in October 2014.

Many of these Phase 1 and Phase 2 projects will need or would benefit from matching funding to help them move forward to implementation. The County will assess possible CDBG-DR support for these MWRD projects as requested. The Action Plan and the amendments' needs assessments provide further detail as to the source of projects identified.

The following activities shall be completed during the request for funding process:

1. Assign Project to County Planner

Planners are assigned to requests for funding.

Step 1: Review requests submitted for completeness

2. Review Requests for Funding

Each planner is responsible for reviewing his or her assigned requests for funding and completing the following steps prior to submitting recommendations:

Step 1: Review eligibility criteria for project requesting funding, including program priorities and national objective requirements

Step 2: Conduct site reviews (if applicable)

Step 3: Review proposed budget and schedule

Step 4: Complete project summary form (Exhibit B, Project Summary which will be incorporated into the subrecipient agreement and may be found as Appendix 1) and make recommendations for funding

3. Deputy Director Review

The Deputy Director reviews the Exhibit B and funding recommendations, checking for consistency with Cook County policies and budget contingencies.

Step 1: Review recommendations, identifying any issues or questions regarding recommended projects

Step 2: Discuss with Director for verbal approval to go forward in developing the subrecipient agreement.

2.9 Project Approval and Subrecipient Agreement Process

1. Finalize Exhibit B – Project Summary

Step 1: Prepare/revise project summaries if necessary (Exhibit B)

Step 2: Meet with Subrecipients to review final scope, schedule, objectives, and budget for approved projects

2. Prepare Subrecipient Agreement

The subrecipient agreement is the official contract between the subrecipient and the County. Subrecipient agreements shall be prepared in accordance with § 24 CFR Part 570.503 and shall address, at a minimum, the following:

- a) Statement of Work
- b) Records and Reports
- c) Program Income
- d) Uniform Administrative Requirements
- e) Program Requirements
- f) Suspension/Termination
- g) Reversion of Assets
- h) Exhibits – to include all Cook County required forms and documents

All subrecipient agreements will include, as exhibits or attachments, all required documentation for program administration, financial management, and regulatory and statutory compliance.

Step 1: Staff prepares the subrecipient agreement depending on the type of project.

Step 2: Staff ensures that all subrecipient agreement requirements are met and that all necessary forms, documents, and instructions are incorporated in the agreement.

Step 3: Bureau Legal staff reviews subrecipient agreements and approves for signature.

3. Obtain Required Signatures

Prior to award, all subrecipient agreements must be reviewed and signed by key staff members and authorizing officials. The following signature process must be adhered to prior to sending award letters to the subrecipients:

Step 1: Submit Subrecipient Agreement to *Subrecipient* for their signature and verify persons authorized to sign

Step 2: Submit to Cook County *Legal Department* for review and signature

Step 3: Submit to *DPD Director* for signature

Step 4: Submit to *County Clerk* for signature

4. Send Award Letter to Subrecipient

The award letter is the official document notifying the Subrecipient of its project selection and grant award amount.

Step 1: Send award letter and instruction sheet to Subrecipient

2.10 Project Setup and Authorization to Incur Grant Cost Process

Projects are setup in DRGR once the project is identified for funding. The information from the Project Summary (Exhibit B) is used and an activity number is assigned in DRGR and included on the final Exhibit B.

1. Submit Project Summary to Finance Division and request DRGR Activity Number to be assigned

Step 1: Upon receipt of Project Summary (Exhibit B), the Finance Division will setup and budget projects and activities in DRGR.

Step 2: Setup the project's budget in the internal financial system.

Step 3: Notify planner that project setup is completed.

2. Send Authorization to Incur Grant Cost to Subrecipient

Once the project is officially setup in DRGR, Authorization to Incur Grant Cost may be issued to the subrecipients. The authorization to incur grant cost authorizes the subrecipient to execute the project in accordance with the subrecipient agreement and to start incurring costs associated with the project.

Step 1: Planner sends Authorization to Incur Grant Cost to the subrecipient

Note: An Environmental Review is required, for all projects prior to the subrecipient incurring any costs associated with the project. Environmental review shall be completed in accordance with regulations at §24 CFR Part 58.

2.11 Subrecipient and Project Monitoring

After the Authorization to Incur Grant Cost is issued to the subrecipient, DPD mainly assumes an oversight role, monitoring subrecipient progress on projects and for compliance with proper procedures, as well as regulatory and statutory requirements. The following monitoring objectives should serve as basis for monitoring activities:

Summary of Monitoring Objectives

1. To determine if a subrecipient is carrying out its community development program, and its individual activities, as described in the Subrecipient Agreement.
2. To determine if a subrecipient is carrying out its activities in a timely manner, in accordance with the schedule included in the Agreement.
3. To determine if a subrecipient is charging costs to the project that is eligible under applicable laws and CDBG-DR regulations, and reasonable in light of the services or products delivered.
4. To determine if a subrecipient is conducting its activities with adequate control over program and financial performance, and in a way that minimizes opportunities for waste, mismanagement, fraud, and abuse.
5. To assess if the subrecipient has a continuing capacity to carry out the approved project, as well as future grants for which it may apply.
6. To identify potential problem areas and to assist the subrecipient in complying with applicable laws and regulations.
7. To assist subrecipients in resolving compliance problems through discussion, negotiation, and the provision of technical assistance and training.
8. To provide adequate follow-up measures to ensure that performance and compliance deficiencies are corrected by subrecipients, and not repeated.
9. To comply with the Federal monitoring requirements of 24 CFR 570.501(b) and with 24 CFR 84.51 and 85.40, as applicable.
10. To determine if any conflicts of interest exist in the operation of the CDBG-DR program, per 24 CFR 570.611.

11. To ensure that required records are maintained to demonstrate compliance with applicable regulations.

Project Monitoring

Monitoring activities differ depending on the type of CDBG-DR program or project being administered. County staff shall monitor subrecipient projects and verify that processes and activities outlined in this manual, as well as in additional materials provided by the County, are completed in accordance with all applicable regulations and procedures.

Planners shall monitor, at a minimum, the following subrecipient activities for infrastructure projects to ensure compliance with CDBG-DR regulations and procedures:

Step 1: Procurement

Step 2: Pre-Construction

Step 3: Construction

Step 4: Invoice/change order requests

Step 5: Project completion

Subrecipient Monitoring

On-site reviews and monitoring visits with subrecipients are required before final closeout of a CDBG-DR project and include the following activities:

1. In-House Review – Desk Audit

In preparation for the monitoring visit, planners shall review all the written data available in-house.

Step 1: Review subrecipient's request for CDBG-DR funding

Step 2: Review the subrecipient agreement

Step 3: Review any progress reports submitted during the current program year

Step 4: Review any drawdown requests made to date

Step 5: Review documentation of previous monitoring visits and copies of any audits by HUD or any independent party

2. Pre-Monitoring Visit

This is an optional activity and should be performed at the discretion of the planner conducting the monitoring visit. The purpose of the pre-monitoring visit is to inform the subrecipient about County monitoring procedures and the information to be examined during the visit. During this meeting, the planner may want to point out any weaknesses in the subrecipient's operations and suggest how they can be corrected before the formal monitoring visit.

3. Conduct Monitoring Visit (the see Appendix 3 – Final Monitoring Checklist)

There are five basic steps to a monitoring visit:

Step 1: Notification Letter

Step 2: Entrance conference

Step 3: Case file review, documentation assessment, data acquisition and analysis

Step 4: Exit Conference

Step 5: Follow-up Monitoring Letter

Note: As a result of COVID-19 monitoring steps may have been modified to comply with applicable protocols at the time.

2.12 Invoice/Drawdown Processing

All invoices and requests for payments (29A process) shall be reviewed by the project's assigned planner prior to forwarding to the Finance Division for processing. Planners shall verify that all source documentation is attached to the invoice and that all project milestones identified have been achieved.

1. Generate 29A Tracking Form (See Appendix 4 for example)

Step 1: Receive 29A Certification Form from subrecipient (See Appendix 5 for form)

Step 2: Log 29A Certification Form into tracking database

Step 3: Receive 29A voucher form from Administrative Assistant (See Appendix 6 for Voucher Form)

Step 4: Verify all substantiating documents required for processing

2. Submit 29A forms and documentation to Finance Division for payment

Step 1: Check fund balance and approve 29A

Step 2: Check documentation

Step 3: Submit 29A to Finance Director for approval

Step 4: Submit 29A to Director for Deputy Director for approval

3. Final Approval and Processing

Step 1: Submit 29A to Administrative Assistant for processing.

Step 2: Submit 29A to Director of Financial Control for final review.

Step 3: Submit 29A to Administrative Assistant to log into 29A tracking database and submit to Comptroller's office where check is generated and mailed or electronically transferred.

2.13 Project Closeout

Projects cannot be closed out until a final invoice is submitted by the subrecipient and monitoring activities have been completed. Planners shall ensure that all documentation has been collected prior to forwarding final invoice to Finance Division for processing. Documentation should support final case file review and collection of beneficiary data.

1. Final Case File Review
2. Collection of Beneficiary Data

Each subrecipient is required to submit a Final Performance Report with the final draw. The Final Performance Report summarizes the accomplishments achieved and any beneficiary data collected for the project. (See Appendix 7, note this form is updated each year with the current applicable LMI thresholds)

3. Closeout Project in DRGR

Upon receipt of the final drawdown package, the planner must:

Step 1: Submit final drawdown package to Finance Division for payment.

Step 2: Fill out and submit Final Performance Report to Finance Division for input of beneficiary data into DRGR.

Chapter 3: Project Management

3.1 Introduction

This chapter provides guidance to subrecipients on the processes and activities traditionally carried out by the subrecipient in accordance with CDBG-DR program guidelines, regulations and procedures in the administration of CDBG-DR project activities. Processes are broken down according to activities and are presented in a step-by-step process for the benefit of subrecipients and county staff that administer and monitor CDBG-DR program activities. County staff shall review these processes annually and revise as necessary.

3.2 Overview of Subrecipient Procedures

The purpose of this chapter is to outline the major processes and activities required by subrecipients for proper administration of Cook County CDBG-DR funded programs and in accordance with DPD procedures. The following activities shall be administered in accordance with regulations contained in § 24 CFR Part 570.

3.3 Infrastructure Project Activities

The following outline illustrates processes and activities carried out by subrecipients administering CDBG-DR funded infrastructure projects.

1. Request Funding

Step 1: Review CDBG-DR requirements for project eligibility

Step 2: Hold public hearings to solicit public input and feedback on proposed projects if necessary

Step 3: Board Approval for submitting funding request if required

Step 4: Submit completed request to the County

2. Subrecipient Agreement and Authorization to Incur Grant Cost

Step 1: After projects are approved and awarded the applicant must sign a subrecipient agreement

Step 2: Receive an Authorization to Incur Grant Cost from the County (Note: Environmental Review Report must be completed prior to issuing the authorization)

3. Prepare Plans and Specs

Step 1: Procure professional services (if applicable)

Step 2: Prepare work/bid specifications with all federally required documentation (labor standards, WBE/MBE, Wage Determination, etc.)

Step 3: Prepare certified cost estimate to submit with specifications

Step 4: Submit to County for Review and approval Form 4A Labor Standards Compliance, see Appendix 8

4. Advertise for Bids

Step 1: Publish Invitation for Bids

Step 2: Receive bids (minimum of 3)

Step 3: Create Bid tabulation Report – must be signed by Architect/Engineer to be submitted with copies of bids

Step 4: Submit to County for review and approval Form 4D, Bid & Contract Approval, see Appendix 9

5. Award Contract

Step 1: Award contract to lowest qualified bidder

Step 2: Execute Contract

6. Construction

Step 1: Hold pre-construction Meeting

Step 2: Review work specifications, production and payment schedule (payment schedule must be reviewed and approved by Engineer)

Step 3: Review and submit contractor invoices/payment request to the County, along with any supportive documentation

7. Change Orders – All change orders must be pre-approved by the County before the contractor can officially address the changes. ***(No change orders will be paid without proof of preapproval.)***

Step 1: Inspect and ensure the nature of each change order, associated costs and its appropriateness to the project and CDBG-DR program.

Step 2: Forward change order request form to County (Form 4C, Appendix 10).

8. Reporting

Step 1: After receiving approval from County, obtain signature from all contractual parties on change order.

Step 2: Submit 29A and change order documents (including the revised Statement of Work) to the County, marking draw status as a “PARTIAL” if any further change orders are anticipated or “FINAL” if there are to be no further change orders.

Step 3: Monitor contract progress

Step 4: Report any performance issues to the County

Step 5: Report beneficiary data to the County

9. Project Closeout

Step 1: Review project file for all required documents (Form 4E, Appendix 11)

Step 2: Conduct final inspection of project site

Step 3: Submit Final Draw Request Form to County

Step 4: Submit project closeout form

REQUIRED DOCUMENTATION

1	Signed Agreement, including project summary and Budget
2	Notice to Proceed
3	Professional Services Procurement Record
4	Bid Specification
5	Certified Cost Estimate
6	Approved Form 4A – Labor Standards Compliance
7	Copy of Publication of Invitation to Bid
8	Copies of Bids: Successful and 2 others (required)
9	Bid Tabulation Signed by Architect/Engineer
10	Approved Form 4D – Bid/Contract Approval
11	Executed Contract
12	Copies of Waiver(s)
13	Copies of Contractor’s Invoices and Engineer’s recommendations for payment
14	Approved Form 4E – Project Completion Closeout/EEO
15	Related Correspondence
16	Weekly Payrolls and Certifications
17	Employee Interview Forms
18	Contractor’s Certification
19	Contractor’s List of Federal and Non-federal work In Bid Condition Area (\$10,000 minimum)
20	Contractor’s Notification of Subcontracting Awarded (\$10,000 minimum)
21	Section 3 Affirmative Action Plan (\$100,000 Minimum)
22	Preliminary Statement of Workforce needs (\$100,000 minimum)
23	Section 3 subcontracting certification (\$100,000 minimum)
24	Section 3 Final Report (\$100,000 minimum)

REQUIRED DOCUMENTATION

25	Copy of County Vouchers – signed by Sub-Recipient with backup documentation and bills
26	Monitoring Correspondence
27	Performance Report
28	Environmental Review
29	Board Resolution

Chapter 4: General Administrative Requirements

4.1 Introduction

This chapter provides guidance for Cook County staff and subrecipients on how to coordinate, carry out and document the grant and project activities set forth in Chapters 2 and 3 while in compliance with the general administrative requirements and regulations set forth in 24 CFR 570. Substantiating documentation (checklists, forms, templates, spreadsheets, reports, etc.) must be prepared, submitted, approved and filed by County staff, as well as subrecipients, in a timely manner.

4.2 Project Specific Requirements

The Subrecipient, by executing a grant Agreement with the County of Cook, Illinois (the "County") agrees that it will abide by all the provisions contained in the executed agreement by the Subrecipient with the County (the "Agreement¹") for the CDBG-DR project (the "project"). By executing the agreement, the subrecipient also agrees to all the provisions contained in this Manual and all laws, rules, and regulations that apply to the project. The Subrecipient agrees that it is also responsible to HUD in carrying out the project.

4.3 Subrecipient Agreements

Subrecipient Agreement (§570.503): HUD CDBG-DR regulations require that grantees have written Agreements in effect for each subrecipient before giving out any CDBG-DR funds. The written Agreement must remain in effect during any period that the subrecipient has control over any CDBG-DR funds, including program income.

The regulations specify that the written Agreement must include at least the following provisions:

Subrecipient Agreements – Minimum Provisions		COMPLIANCE REFERENCE §
1	Statement of work: a description of the work to be performed, a schedule for completion of the work, and a budget, all in sufficient detail for the County to effectively monitor performance.	24 CFR 570.503(b)(1) (Exhibit "C" of Agreement)
2	Records and reports: the County must specify the records the subrecipient must maintain (including the storage period) as well as the reports and timeframes, in which the subrecipient must submit.	24 CFR 570.503(b)(2) (Article 11 of Agreement)
3	Program income: the Agreement must set forth the program income requirements detailed in 24 CFR 570.503 and 504(c). The County requires that all program income received by the subrecipient be returned to the County.	24 CFR 570.504(b)(3) Section 4.4 (Not specified in Agreement)

Subrecipient Agreements – Minimum Provisions		COMPLIANCE REFERENCE §
4	Uniform administrative requirements: The Agreement must also state that subrecipients will comply with the following additional requirements and standards set out in 24CFR 570.502.	24 CFR 570.502(b)(4) (Article 3 of Agreement)
5	Other program requirements: Compliance with Subpart K except for environmental responsibilities (570.604) and the County's review process under 24 CFR part 52.	24 CFR 570.503(b)(5) (Article 3 of Agreement)
6	Suspension and termination: the Agreement must specify that suspension or termination may occur if the subrecipient materially fails to comply with any term of the Agreement; or may also be terminated for the grantee's convenience.	24 CFR 570.503(b)(6) 24 CFR 85.43 and 85.44 (Article 17 of Agreement)
7	Reversion of assets: when the Agreement ends, the subrecipient must transfer to the County any CDBG-DR funds on hand and accounts receivable attributable to the use of CDBG-DR monies. The Agreement must also specify how the subrecipient will meet the requirements for use or disposition of any real property it either acquired or improved with CDBG-DR funds in excess of \$25,000.	24 CFR 570.503(b)(7) (Article 12 of Agreement)

In addition to the provisions set out in the Agreement, the Subrecipient shall comply with the following provisions for the administration of the project that is the subject of the Agreement. The Subrecipient agrees that CDBG-DR funds will be expended only in conformance with the Agreement, this Manual and HUD CDBG-DR regulations.

Authorization to Incur Grant Cost

1. Upon receipt of the "Authorization to Incur Grant Cost" the Subrecipient may proceed with the following activities:
 - a) Procurement of Professional Services including but not limited to appraisals and legal services, if CDBG-DR funds are being used to pay for such services. The Subrecipient agrees to comply with 24 CFR Section 85.36 or 24 CFR Sections 84.40 through and including 84.48, as applicable.
 - b) Acquisition activities according to the procedures set out in the HUD Handbook 1378 Relocation and Real Property Acquisition.
<http://portal.hud.gov/hudportal/HUD?mode=disppage&id=HANDBOOK1378-CPD>
2. For construction projects, the Subrecipient may:
 - a) Prepare bids for publication and distribution.
 - b) Submit a copy of the bid document and specifications, along with a certified cost estimate

prepared by a licensed or registered architect or engineer for each project, to the County with an executed copy of the bid documents for approval prior to publication and distribution.

- c) Submit a copy of the three lowest, reasonable and responsible bids with an executed Form 4D (Appendix 9) for approval prior to award of contract. After approval, the Subrecipient may execute a primary construction contract.
- d) After making an official notification of award to the contractor. Hold a pre-construction meeting on the date agreed upon with the County planner, who should attend the meeting to inform the subrecipient of Labor laws as established by HUD and the United States Department of Labor.

Change Orders

All change orders related to infrastructure projects require prior County approval. "Prior County approval" means that written approval must be given by the County before any funds, County or matching, are committed. All requests for change orders must be submitted on the County change order form (Appendix 10) with a complete explanation justifying the request. An explanation in greater detail may be requested.

4.4 Program Income

Program Income [as defined in 85.25, 24 CFR 570.500; 570.503(a), (b)(3) and (b)(7); and 570.504]: A grantee must approve (a) whether a Subrecipient will be allowed to retain and use program income, and (b) for what activities the program income may be used. The use of such program income must be in compliance with all other applicable program requirements and, upon the expiration of the Subrecipient Agreement, any program income on hand or subsequently received by the Subrecipient must be returned to the grantee.

1. The Subrecipient agrees that any proceeds from the use of CDBG-DR funds or from the disposition of property acquired with CDBG-DR funds constitute Program Income.
2. The County is responsible to HUD for all income generated from the use of CDBG-DR funds. Program income must be returned to the County upon its receipt by the Subrecipient.

The County will re-program the funds as needed for eligible activities. The Subrecipient agrees to abide by the procedures outlined below:

- a) Definition: "Program Income" – gross income received by a Subrecipient and directly generated from the use of CDBG-DR funds. Program income includes, but is not limited to, the following:
 - (i) Repayment of loans for rehabilitation of private property, including installment loans or deferred payment forgivable loans.
 - (ii) Proceeds from residential rehabilitation junior mortgages when title transfers.
 - (iii) Interest on loans made with CDBG-DR funds.

- (iv) Proceeds from the sale of property acquired or improved with CDBG-DR funds pursuant to the requirements set out in the Agreement.
- (v) Collection of liens, e.g., demolition costs funded with CDBG-DR funds, including:
 - 1. Proceeds from the sale of property acquired through Quit Claim Deed voluntarily submitted by owner in lieu of demolition lien;
 - 2. Proceeds from the sale of property acquired at a Sheriffs Auction, as a Sheriffs Deed, upon foreclosure of a demolition lien;
 - 3. Cash payment by owner for the amount of the lien plus interest on the lien, if any;
 - 4. Mortgages collected as the result of the sale of property to a third party.
- (vi) Proceeds from the sale of HUD homes purchased and/or rehabilitated with CDBG-DR funds.
- (vii) Rental income realized from occupants of acquired property.
- (viii) Repayment proceeds from Economic Development loans.
- (ix) Proceeds from mortgage foreclosure and judgments on notes

NOTE: Since CDBG-DR funds cannot be deposited in interest-bearing investment instruments or accounts, no program income can be realized from such interest. It is not anticipated that the infrastructure program projects will generate program income.

- b) Program Income should be made payable to: "COOK COUNTY TREASURER" **and mail to:**

Cook County Bureau of Economic Development 69 W. Washington, Suite 2900 Chicago, Illinois 60602

4.5 Use and Maintenance of Real Property and Equipment

- 1. The Subrecipient agrees that the use of all real property within its control which was acquired or improved in whole or in part with CDBG-DR funds is subject to the provisions of 24 CFR Section 570.505 which Section shall apply no matter the amount of CDBG-DR funds involved. The Subrecipient may continue to use the real estate for the approved purpose with no further approval.
- 2. The Subrecipient additionally agrees that, on the expiration of this Agreement, it shall:
 - a) use real property within the control of the Subrecipient which was acquired or improved in whole or in part with CDBG-DR funds (no matter the amount of CDBG-DR funds involved) to meet one of the national objectives set out in 24 CFR Section 570.901 and in compliance with 24 CFR Section 570.208 for five (5) years after the expiration of this Agreement;
 - b) shall change the use of the real property to another use which is eligible under the national objectives set out in 24 CFR Section 570.901 and in compliance with 24 CFR Section 570.208 only after compliance 24 CFR Section 570.505(b), only after a public hearing and

after County approval;

- c) if, within five (5) years after the expiration of this Agreement, the Subrecipient disposes of real property within the Subrecipient's control which was acquired or improved in whole or in part with CDBG-DR funds (no matter the amount of CDBG-DR funds involved), the County shall be reimbursed in the amount of the current fair market value of the real property at the time of disposition less any portion of the value attributable to the expenditure of non-CDBG-DR funds for the acquisition of, or improvement to, the real property or the full amount of CDBG-DR funds provided by the County, whichever is greater.
3. The Subrecipient agrees to comply with the following provisions in relation to property, supplies and equipment:
- a) The Subrecipient, if it is a unit of local government or an intergovernmental agency, agrees to provide the County with an annual inventory of approved equipment purchased and to adhere to 24 CFR Sections 85.32 and 85.33 in the management and disposition of supplies, property and equipment purchased or developed with grant funds.
 - b) The Subrecipient, if it is a not-for-profit corporation or a unit of higher education, shall comply with 24 CFR Sections 84.30 through and including 84.37 property management standards for the purchase, maintenance and disposal of equipment and supplies, except that, pursuant to 24 CFR Section 570.502(b)(A-B):
 - (i) In all cases in which personal property is sold, the proceeds shall be program income, and
 - (ii) Personal property not needed by the Subrecipient for CDBG-DR activities shall be transferred to the County for the CDBG-DR program or shall be retained after compensating the County,
 - c) or at the direction of the County, dispose of them pursuant to 24 CFR Sections 85.32, 85.33, 85.34 and 570.505 or 24 CFR Sections 84.30 through and including 84.37, where applicable.
4. In relation to acquisition projects, the Subrecipient, after the closing and transfer of property acquired by it pursuant to the Agreement and the recording of the Deed and Mortgage, shall file a completed Governmental Exemption Papers for each property with the County Board of Tax Appeals. Annual Certificates of Status for each property shall be filed with the Assessor's Office to continue the exemption status.

4.6 Environmental Review

In accordance with 24 CFR Part 8, funding of a CDBG-DR Infrastructure activity is contingent upon satisfactory completion of an environmental review and issuance of an environmental review clearance letter. The County will be responsible for the environmental review process which will be initiated upon the County's receipt of property information including address, front exterior photograph of property and scope of work to be provided by the Subrecipient.

The commitment of CDBG-DR funds to a project is conditioned upon the environmental review results demonstrating that the project is not cost prohibitive from an environmental standpoint. Neither the County nor the Subrecipient may undertake or commit any CDBG-DR funds to finance choice-limiting actions, including without limitation, property acquisition, demolition, rehabilitation, or construction prior to issuance of the environmental clearance letter.

The Environmental Review is discussed in detail in the General Policies and Procedures Manual.

4.7 Financial Management

Uniform administrative requirements and cost principles [2 CFR 200]: The County and its subrecipients shall comply with the policies, guidelines and requirements of 2 CFR part 200.

General Requirements

1. Accounting Standards

The Subrecipient agrees to comply with 2 CFR 200 and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.

2. Cost Principles

The Subrecipient shall administer its program in conformance with 2 CFR 200 as applicable. These principles shall be applied for all costs incurred whether charged on a direct or indirect basis.

Subrecipients of the County CDBG-DR Program agree to implement sound financial and grant management procedures, per 2 CFR 200 and Federal Treasury regulations. In particular, the following procedures and policies apply:

- a) Establish a non-interest-bearing account for CDBG-DR funds. (Federal Treasury regulations prohibit the investment of federal funds in any income-earning financial instruments, including NOW accounts).
- b) Maintain separate accounting records with subsidiary accounts for each project of the CDBG-DR program.
- c) Pre-number all checks and adequately safeguard all blank checks.
- d) Assign the responsibility for cash receipts and disbursement duties to a person other than the person who performs bank reconciliations.
- e) Record all cash receipts and other financial transactions in a timely manner.
- f) Verify mathematical accuracy of all accounts payable invoices, formally approve these invoices for payment, and cancel them when paid.

- g) Perform bank reconciliations, locate and explain all differences, and designates responsible local official (other than the person performing the reconciliation) to review bank reconciliations.
- h) All transfers, amendments, and revisions to approved budget authorities must receive prior approval from the County.
- i) CDBG-DR funds must not be used by the Subrecipient for audits conducted by Independent Public Accountants, for entertainment or other uses as specified in 2 CFR 200, where applicable.
- j) Upon termination or suspension of this Agreement, by its natural completion and closeout or otherwise, the Subrecipient will return to the County all CDBG-DR funds on hand and any accounts receivable attributable to the use of CDBG-DR funds. All other property of whatever nature acquired with CDBG-DR funds shall be disposed of or used pursuant to the provisions of this Chapter.
- k) The Subrecipient accepts full financial and management responsibility for the Subrecipient's audit and monitoring findings and agrees to reimburse the County for any and all findings not accepted by HUD.
- l) The Subrecipient agrees to maintain the following records:
 - m) Full description of each activity carried out, (or being carried out) including the location amount of CDBG-DR and other funds budgeted, obligated and expended for the activity.
 - (i) Financial records, in accordance with the applicable OMB Circulars listed in 24 CFR Section 570.502, as amended from time to time, or as superseded and implemented by codification in the Code of Federal Regulations.

Drawdown and Expenditures

1. Where CDBG-DR funds are being used to pay for professional services (consultants, etc.), or for equipment in an approved budget, the Subrecipient must comply with Chapter 3 before CDBG-DR funds will be remitted.
 - a) The Subrecipient may request grant funds, as identified in Exhibit "C" of the Agreement, for pre-approved professional services upon submitting vendor's billings to the County.
 - b) The Subrecipient may request grant funds, as identified in Exhibit "C" to the Agreement, for approved equipment purchases upon presentation to the County of vendor's billings.
 - c) The Subrecipient agrees to comply with 24 CFR Sections 85.35, 84.40 through and including 84.48, or 570.609, as applicable.
2. In all cases where the Subrecipient uses the assigned grant funds for salaries and other approved administrative expenses, the Subrecipient shall:
 - a) Use the funds solely for the purpose of the delivery of the CDBG-DR project described in this

Agreement;

- b) Utilize Form 29A Certification (Appendix 5) to make a Project Delivery Drawdown Request;
 - c) Maintain time records for all persons paid from the grant; and
 - d) Maintain receipts for all expenditures.
3. For construction or rehabilitation projects, the Subrecipient shall submit a copy of the executed contract, certified copy of the resolution authorizing execution of the contract where applicable, and written notification of the date that the construction is to begin. Payment shall be made upon a reimbursement basis as follows:
- a) The lesser of seventy-five percent (75%) of the grant amount or seventy-five percent (75%) of the contract amount shall be paid during the course of the project upon submission of contractor's bills, contractor's sworn statements, interim lien waiver, and written certification by the project engineer as to the completion of the work done for which reimbursement is being requested. Drawdowns may be at fifty percent (50%) and twenty-five (25%) of the completed work; and
 - b) The lesser of twenty-five percent (25%) of the grant amount or twenty-five percent (25%) of the contract amount shall be retained and shall be paid upon submission of the final contractor's bills, final contractor's sworn statements, final lien waivers, written notification that the work has been completed, and the final performance report.
4. The Subrecipient may drawdown funds only in compliance with this Chapter which states that funds may be drawn down only as needed and which must be expended within 72 hours of drawdown.
5. If Exhibit "C" of the Agreements provides for project delivery costs, the Subrecipient may drawdown estimated project delivery costs for the first quarter of the program year in accordance with Exhibit "C" of the Agreement. Additional quarterly drawdowns or project delivery costs will be permitted only if: 1) accompanied by documentation of the expenditure of project delivery funds from the previous quarter for eligible project delivery costs and 2) reasonable progress is being made in accordance with the work schedule toward completing the project as described in Exhibit "C".

Audit Requirements

The Subrecipient agrees to adhere to the following audit requirements:

- 1. The Subrecipient agrees to permit the County Auditor, the CDBG-DR Program Auditor, or an Independent Public Accountant designated by the County, to audit the Subrecipient's CDBG-DR Program records until completion of all projects. The Subrecipient further agrees to fully cooperate with such audit should the County require such an audit.
- 2. The Subrecipient agrees to annually submit an audit and it will also submit the compliance testing portion of a Single Audit Report for a Major Recipient as set out in the Single Audit Act. Said reports shall be submitted to the County within nine (9) months of the end of the

Subrecipient's fiscal year.

3. The Subrecipient agrees to pay all costs associated with the preparation of the Single Audit report with non-CDBG-DR funds.

4.8 Procurement

Professional Services – Subrecipients shall follow the provisions listed below in contracting for Professional Services:

1. Procurement of professional services with grant funds is subject to the provisions 24 CFR Section 85.36 or 24 CFR Part 84, where applicable. Professional services include, but are not limited to: engineering, legal, architectural, planning, financial management consulting, and construction management
2. Procurement of professional services with grant funds will be done by competitive negotiation: proposals are to be requested from a number of sources and the Request for Proposals is to be publicized (formal advertisement is not required), negotiations are to be conducted with more than one of the sources submitting offers, and either a fixed-price or cost reimbursable type of contract is to be awarded, as appropriate. The following requirements shall apply to procurement of professional services by competitive negotiations:
 - a) Proposals shall be solicited from an adequate number of qualified sources to permit reasonable competition consistent with the nature and requirements of the procurement. The Request for Proposals shall be publicized and reasonable requests by other sources to compete shall be honored to the maximum extent practicable.
 - b) The Request for Proposals shall identify all significant evaluation factors, including price or cost where required and their relative importance.
 - c) The Subrecipient shall provide standards for technical evaluation of the proposals received, determinations of responsible offers for the purpose of written or oral discussion, and selection for contract award.
 - d) Award may be made to the responsible bidder whose proposal will be most advantageous to the Subrecipient, price and other factors considered. Unsuccessful bidders should be promptly notified.
 - e) The Subrecipient may utilize the competitive negotiation procedures to evaluate the qualifications of bidders to select the most qualified bidder, subject to negotiation of fair and reasonable compensation.
 - f) The Subrecipient must be able to provide documentation for the acceptance or rejection of bids.
 - g) Subrecipients may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby the competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional

services. It cannot be used to purchase other types of services even though A/E firms are a potential source to perform the proposed effort.

- h) The Subrecipient agrees to notify the CDBG-DR Contract Compliance Officer of the County Department of Planning and Development of each and all steps in the procurement process.

Construction and Supplies

Subrecipients shall follow the provisions listed below in contracting for Construction Work and Supplies:

1. Procurement of construction work and supplies with grant funds is subject to the provision of 24 CFR Section 85.36 or 24 CFR Part 84.40-48, where applicable.
2. Procurement with grant funds shall be made by one of the following methods, as described herein: a) small purchase procedures, or b) competitive sealed bids (formal advertising).
 - a) Small purchase procedures are those relatively simple and informal procurement methods that are sound and appropriate for procurement of services, supplies or other property, costing in the aggregate not more than \$15,000. The Subrecipient shall comply with State or local small purchase dollar limits under \$15,000. If small purchase procedures are used for procurement under a grant, price or rate quotations shall be obtained from an adequate number of qualified sources and records of quotations and sources shall be maintained.
 - b) In competitive sealed bids (formal advertising), sealed bids are publicly solicited and a firm-fixed-price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all material terms and conditions of the invitation for bids, is lowest in price.
3. In order for formal advertising to be feasible, the following conditions must be satisfied:
 - a) A complete, adequate and realistic specification or purchase description is available.
 - b) Two or more responsible suppliers are willing and able to compete effectively for the Subrecipient's business.
 - c) The procurement lends itself to a firm-fixed-price contract, and selection of the successful bidder can appropriately be made principally on the basis of price.
4. If formal advertising is used for procurement under an Agreement the following requirements shall apply:
 - a) A sufficient time prior to the date set for opening of bids, bids shall be solicited from an adequate number of known suppliers. In addition, the invitation shall be publicly advertised.
 - b) The invitation for bids, including specifications and pertinent attachments, shall clearly define the items or services needed in order for the bidders to properly respond to the invitation.
 - c) All bids shall be publicly opened at the time and place stated in the invitation for bids.
5. In judging whether a bidder is responsible, the 24 CFR Section 85.36 standards state that

"consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and technical resources". 24 CFR Sections 84.40 through and including 84.48 set forth similar standards.

6. Regarding the purchase description, the 24 CFR Section 85.36 standards state that "when it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a 'brand name or equal' description may be used as a means to define the performance or other salient requirements of a procurement. The specific features of the named brand which must be met by offerers shall be clearly stated." 24 CFR Sections 84.40 through and including 84.48 set forth similar standards.
 - a) A firm-fixed-price contract award shall be made by written notice to that responsible bidder whose bid, conforming to the invitation for bids, is lowest. Where specified in the bidding documents, factors such as discounts, transportation costs and life cycle costs shall be considered in determining which bid is lowest. Payment discounts may only be used to determine the low bid when the prior experience of the Subrecipient indicates that such discounts are generally taken.
 - b) Any or all bids may be rejected when there are sound documented business reasons in the best interest of the program.
7. In all contracts for the construction of facility improvements awarded in excess of \$100,000; Subrecipients shall observe the following **minimum** bonding requirements:
 - a) A bid guarantee from each bidder equivalent to five (5) percent of the bid price. The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will upon acceptance of his or her bid, execute such contractual documents as may be required within the time specified.
 - b) A performance bond on the part of the contractor for one hundred (100) percent of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.
 - c) A payment bond on the part of the contractor for one hundred (100) percent of the contract price may be required if deemed necessary. A "payment bond" is one executed in connection with a contract to assure payment as required by law for all persons supplying labor and material in the execution of the work provided for in the contract.
8. Contracts shall contain such contractual provisions or conditions which will allow for administrative, contractual, or legal remedies in instances where contractors breach contract terms and provide for such sanction and penalties as may be appropriate.
9. All contracts, amounts for which are in excess of \$10,000.00, shall contain suitable provisions for termination by the Subrecipient including the manner by which termination will be affected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated because of default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

Contracting with MBE/WBE and Labor Surplus Area Firms

The Subrecipient will use its best efforts to afford small businesses, minority business enterprises, and women's business enterprises the maximum practicable opportunity to participate in the performance of its contracts. The terms "small business" means a business that meets the criteria set forth in section 3(a) of the Small Business Act, as amended (15 U.S.C. 632), and "minority and women's business enterprise" means a business at least fifty-one (51) percent owned and controlled by minority group members or women. For the purpose of this definition, "minority group members" are Afro-Americans, Spanish-speaking, Spanish surnamed or Spanish-heritage Americans, Asian-Americans, and American Indians. The Subrecipient may rely on written representations by businesses regarding their status as minority and female business enterprises in lieu of an independent investigation.

1. It is national policy to award a fair share of contracts to small and minority business firms. Accordingly, affirmative steps must be taken to assure that small and minority businesses are utilized when possible as sources of supplies, equipment, construction and services. Affirmative steps shall include the following:
 - a) Including qualified small and minority businesses on solicitation lists.
 - b) Assuring that small and minority businesses are solicited whenever they are potential sources.
 - c) When economically feasible, dividing total requirements into smaller tasks or quantities so as to permit maximum small and minority business participation.
 - d) Where the requirement permits, establishing delivery schedules which will encourage participation by small and minority business.
 - e) Using the services and assistance of the Small Business Administration, the Office of Minority Business Enterprise of the Department of Commerce and the Community Services Administration as required.
 - f) If any subcontracts are to be let, requiring the prime contractor to take the affirmative steps in a. and e. above.
2. Subrecipients shall take similar appropriate affirmative actions in support of women's business enterprises. Subrecipients should make a list and keep Minority/Women Contractor Associations as a viable and valuable resource to identify contractors. Subrecipients should fully document their efforts as this is a Cook County policy.
3. Subrecipients are encouraged to procure goods and services from labor surplus areas.

Dispute Resolution Clause

Contracts should contain a dispute resolution clause, for example see the following:

Any dispute arising under the Contract between ____ and ____ shall be decided by the Chief Procurement Officer. The complaining party shall submit a written statement detailing the dispute and specifying the specific relevant Contract provision(s) to the Chief Procurement Officer. Upon request of the Chief Procurement Officer, the party complained against shall respond to the complaint in writing within five days of such request. The Chief Procurement Officer will reduce his/her decision to writing and mail or otherwise furnish a copy thereof to the _____. The decision of the Chief Procurement Officer will be final and binding. Dispute resolution as provided herein shall be a condition precedent to any other action at law or in equity. However, unless a notice is issued by the Chief Procurement Officer indicating that additional time is required to review a dispute, the parties may exercise their contractual remedies, if any, if no decision is made within sixty (60) days following notification to the Chief Procurement Officer of a dispute. No inference shall be drawn from the absence of a decision by the Chief Procurement Officer.

Selection Procedures

1. All procurement transactions, regardless of whether by sealed bids or by negotiation and without regard to dollar value, shall be conducted in the manner that provides maximum open and free competition consistent with 24 CFR Section 85.36 or 24 CFR Part 84, where applicable. Procurement procedures shall not restrict or eliminate competition. Examples of what are considered to be restrictive of competition include, but are not limited to:
 - a) placing unreasonable requirements on firms in order for them to qualify to do business;
 - b) noncompetitive pricing practices between firms or between affiliated companies;
 - c) organizational conflicts of interest;
 - d) unnecessary experience and bonding requirements;
 - e) noncompetitive awards to consultants that are on retainer contracts;
 - f) specifying only a "brand name" product instead of allowing "an equal" product; and
 - g) any arbitrary action in the procurement process.
2. The Subrecipient shall have written selection procedures which shall provide, at a minimum, the following procedural requirements:
 - a) Solicitations of offers, whether by competitive sealed bids or competitive negotiation shall:
 - (i) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured, and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is

impracticable or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient requirements of procurement. The specific features of the named brand shall be clearly stated.

- (ii) Clearly set forth all requirements which offers must fulfill and all other factors to be used in evaluating bids or proposals.
- b) Awards shall be made only to responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as contractor integrity, compliance with public policy, record of past performance, and technical resources.

Code of Conduct

Subrecipients shall maintain a written code of standards of conduct which shall govern the performance of their officers, employees or agents engaged in the award and administration of contracts supported by Federal funds. No employee, officer or agent of the Subrecipient shall participate in 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. Such a conflict would arise when:

1. The employee, officer or agent;
2. Any member of his or her immediate family;
3. His or her partner; or
4. Any organization which employs, or is about to employ, any of the above; has a direct or indirect financial or other interest in the firm selected for award.

The Subrecipient's officers, employees or agents shall neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements.

To the extent permitted by state or local law or regulations, such standards of conduct will provide for penalties, sanctions, or other disciplinary actions for violations of such standards by the grantee's and subrecipient's officers employees, or agents, or by contractors or their employee or agents.

4.9 Grant Management and Record Keeping

General Requirements

1. Records to be Maintained

The Subrecipient shall maintain all records required by the Federal regulations specified in 24 CFR 570.506 that are pertinent to the activities to be funded under the Subrecipient Agreement. Such records shall include but not be limited to:

- a) Records providing a full description of each activity undertaken;
- b) Records demonstrating that each activity undertaken meets one of the National

Objectives of the CDBG-DR program;

- c) Records required to determine the eligibility of activities;
- d) Records required to document the acquisition, improvement, use or disposition of real property acquired or improved with CDBG-DR assistance;
- e) Records documenting compliance with the fair housing and equal opportunity components of the CDBG-DR program;
- f) Financial records as required by 24 CFR 570.502, and 24 CFR 84.21–28; and
- g) Other records necessary to document compliance with Subpart K of 24 CFR Part 570.

2. Retention

The Subrecipient shall retain all financial records, supporting documents, statistical records, and all other records pertinent to the Agreement for a period of five (5) years. The retention period begins when the project is closed out in accord with grant closeout procedures established by the County. Notwithstanding the above, if there is litigation, claims, audits, negotiations or other actions that involve any of the records cited and that have started before the expiration of the four-year period, then such records must be retained until completion of the actions and resolution of all issues, or the expiration of the five-year period, whichever occurs later.

3. Client Data

The Subrecipient shall maintain client data demonstrating client eligibility for services provided. Such data shall include, but not be limited to, client name, address, income level or other basis for determining eligibility, and description of service provided. Such information shall be made available to Grantee monitors or their designees for review upon request.

4. Disclosure

The Subrecipient understands that client information collected under this contract is private and the use or disclosure of such information, when not directly connected with the administration of the Grantee's or Subrecipient's responsibilities with respect to services provided under this contract, is prohibited by State privacy laws, unless written consent is obtained from such person receiving service and, in the case of a minor, that of a responsible parent/guardian.

5. Closeouts

The Subrecipient's obligation to the Grantee shall not end until all closeout requirements are completed. Activities during this closeout period shall include, but are not limited to making final payments, disposing of program assets (including the return of all unused materials, equipment, unspent cash advances, program income balances, and accounts receivable to the Grantee), and determining the custodianship of records. Notwithstanding the foregoing, the terms of this Agreement shall remain in effect during any period that the Subrecipient has control over CDBG-DR funds, including program income.

6. Audits & Inspections

All Subrecipient records with respect to any matters covered by the Subrecipient agreement shall be made available to the County, HUD, and the Comptroller General of the United States or any of their authorized representatives, at any time during normal business hours, as often as deemed necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Any deficiencies noted in audit reports must be fully cleared by the Subrecipient within 30 days after receipt by the Subrecipient. Failure of the Subrecipient to comply with the above audit requirements will constitute a violation of the subrecipient agreement and may result in the withholding of future payments. The Subrecipient hereby agrees to have an annual agency audit conducted in accordance with current County policy concerning subrecipient audits and 2 CFR 200.

Grant Management and Record Keeping Requirements

1. The Subrecipient agrees to maintain the following records:
 - a) Full description of each activity carried out (or being carried out), including the location amount of CDBG-DR and other funds budgeted, obligated and expended for the activity.
 - b) Where the grant to Subrecipient allows the Subrecipient to **select** beneficiaries of program activities, the basis of eligibility of each recipient. Where family income is an eligibility criterion, evidence of qualification, including but not limited to Federal tax return, check stubs, SSI statement.
 - c) For each activity determined to benefit low- and moderate-income persons based on the area served by the activity:
 - (i) The boundaries of the service area;
 - (ii) The income characteristics of households and unrelated individuals in the service area;
 - d) For each activity determined to benefit low- and moderate-income persons because the activity involves a facility or service designed for use predominantly by low- and moderate-income persons:
 - (i) Documentation establishing that the facility or service is designed for and used by senior citizens, handicapped persons, battered spouses, abused children, homeless or illiterate persons, or migrant farm workers; or documentation describing how the nature and, if applicable, the location of the facility or service establishes that it is used predominantly by low- and moderate income persons; or
 - (ii) Data showing the size of the immediate family of each person receiving the benefit and the income of each such family and that at least 51 % of the beneficiaries are low and moderate income.
 - e) For each activity determined to aid in the elimination of slums or blight based on addressing one or more of the conditions which qualified an area as a slum or blighted area:

- f) The boundaries of the area; and
 - (i) Description of the conditions which qualified the area at the time of its designation in sufficient detail to demonstrate how the area met the eligibility criteria.
 - (ii) For each commercial rehabilitation activity determined to aid in the elimination of slums or blight in a slum or blighted area:
 - (iii) The local definition of "substandard";
 - (iv) A pre-rehabilitation inspection report describing the deficiencies in each structure to be rehabilitated; and
 - (v) Details and scope of CDBG-DR assisted rehabilitation, by structure.
- g) For each activity determined to aid in the elimination of slums or blight based on the elimination of specific conditions of blight or physical decay not located in a slum or blighted area (spot blight):
 - (i) A description of the specific condition of blight or physical decay treated; and
 - (ii) For rehabilitation carried out under this category, a description of the specific conditions detrimental to public health and safety which are to be corrected.
- h) Records which demonstrate compliance with 24 CFR 570.505 and this Agreement regarding the use and disposition of real property acquired or improved with CDBG-DR assistance.
- i) Records which demonstrate compliance with the citizen participation requirements prescribed in Section 104(a)(3) of Title I of the Housing and Community Development Act 1974 and 24 CFR Sections 570.301 (a)(2) and 570.301 (a)(3).
- j) Fair housing and equal opportunity records containing:
 - (i) The fair housing analysis as required by the County to ensure compliance with Section 104(b) of Title I of the Housing and Community Development Act of 1974, as amended, and 24 CFR Sections 570.600 and 570.601, documentation of the actions the recipient has carried out with its housing and community development resources to remedy or improve any conditions limiting fair housing choice in the recipient's community and documentation of any other official actions the recipient has taken which demonstrate its support for fair housing.
 - (ii) Data on the extent to which each racial and ethnic group and single-headed households (by gender of household head) have applied for, participated in, or benefited from, any program or activity funded in whole or in part with CDBG-DR funds.
 - (iii) Data on employment in each of the Subrecipient's operating units funded in whole or in part with CDBG-DR funds, with such data maintained in the categories prescribed on the Equal Employment Opportunity Commission's EEO-4 form; and

documentation of any actions undertaken to assure equal employment opportunities to all persons regardless of race, color, religion, national origin, sex, ancestry, age, marital status, unfavorable discharge from the military, or handicap in units funded in whole or in part with CDBG-DR funds.

- (iv) Data indicating the race and ethnicity of households (and the gender of single heads of households) displaced as a result of CDBG-DR funded activities, together with the address and census tract of the housing units to which each displaced household relocated. "Displacement" is defined in 24 CFR Section 570.612(a).
 - (v) Documentation of actions undertaken to meet the requirements of Section 3 of the Housing Development Act of 1968, as amended (12 U.S.C. 1701U), relative to the hiring and training of lower income residents and the use of local businesses. HUD Form 60002 is required to be completed.
 - (vi) Data indicating the racial/ethnic character of each business entity receiving a contract or subcontract of \$10,000 or more paid, or to be paid, with CDBG-DR funds, data indicating which of those entities are women's business enterprises as defined in Executive Order 12138, the amount of the contract or subcontract, and documentation of affirmative step taken pursuant to 24 CFR Section 85.36(e) or 24 CFR Section 84.44(b), where applicable, and Executive Orders 11625 and 12138 to assure minority businesses and women's business enterprises are utilized when possible as sources of supplies, equipment, construction and services. HUD Form 2516 is required to be completed.
 - (vii) Documentation of the affirmative actions the recipient has taken to overcome the effects of prior discrimination, where the recipient has previously discriminated against persons on the ground of race, color, religion, national origin, sex, ancestry, marital status, age, unfavorable discharge from the military, or handicap in administering a program or activity funded in whole or in part with CDBG-DR funds.
- k) Financial records, in accordance with the applicable OMB Circulars listed in 24 CFR Section 570.502, as amended from time to time, or as superseded and implemented by codification in the Code of Federal Regulations.
 - l) Records of the number of minority and female persons and of all persons hired in full time positions, and the number of minority and female persons and all persons employed in permanent fulltime positions, recorded in the format of EEO-4 form available from the County, and submitted to the County as required by the County.
 - m) Record of the racial or ethnic group and sex of each recipient of program benefits, a per OMB directive 15 (i.e., African-Americans, American Indians and Alaskan Natives, Hispanics and Asians and Pacific Islanders).
 - n) Records of Subrecipient's actions to utilize minority and women business firms, and of the award of all contracts for supplies, equipment, construction or services with specific list of contracts awarded to minority and women businesses.

2. The Subrecipient agrees to maintain the following project files:
 - a) Organization. Project files shall be organized in case folders with tabs to separate the documents filed therein. The top sheet in the case folder shall be a project checklist.
 - b) Project checklists. Project checklists shall include the major stages/activities and list the related documents/records that must be prepared, submitted, approved and filed in the case folder.
3. Case folders. Subrecipients shall establish the case folder upon receipt of the signed subrecipient agreement. Subrecipients shall maintain case folders, checklists and records up-to-date and available for on-site monitoring review by County staff and HUD.

4.10 Civil Rights and Fair Housing

Provisions (§570.600)

Cook County encourages all recipients of CDBG-DR funding to participate, at least annually, in the Fair Housing training or workshop. Cook County anticipates that recipients will utilize the knowledge gained by implementing some activities in the community such as, knowledge of where and how to file fair housing complaints.

Civil Rights (§570.602)

The Secretary of the United States Department of Housing and Urban Development requires that Community Development Block Grant recipients certify that they will comply with Title VIII of the Civil Rights Act of 1968.

Fair Housing (§570.601)

The Municipality must provide information about fair housing rights available for all residents and prospective residents including: equal housing opportunity logo and the statement "municipality is an open and welcoming community to all"; if there is a website, municipality must have a link to fair housing ordinance on any page related to housing and community relations; all protected classes and how to file a fair housing complaint on web pages relating to housing and community relations; in conspicuous places in all public libraries, clinics, administrative buildings and civic or community centers; on public access channels; through the provision of materials to congregations and community based organizations. Municipalities must train municipal receptionists to know to whom they should refer fair housing complaints.

Employment and Contracting Opportunities (§570.607)

Cook County requires subrecipients of CDBG-DR funding provide opportunities for training and employment that arise through HUD financed projects be given to lower-income residents of the project area. Section 3 also provides that contracts awarded in connection with such projects be awarded to businesses located in the project area or businesses owned, in substantial part, by residents of the project area. Project Area is defined as the unit of local government of the metropolitan area in which the project is located. Section 504 of the Rehabilitation Act of 1973, as amended, provides that no otherwise qualified individual shall, solely by reason of his or her handicap, be excluded from participation (including employment), denied program benefits or subjected to discrimination under any

program or activity receiving federal funds. Section 109 of the Housing and Urban Development Act of 1974, as amended, provides that no person shall be excluded from participation including employment, denied program benefits or subjected to discrimination on the basis of race, color, religion, sex or national origin under any program or activity funded in whole or in part under Title I (Community Development) of the Act. Further, Executive Order 11246, as amended, provides that no person shall be discriminated against, on the basis of race, color, religion, sex or national origin, in any phase of employment during the performance of federal or federally assisted construction contracts in excess of \$10,000.00.

Affirmatively Furthering Fair Housing (§570.601)

Cook County requires each municipal Subrecipient to take action each year to Affirmatively Further Fair Housing. The municipal subrecipient should provide fair housing relations educational programs for employees, community and civic groups.

Handicapped Accessibility (§570.614)

The Municipality should review all zoning ordinances, building codes, and occupancy codes for compliant with Fair Housing Act, equivalent state law, and the American with Disabilities Act.

The Municipality should require real estate professionals and multi-family property owners to attend and complete an annual fair housing training session that covers the requirements and protections of the Fair Housing Act, state equivalent law, and Americans with Disabilities Act.

4.11 Construction and Rehabilitation

Documents Required in Bid Specifications

1. The subrecipient is responsible for incorporating the documents listed below in the bid specifications for construction work. The necessary documents are attached by legislative section, e.g. Davis-Bacon, Equal Employment Opportunity. The subrecipient is responsible for notifying its architect/engineer of these requirements.
 - a) Labor standards Provisions (Contract over \$2,000 and 8 or more units)
 - b) Davis-Bacon Wage Determination
 - c) Copeland Anti-Kickback Act Provisions
 - d) Contract Work Hours and Safety Standards Act Provisions
 - e) Equal Employment Opportunity (Contracts over \$10,000)
 - f) Section 3 Clause
 - g) Other Provisions
 - (i) Clean Air Act/Federal Water Pollution Control Act (Contract over \$100,000)
 - (ii) Architectural Barriers Act of 1968 (if contract is for construction of facility)

2. The subrecipient shall complete the checklist (Form 4A – Labor Standards Compliance, Appendix 8), sign it and forward it to the County with a complete set of the bid documents for approval prior to bid advertising. Bid documents will include:
 - a) Invitation for Bids
 - b) Request for a Wage Determination

Documents Required Prior to Award of Contract

1. The Subrecipient is responsible for completing the requirements listed below. A contract cannot be awarded until these requirements are met. No contract can be awarded without prior approval of the County.

Complete the checklist (Form 4D – Bid/Contract Approval, Appendix 9), sign it and forward it to the County for approval prior to award of contract.

1. Attach the bid tabulation including subrecipient's (in-house) and each bidder's estimated costs. The bid tabulation should break out rehabilitation costs from lead hazard costs when applicable.

4.12 Requirements After Award of Contract

1. As a first step, the Subrecipient should notify the County when the contract is officially awarded. A Pre-Construction Conference should be scheduled with the contractor and with the County after award and prior to the start of construction. A DPD staff person will attend to inform the contractor of the applicable federal requirements. Thereafter, the Subrecipient is responsible for monitoring the performance of the contractor subject to periodic reviews by the County and HUD.

The following (Form 4E – Project Completion/Closeout – Labor Standards and EEO, Appendix 11) should be completed and applicable documents prepared by the Subrecipient during the course of the project. Upon completion of the project, the checklist (Appendix 11) should be signed and forwarded to the County, with copies of all reports for approval. Final funds will not be released until the checklist is received and subsequently approved by the County.

- a) Contractor, subcontractor certifications
- b) Weekly payrolls for contractor and subcontractor (wage determination comparison)
- c) Record of employee interviews
- d) Notification of Subcontracts Awarded
- e) Monthly employment utilization report
- f) Contractor's list of federal and non-federal work
- g) Section 3 Affirmative Action Plan
- h) Section 3 Final Report

- i) Signage (Davis-Bacon, EEO, OSHA)

Labor Standards (§570.603)

Davis-Bacon requirements and other Labor Standards [24 CFR 570.603]: these statutes require the payment of prevailing wages for CDBG-DR assisted construction work, including construction or rehabilitation of residential property containing eight units or more, in excess of \$2000.

The Contract Work Hours and Safety Standards Act also apply to such activities.

Subrecipients are responsible for the creation, maintenance and preservation of labor standards enforcement files for each project. The files shall be current, maintained in a consistent manner, and secured for the life of the active monitoring of the project and preserved for at least three (3) years following the completion of the project and the final disposition of any compliance issues.

For each construction contract, a labor standards file should be maintained which includes the following items:

- Request for Wage Determination Form, copies of all applicable wage rate decisions and related correspondence;
- Evidence that labor standards provisions were included in bid packages and contracts;
- Proof of contractor eligibility;
- Copy of preconstruction conference minutes;
- Contract Reporting Form;
- Evidence that all required notices have been posted at the construction site (such as photographs taken on site);
- Contractor's weekly payroll reports or certified payroll records (numbered sequentially and the final one marked "Final");
- Evidence that the weekly payroll reports have been verified as correct;
- Records of construction worker interviews;
- Evidence of any violations with supporting documentation;
- Evidence of the resolution of any violations;
- Copies of lien releases;
- Completed volunteer certification forms, if applicable;

- Wage transcript schedule;
- Information pertaining to additional classifications and wage rates;
- General correspondence and transmittals;
- Contract payment requests, vouchers, copies of checks;
- Escrow account information (the agreement and schedule);
- Construction progress reports;
- Employee interview forms www.hud.gov/offices/adm/hudclips/forms/files/11.doc [Similar](#) ;
- Apprentice and trainee registration forms; Primary project information including, but not limited to:
 - contract award clearance;
 - confirmation of contract award date;
 - start of construction notice;
 - completion notice;
 - final payment clearance; and
 - confirmation of final payment.

Cook County Staff will ensure that:

- A checklist (Appendix 11) is located within the project files. Upon project completion certified weekly payrolls, employee interviews, and construction start date documentation is inserted into the files. CDBG-DR staff inserts the results into the project files and checks the appropriate section on the checklist.
- Cook County CDBG-DR staff will continue to receive HUD guidance and trainings to ensure Labor Standards requirements and construction management compliance methods are implemented.

Section 3 Requirements

The Subrecipient agrees to abide by the regulations promulgated under Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u), as amended, and as contained in 24 CFR Part 135. The Subrecipient must submit the Section 3 Final Report at the end of all capital improvement projects of \$200,000.00 or more.

Chapter 5: Performance Reporting

5.1 Introduction

The County's performance reporting is focused on:

- program performance – the performance measures established in the written subrecipient agreement
- financial performance – timely completion and expenditures within budget
- regulatory performance – data and documentation required by regulations
- and an ongoing process of planning, implementation, communication and follow-up that continuously accumulates data to be reported.

The County's primary focus is the adequacy of performance under subrecipient agreements [24 CFR 570.501(b) and 24 CFR 84.51 and 85.40 as applicable]

5.2 Overview of County Requirements

The County's primary subrecipient performance reporting tool is the Final Performance Report Worksheet (Appendix 7).

Final Performance Report

The U.S. Department of Housing and Urban Development (HUD) requires reporting on the Cook County CDBG-DR Program activities and reports from Subrecipients on the beneficiaries of their CDBG-DR funded projects. In order to meet HUD's reporting requirements, the Final Performance Report Worksheet was designed to capture all the data needed to satisfy federal requirements. See Appendix 7.

The County reports to HUD on Performance Measures. The performance measurement is a tool to capture information about program performance. The subrecipient data collected from the Final Performance Report is extremely valuable to measuring success and compliance of the CDBG-DR Program. The data captured by the final performance report is used to report the subrecipient and Grantee's (Cook County) results to the HUD.

Section 3 Reporting

Section 3 is a provision of the Housing and Urban Development Act of 1968. The purpose of Section 3 is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, be directed to low and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

A Section 3 resident is a public housing or a low or very low-income person residing in the area where the Section 3 covered assistance is expended. Section 3 is both race and gender neutral.

A Section 3 covered project involves:

- the construction or rehabilitation of housing
- including reduction of lead-based paint hazards
- or other public facades

Section 3 applies to recipients who receive more than \$100,000 in CDBG-DR funds.

Section 3 applies to projects that are fully or partially funded with HUD assistance. If the subcontractor has the need to hire new persons to complete the Section 3 covered contract or needs to subcontract portions of the work to another business, they are required to direct their newly created employment opportunities to Section 3 residents and business concerns.

Grantees must document all actions taken to comply with the requirements of Section 3. They must submit a Section 3 Annual Summary Report (Form HUD- 60002) for all covered funding. This report can be found at www.hud.gov/section3 .

NOTE: Section 3 reporting requirements have changed for projects committed on or after July 1, 2021. Refer to the changes implemented in the CDBG program for compliance with reporting requirements.

HUD Reporting

- Cook County has assigned a CDBG-DR staff person (Compliance Officer) to prepare all required HUD Reports to include Semi-Annual Report of Contract and Subcontract Activity (HUD 2516), Semi- Annual Labor Standards Enforcement Report (HUD 4710) and Annual Section 3 (HUD 60002). The entire CDBG-DR project planning Staff assist with obtaining information from Subrecipients and this information is inserted into the project files.
- Cook County developed a master calendar/schedule of key reporting periods as noted below:
 - HUD 2516 and 4710: The report(s) preparation begins in January and the first semi-annual reports are due mid-March. The second semi-annual report preparation begins in mid-July and the reports are due in mid-September (EXACT DATES TO BE CONFIRMED W/HUD).
 - HUD 60002 (Section 3): This report is due annually and requested during the CDBG's annual performance reporting period between September – November. All Subrecipients are notified in writing and due dates are scheduled. Prior to submittal, reports are reviewed for compliance with federal regulations.
 - Upon approval, reports are forwarded to HUD via email and mailed or hand delivered and inserted into the program file.

- A checklist (Form 4E Labor Standards Compliance, Appendix 8) is included in the program file and upon completion of the reports the assigned CDBG Staff inserts the information into the program file and the appropriate section on the checklist is selected.

5.2 Subrecipient Requirements

The Subrecipient Agreement (the “Contract”) is the plan for undertaking project activities as well as a tool for tracking performance (what, how and when, and how paid).

1. Statement of Work (“Project Plan”) – the major stages/activities are set forth, by project type, in Chapter 3.
2. Budget by Task/Activity –payment vouchers and financial status; use processes in Chapters 3 and 5 for substantiating documents
3. Schedule by Task/Activity – Start within 3 months of NTP and complete in 12 months; expend all funds by September 30th.
4. Standard Provisions – performance measures and compliance requirements are satisfied by preparing, completing and recording or filing the documents called out in Chapters 3, 4, 5 and 7.
5. Amendments – Changes to project scope of work, budget, or time of completion that are approved by Cook County.

Appendices

Appendix 1: Exhibit B – Project Summary



EXHIBIT 6 - PROJECT SUMMARY

Community Development Block Grant - Disaster Recovery

Planner

SUBRECIPIENT _____

ADDRESS _____ CITY _____ ZIP _____

PROGRAM MANAGER		PHONE	FAX	E-MAIL
PROJNUM	IDIS No.	PROJECT TITLE		
<input type="text"/>	<input type="text"/>	<input type="text"/>		

Eligibility Citation Award Amount Additional Amount Transfers into Project Total Budget Summary Award Match

SUMMARY PROJECT DESCRIPTION: _____

Eligibility:

<u>LMI</u>		<u>Slum Blight</u>	Is Acquisition Required?
<input type="checkbox"/> Does Not Apply	<input type="checkbox"/> Housing Activity	<input type="checkbox"/> Does Not Apply	<input type="checkbox"/> Yes
<input type="checkbox"/> Area Benefit	<input type="checkbox"/> Job Creation/Retention	<input type="checkbox"/> Area	<input type="checkbox"/> No
<input type="checkbox"/> Limited Clientele		<input type="checkbox"/> Spot	
	Census Tracts	Block Groups	L/M Income %

NARRATIVE:

Awarded Location

AWARDED Project Description

Specific Anticipated Accomplishments

Environmental Review	Amendment	Amendment Date	Planner
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

PROJECT COMPLETION SCHEDULE

Month 1

Month 2

Month 3

Month 4

Month 5

Month 6

PROJECT COMPLETION SCHEDULE

Month 7

Month 8

Month 9

Month 10

Month 11

Month 12

STAFF SALARIES

Note: Column 4 cannot exceed Column 2 times Column 3. The sum of Column 5 and Column 6 cannot exceed Column 4.

<u>NAME AND POSITION</u>	(2) Annual Salary	(3) % of time spent on Project	(4) Salary Utilized for Project	(5) CDBG Portion	(6) Project Match
TOTAL SALARIES:					

REMINDER

NO CDBG FUNDS MAY BE USED FOR FRINGE BENEFITS OR TAXES.

LINE ITEM BUDGET**PROJECT ACTIVITY:**

	CDBG Funds	Matching Funds	TOTAL
Capital Improvement	_____	_____	_____
Single-Family Rehabilitation	_____	_____	_____
Economic Development	_____	_____	_____
Demolition/Clearance	_____	_____	_____
Acquisition	_____	_____	_____
Relocation	_____	_____	_____
	=====	=====	=====

TOTAL PROJECT ACTIVITY:

Administration and Planning Grants include Fair Housing activities. Public Service Grants include Housing Counseling activities. Project Activity costs for these projects should be indicated below as Project Delivery costs.

PROJECT DELIVERY: **(You are encouraged to use CDBG Funds for salaries only.)**

	CDBG Funds	Matching Funds	TOTAL
Staff Salaries	_____	_____	_____
Office Rent/Utilities	_____	_____	_____
Postage	_____	_____	_____
Printing (Rental Equipment)	_____	_____	_____
Publication/Notices	_____	_____	_____
Project Travel @ \$.565 per mile OR current IRS rate.	_____	_____	_____
Other: _____	_____	_____	_____
Other: _____	_____	_____	_____

Professional Services:**(Need to be Procured if using CDBG Funds.)**

Architect	_____	_____	_____
Engineering	_____	_____	_____
Legal	_____	_____	_____
Accounting (except Single Audit)	_____	_____	_____
Other: _____	_____	_____	_____
Other: _____	_____	_____	_____

TOTAL PROJECT DELIVERY:**CDBG Grand Total**

Match Grand Total

GRAND TOTAL ALL

Appendix 2: CDBG-DR Design/Engineering Grant Program's Guide and Application

Cook County Department of Planning and Development



Community Development Block Grant – Disaster Recovery Design/Engineering Grant Program

Program Guide and Application

For assistance, please contact:
Tim Kleist
Project Manager
timothy.kleist@cookcountyil.gov
(312) 603-1067

Cook County CDBG-DR Design/Engineering Grant Program Guide

Overview

The Cook County Department of Planning and Development (DPD) has received Community Development Block Grant-Disaster Recovery (CDBG-DR) funding to assist disaster recovery efforts in response to the declared federal disaster (DR-4116) that occurred in Cook County in April-May 2013. Cook County has identified that disaster-impacted communities have a need for support of the design and engineering of stormwater management and flood relief projects that will mitigate future flooding and foster long term recovery in impacted areas.

Applications for the competitive Design/Engineering Grant Program will be accepted on a rolling basis.

CDBG-DR Design/Engineering Grant

This grant program will support the design and engineering costs related to identified stormwater issues in municipalities and unincorporated areas of suburban Cook County that sustained flooding in April-May 2013. The goal of the program is to help applicants develop projects that are shovel-ready and can then proceed to implementation with local funding or by seeking project funding from Cook County or other funders as appropriate, such as the Metropolitan Water Reclamation District (MWRD), Cook County Department of Transportation and Highways (CCDOH), U.S. Army Corps of Engineers (USACE), Federal Emergency Management Agency (FEMA), or the Illinois Department of Natural Resources (IDNR). Applications will be accepted on a rolling basis, and all funds must be spent by July 31, 2019.

Eligible Applicants

Municipalities and townships in suburban Cook County are eligible to apply for assistance. Applicants must provide documentation of the April-May 2013 flood damage that the proposed project area sustained. FEMA claim information, other claim/loss documentation, and dated photographs are among acceptable documentation.

Cost Share

Cook County would like to see a local contribution in applications received for the Design/Engineering Program. Match expectations will be based on the economic and demographic characteristics of the area served. The County reserves the right to waive the applicant's share on a case-by-case basis.

Eligible Activities

All proposed activities should be directly related to needs associated with impacts from the federal disaster declaration (DR-4116) in April-May 2013. An eligible design/engineering project may include, but is not limited to, the following activities:

- Planning studies/analyses focused on identifying issues with existing drainage infrastructure
- Preliminary engineering and analysis of solutions to address flooding issues
- Architectural design of structures and solutions addressing the mitigation
- Final design of flood control improvements

If a potential project is expected to be appropriate for funding by MWRD, USACE, FEMA, IDNR or other agencies, that project may be better positioned if the applicant is able to demonstrate

the impact of flooding and the benefits of the potential solution. For example, projects that may be submitted to MWRD for consideration for funding through its Stormwater Phase II program should include information on the number of structures that are impacted by flooding and the number of structures that would benefit from the proposed solution. This Design/Engineering program can be used to support the work needed to gather this information, which may help the applicant develop a stronger application for funding by other agencies.

Application Evaluation Process

Applications will be evaluated on a rolling basis as they are received. The review process for the program is designed to ensure that limited CDBG-DR funds are awarded to communities that demonstrate the need for assistance. The major criteria that will be used in the evaluation of eligible applications are:

- Thoroughness of the application responses.
- Documentation provided of the April-May 2013 flooding impact in the project area, with a greater impact receiving greater consideration.
- The area benefiting from the proposed project meets the CDBG low-to-moderate income definition. Applicants do not need to meet this income criteria to be eligible, but those projects that meet the income criteria will be evaluated more favorably. Information about the CDBG income data can be found here: <https://www.hudexchange.info/programs/acs-low-mod-summary-data/>. Applicants are welcome to contact Cook County to discuss this criterion.
- Likelihood of the project proceeding to construction upon completion of the design/engineering phase
- Applications that meet the threshold for health and safety will be considered more favorably. A serious threat to health and safety considers the following factors: demonstrates a deficiency in a community public facility (or a lack of the facility entirely); problems clearly attributable to the deficiency have occurred, such as serious illness, disease outbreak, or serious environmental pollution; and the problem is existing, continual and chronic as opposed to occasional, sporadic, or probable. Listed below are examples of how to document a threat to health and safety.
 - ✓ Well water tests
 - ✓ Surface water tests
 - ✓ Pressure tests
 - ✓ EPA violation letters
 - ✓ Photographs
 - ✓ Water and sewer break log and map
 - ✓ Boil orders and map
- In cases where proposed projects have similar ratings and available CDBG-DR funds are limited, applications with a higher financial need will be given priority.

Cook County staff will review applications and contact applicants with any questions regarding their application. Applicants should expect to receive a decision within two months of application submission.

How to Apply

Applicants should complete the application form and submit by email to timothy.kleist@cookcountyil.gov.

Additional Information

- Costs incurred in preparation of an application are not reimbursable under this grant program.
- DPD reserves the right to reject any or all applications received, to negotiate or to cancel in part, or in their entirety, grants resulting from application awards if it is in DPD's best interest to do so.
- DPD reserves the right to withdraw a commitment for CDBG-DR funds where special conditions have not been satisfied within 90 days after the date of the executed agreement or at the discretion of DPD if it is determined the project will not progress in a timely manner.
- Project applications may consist of one or more activities which are directly related to or obviously complement or support one principal activity. The principal activity must be clearly designed to address needs appropriate for use of CDBG-DR funding.
- DPD reserves the right to establish the amount of grant funds awarded.
- The accomplished design may contribute to the development of a subsequent CDBG-DR or CDBG application; however, receipt of a Design/Engineering grant does not guarantee that a related future application will be funded.
- The final product of the Design/Engineering grant must be stamped and signed by an Illinois registered professional engineer.

If you have questions regarding the Design/Engineering Grant Application, please contact:

Tim Kleist
Project Manager
timothy.kleist@cookcountyil.gov
(312) 603-1067

Dominic Tocci
Deputy Director
dominic.tocci@cookcountyil.gov
(312) 603-1048

Cook County Department of Planning and Development CDBG-DR Design/Engineering Grant Application

DEADLINE: Rolling

This application form is online at (<https://www.cookcountyil.gov/service/disaster-recovery-and-resilience>). Please submit the form by email to timothy.kleist@cookcountyil.gov.

Upon receipt of the application, you will receive an email verifying that your application has been received.

1. Name of Applicant:

2. Main Contact for Application:

Name: _____

Title: _____

Phone number: _____

Email: _____

3. Project Description and Location:

Discuss the problem area in your community, describe the design/engineering activities necessary to mitigate or resolve the problem, and identify what assistance is needed. Be specific, but also brief (less than two pages)—we simply want to have a basic understanding of what you want to do. Include a description of the project area and include a map for reference. County staff will follow-up with you if additional information is needed to fully understand the proposed project. Be sure to describe how the April-May 2013 disaster event impacted and contributed to the problem area. (Please include any additional information that is relevant, preferably by providing links to online documents.)

Your narrative should, at a minimum, address the following key issues:

- The specific problem the application seeks to address and the cause of the problem
- Who is most affected by the problem, how severely, and how they will benefit from the proposed project
- When the problem first became apparent and what the long-term consequences are if no action is taken
- What local efforts have taken place to resolve the problem and why they have been inadequate

A map must be included with the application, and it should be sufficiently detailed to show:

- Specific boundaries of the project area

- All integral components of the system being improved or constructed
- Municipal boundaries, roadways, water/sewer mains, railroads, if applicable
- Applicants may also submit blueprints or larger project maps as a supplement to the submission, if it is deemed necessary to show project details sufficiently

4. Documentation of Impact from the April-May 2013 Disaster:

Include documentation detailing the proposed project area's impact from the 2013 flooding, such as newspaper clippings, reports/newsletters, resident or business owner impact letters, dated pictures, phone logs, etc.

5. Project Needs:

Outline the project area and/or community's overall needs (socio-economic and physical), highlighting the needs that were created directly or indirectly by the flooding of April-May 2013.

6. Project Cost Estimates:

Funding requested from Cook County:	\$ _____
Funding provided by applicant or from other sources:	\$ _____
Estimated total project cost:	\$ _____

Please include any additional project budget information that you have (separate attachments may be included).

7. Applicant Capacity:

Provide a brief description of your capacity to execute the proposed project, including your capacity to engage and oversee a contractor to undertake all or a portion of the project if called for in your project design. Provide an explanation of who will be performing the proposed activities, as well as an anticipated schedule for the project. Note that if work will be contracted out, federal procurement regulations will apply.

8. Impact of the Proposed Project:

Provide a brief description of how the proposed project will result in tangible improvements for the community. Please also describe your plans for moving the project forward to the construction phase, including your expected timing for the construction phase. Provide details of any funding you have identified or secured for the construction phase, or funding source(s) that you intend to pursue for construction funding.

Appendix 3: Final Monitoring Checklist

CDBG CAPITAL IMPROVEMENT PROJECT – FINAL MONITORING CHECKLIST

SUBRECIPIENTS NAME: _____

PROJECT NUMBER: _____ PROJECT NAME: _____

MONITORING DATE: _____ MONITOR'S NAME: _____

DOCUMENT TYPE	IN FILE	DOCUMENT NAME
GENERAL ADMINISTRATIVE		Application (signed and dated)
		Signed Agreement
		Authorization to Incur Grant Cost
		Related Correspondence (i.e. monitoring, amendment, etc.)
PROCUREMENT OF SERVICES		Notice to Providers, Evaluation Criteria
<i>Professional Services, if applicable.</i>		Approved Form 4A1 (include all procurement documents)
		Approved Form 4D1 (include all proposals)
<i>Construction</i>		Approved Form 4A
		Invitation To Bid (include a draft publication copy.)
		Bid Specification (include required Special Provisions)
		Approved Form 4D
		Proposals (a minimum of 3 bids are required.)
		Bid Tabulation – Certified by Engineer
PRECONSTRUCTION DOCUMENTS		Agenda, Sign-in Sheet, Minutes and Progress Mtg. Notes
		Copy of Executed Construction Contract
PAYOUT DOCUMENTS		Drawdown Documentation (29A, invoices, waivers, etc.)
		Subrecipient & Engineer's Recommendation for Payment
		Contractor's Affidavit, Invoice, Waivers
DAVIS-BACON COMPLIANCE		Approved Form 4E
<i>Contracts over \$2000</i>		Contractor & Subcontractor Certifications
		Contractor and Subcontractor Activity Report (HUD 2516)
		Weekly Certified Payrolls (Certified Payroll Review Forms)
		Employee Interview Forms
<i>EEOC - Contracts over \$10,000</i>		Contractors Notification of Subcontractors Awarded
		Contractors List of Work in Bid Condition Area
<i>Section 3 - Contracts over \$100,000</i>		Section 3 Affirmative Action Plan
		Preliminary Statement of Work Force Needs
		Section 3 Summary Report
<i>Photos (preferably electronic)</i>		Project Photos (Before, During and After)
ADDITIONAL REQUIRED DOCUMENTS		Final Performance Report

PROJECT FILE APPROVAL: _____

DATE: _____

Appendix 4: Example of 29A Tracking Form

New Tracking Number

9338

Warrant Number:

(Do not write until warrant is received.)

29A Tracking Form
Cook County Department of Planning & Development
69 West Washington, Suite 2900, Chicago, IL 60602-3007

Subrecipient/Vendor/Staff Village of Calumet Park Date Received 11/4/2020

Project/Invoice Number 2013DRINR4-12 Dollar Amount \$54,022.50 Planner Tim Kleist

☐ 013 CORPORATE ☐ 941 ESG ☐ 942 CDBG ☐ 772 HOME ☒ 910 CDBG-DR ☐ 771 IDHA
☐ 753 NSP ☐ 753 NSP 3 ☐ 780 HPRP ☐ 750 CDBG-R ☐ SECTION 108 Other: _____

ROUTING ORDER	NAME or INITIALS	DATE FORWARDED	REMARKS (if any)
CONTACT PERSON	TIM KLEIST		
SUPERVISOR			
ACCOUNTANT			
GRANT/PROGRAM MANAGER			
DEPUTY DIRECTOR			
DIRECTOR			
FINANCE DEPARTMENT			
DATE ENTERED IN ORACLE			

Appendix 5: 29A Certification Form



DEPARTMENT OF PLANNING AND DEVELOPMENT

Susan M. Campbell

DIRECTOR

69 W. Washington St., Suite 2900 • Chicago, Illinois 60602 • (312) 603-1000

TONI PRECKWINKLE

PRESIDENT

**Cook County Board
of Commissioners**

BRANDON JOHNSON

1st District

DENNIS DEER

2nd District

BILL LOWRY

3rd District

STANLEY MOORE

4th District

DEBORAH SIMS

5th District

DONNA MILLER

6th District

ALMA E. ANAYA

7th District

LUIS ARROYO, JR

8th District

PETER N. SILVESTRI

9th District

BRIDGET GAINER

10th District

JOHN P. DALEY

11th District

BRIDGET DEGNEN

12th District

LARRY SUFFREDIN

13th District

SCOTT R. BRITTON

14th District

KEVIN B. MORRISON

15th District

JEFFREY R. TOBOLSKI

16th District

SEAN M. MORRISON

17th District

SUBRECIPIENT REIMBURSEMENT

CERTIFICATION (FORM 2)

PROGRAM:

☐ CDBG

☐ ESG

☐ CDBG -DR

PAYABLE TO: _____

AMOUNT: _____

PROJECT NO: _____

PURPOSE: _____

I, _____ hereby certify to the authenticity and accuracy of the provided information. I further certify that all statements made regarding the _____ project are true and accurate and that I have authority to submit the attached documentation. I understand that providing false information will subject my organization or municipality to termination from the above referenced grant program(s) and there may be additional penalties for providing false information including, but not limited to, referral to the appropriate law enforcement agencies for filing of criminal charges. 18 U.S.C. § 1001 makes it a felony to knowingly, and willfully, make a material false statement on a matter within the jurisdiction of any Federal agency. I understand that knowingly and willfully making a material false statement or concealing a material fact could subject me to a fine or imprisonment of up to 5 years, or both.

Printed Name

Organization/Municipality

Title

Signature

Date

Revised: 11/2016

Appendix 6: 29A Voucher Form

VOUCHER FORM
COOK COUNTY GOVERNMENT

(FORM 29 A)



	VENDOR NO.:

Date _____

Task No. _____

Purchase _____

Order No. _____

FOR COUNTY USE ONLY
Fund. Office. Program
Object Account
Interfund. Future

Seller's Invoice Number

Seller's Name & Address

--

FEIN

DELIVERED TO

QUANTITY	DESCRIPTION	UNIT PRICE	AMOUNT

DEPARTMENT APPROVAL

TOTAL

EMPLOYEE REIMBURSEMENTS

I HEREBY CERTIFY THAT I AM
SEEKING
REIMBURSEMENT FOR EXPENSES
INCURRED ON THE COUNTY'S
BEHALF.

EMPLOYEE SIGNATURE

PAYMENT REQUESTS \$25,000 AND ABOVE

ALL PAYMENT REQUESTS \$25,000 AND ABOVE REQUIRE
APPROVAL BY A SECOND AUTHORIZED SIGNER FROM
THE DEPARTMENT MAKING THE PAYMENT REQUEST.

2ND AUTHORIZED DEPARTMENT APPROVAL

EXAMINED AND APPROVED BY THE COMPTROLLER'S OFFICE

COMPTROLLER

2ND AUTHORIZED SIGNATURE FOR FIXED CHARGES \$25,000 AND OVER

Appendix 7: Final Performance Report Worksheet



Toni Preckwinkle
President

Cook County Board of Commissioners

CDBG PROGRAM YEAR – 2017

CAPITAL IMPROVEMENT PROJECTS

FINAL PERFORMANCE REPORT WORKSHEET

(Reporting Period: October 1, 2017 – September 30, 2018)

SUBRECIPIENT NAME: _____
PROJECT TITLE: _____
PROJECT NUMBER: _____ HUD ACTIVITY NUMBER: _____ (leave blank)

Infrastructure Projects: ☐

Public Facility Projects: ☐

Demolition Projects: ☐

Economic Development Projects: ☐

(Please check the appropriate box applicable to your open project.)

Faith Based Organization: Yes ☐ No ☐

Community Based Development Organization: Yes ☐ No ☐

The U.S. Department of Housing and Urban Development (HUD) requires annual updates on the Cook County Community Development Block Grant (CDBG) Program and reports from Subrecipients on their progress in administering CDBG funded projects.

In order to meet HUD's reporting requirements, this Performance Report was designed to capture all the data needed to satisfy federal requirements.

The County will be reporting to the U.S. Department of Housing and Urban Development (HUD) on Performance Measures (see Part II). The performance measurement is a tool to capture information about program performance. Your data input is extremely valuable to the success of Cook County receiving future CDBG Program funding.

Subrecipients must report on all projects considered "open". An open project is one in which there has been activity on the project during the program year. Activity means the Subrecipient has either expended funds, transferred funds from another project, changed the scope of the project, or completed the project. In some cases, the Subrecipient completed the project in a prior year, however, funds were drawn in the current program year. A performance report must be completed for those projects. **For example, if you have a 2016 project that had activity in this program year, fill out a Performance Report capturing only the accomplishments that occurred in Program Year 2017.** When entering the information on the following pages, please be as accurate as possible. **Do not double count.**

You may reproduce this worksheet for each open project, as needed.

I. INTRODUCTION and GENERAL INSTRUCTIONS

- A. The completion of this FINAL 2017 CDBG Performance Report (4TH Quarter) is a required condition of your Subrecipient Agreement with Cook County. In evaluating the Subrecipient's performance, the County will consider all available information, including the information in this Subrecipient Performance Report. The review of performance is designed to determine:
1. Whether the Subrecipient has commenced its CDBG funded activities and its commitments to the Cook County Annual Action Plan in a timely manner;
 2. Whether the Subrecipient has commenced those CDBG activities and its certifications in accordance with the requirements and the primary objectives of Title I of the Housing and Community Development Act of 1974, as amended and other applicable laws;
 3. Whether the Subrecipient has a continuing capacity to carry out those CDBG funded activities in a timely manner; and
- B. **This Subrecipient Performance Report covers the activities of the specific project for the period October 1, 2017 through September 30, 2018.**
- C. Subrecipients need to accurately complete all applicable sections of this Report for each specific project.
- D. Subrecipients who are submitting more than one Subrecipient Performance Report may submit the identical information for Section VII, Fair Housing Achievements.
- E. The Subrecipient Performance Report(s) **MUST** be received by Cook County prior to final payment disbursement.

Cook County Department of Planning and Development
Attn: Ms. Sylvia Parham
69 West Washington, Suite 2900
Chicago, Illinois 60602
sylvia.parham@cookcountyil.gov

II. PROJECT DESCRIPTION, ACCOMPLISHMENTS AND LOCATION:

Provide a brief but complete description of the **project** and each activity carried out with CDBG funds. The description should accurately describe the nature and purpose of the project. **The activity should be described with sufficient detail to permit a clear understanding of the project by citizens or readers of this report.**

Please note that if the CDBG funds are used for staff salaries, **describe the duties of the person being paid with CDBG funds as it relates to the overall project.** For example: CDBG Administrative Staff (Project Manager, Director, Coordinator, etc.) - conducts project administration duties include project oversight, reporting, contracts/agreements, payment requests, etc. **The description should be comparable to that contained in the Subrecipient Agreement or in any amendments approved by the County.**

ACCOMPLISHMENTS: (For example, number of housing units, number of L/M persons in census tract; number of households served, etc.)

On the next page, provide a brief and concise summarization of the **actual accomplishments** and status achieved **during the reporting period** (October 1, 2017 through September 30, 2018). If it is not possible to provide a numerical unit description, enter a percentage estimate of that portion of the project that was completed by the end of the reporting period. Include any major milestones that have been completed.

Include in the accomplishments narrative, **only** detailed project activity from the 2017 Program Year. Describe the linear feet or units completed, persons or households served (whatever is applicable) and the completion percentage of the project.

SPECIFIC ACCOMPLISHMENTS NARRATIVE *(for the project number identified above)*
Attach additional sheets, if needed:

For Infrastructure projects (street reconstruction, sidewalks, alleys, water/sewer, etc.), please give the exact starting/ending addresses and total number of linear feet:

STARTING LOCATION: _____
ENDING LOCATION: _____
TOTAL LINEAR FEET: _____

III. STATUS OF FUNDS

A. **The reporting period for CDBG and non-CDBG funds covered in this section is cumulative from the year of project approval through September 30, 2018.**

B. The following definitions pertain to funds reported in this section:

1. Expenditures - The sum of actual cash paid out.
2. Unliquidated Obligations - Funds that have been obligated, i.e., orders placed, contracts let, etc., but no cash has been paid out whether or not goods have been received or services performed.
3. Unobligated Balance - The amount of CDBG funds remaining after all expenditures and all unliquidated obligations have been subtracted from the budget allocation for the project.
4. Non-CDBG Funds - Funds earmarked for the project from other private or government sources.

C. Complete the following CDBG Financial Summary for this project as of September 30, 2018. Include any budget transfers **approved** by the County during the reporting period.

1. Budget Authority
(Amount of CDBG funds allocated to this project) _____
2. Expenditures: _____
3. Unliquidated Obligations: _____
4. Unobligated Balance: _____

Complete the following Non-CDBG Funds Financial Summary for this project as of September 30, 2018:

1. Budget Authority
(Amount of Non-CDBG funds allocated to this project) _____
2. Expenditures: _____
3. Unliquidated Obligations: _____
4. Unobligated Balance: _____

IV. LIMITED CLIENTELE (LMC) POPULATION BENEFITTING:

(Please see "2017 CDBG Capital Improvement Performance Report Definitions and Instructions" for details.)

For the purposes of this Subrecipient Performance Report, an LMC activity is defined as a CDBG activity which requires the beneficiary to submit an application or to complete a personal record as an integral part of receiving the benefit of that activity. Generally, applications and personal records are completed by beneficiaries for the following four (4) types of activities.

Projects benefiting LMC beneficiaries include:

1. Economic Development;
2. Capital Improvement - Limited Clientele projects;
3. Housing Counseling; and
4. Public Services

For public services, furnish the following required data: (You do not have to include the income data for limited clientele groups that are presumed benefit by HUD being made up principally of low to moderate income persons.)

The following groups are presumed to be low to moderate-income as defined by HUD:

- Abused children
- Elderly persons
- Homeless persons
- Illiterate adults
- Adults who are severely disabled children (children must be LMC)
- Persons living with AIDS/HIV
- Migrant farm workers

To complete the LMC benefit data section you need to determine the total number of beneficiaries by ☐Households or ☐Persons [choose one or the other], and the number and percentage of low to moderate income beneficiaries.

2017 INCOME LIMITS CHART

Number in Household	Extremely Low-Income 0-30%	Very Low-Income 31-50%	Low-Mod Income 51-80%
1	\$16,600	\$27,650	\$44,250
2	\$19,000	\$31,600	\$50,600
3	\$21,350	\$35,550	\$56,900
4	\$24,600	\$39,500	\$63,200
5	\$28,780	\$42,700	\$68,300
6	\$32,960	\$45,850	\$73,350
7	\$37,140	\$49,000	\$78,400
8+	\$41,320	\$52,150	\$83,450
Median Family Income: \$79,000			

LMC CDBG DIRECT BENEFIT DATA – BY PERSONS:

RACE AND ETHNICITY DATA FOR PY 2017		
RACE	TOTAL	
<i>Single Race</i>	All	Hispanic
(11) White		
(12) Black/African American		
(13) Asian		
(14) American Indian/Alaskan Native		
(15) Native Hawaiian/Other Pacific Islander		
<i>Multiple Race</i>		
(16) American Indian/Alaskan Native & White		
(17) Asian and White		
(18) Black/African American and White		
(19) American Indian/Alaskan Native and Black/African American		
(20) Other Multi-racial		
TOTAL NUMBER ASSISTED		

LMC CDBG DIRECT BENEFIT DATA – BY FEMALE-HEADED HOUSEHOLDS ONLY:

RACE AND ETHNICITY DATA FOR PY 2017				
<i>Single Race</i>	OWNER		RENTER	
	All	Hispanic	All	Hispanic
(11) White				
(12) Black/African American				
(13) Asian				
(14) American Indian/Alaskan Native				
(15) Native Hawaiian/Other Pacific Islander				
<i>Multiple Race</i>				
(16) American Indian/Alaskan Native & White				
(17) Asian and White				
(18) Black/African American and White				
(19) American Indian/Alaskan Native and Black/African American				
(20) Other Multi-racial				
TOTAL NUMBER ASSISTED				
NUMBER OF FEMALE-HEADED HOUSEHOLDS:				

V. INCOME DATA:

CDBG BENEFICIARY INCOME LEVELS – BY PERSONS:

Number of **persons** benefiting: _____

Totals for Program Year 2016:

INCOME LEVEL	TOTAL NUMBER OF PERSONS
Extremely Low-Income 0-30% of AMI	
Very Low-Income 31-50% of AMI	
Low-Income 51-60% of AMI	
Mod-Income 61-80% of AMI	
TOTAL	

CDBG BENEFICIARY INCOME LEVELS – BY HOUSEHOLDS:

Number of **households** benefiting: _____

Totals for Program Year 2017:

INCOME LEVEL	TOTAL NUMBER OF HOUSEHOLDS	
	OWNER	RENTER
Extremely Low-Income 0-30% of AMI		
Very Low-Income 31-50% of AMI		
Low-Income 51-60% of AMI		
Mod-Income 61-80% of AMI		
TOTAL		

NOTE: If the project benefits clientele who are presumed by HUD to be principally low-to-moderate income persons, only the total number of persons assisted needs to be entered.

VI. PERFORMANCE REPORT WORKSHEET - PROGRAM YEAR – 2017

CDBG AREA BENEFIT DATA: LOW/MOD AREA (LMA) POPULATION BENEFITTING:

Census tract data, i.e., number and percentage of low-to-moderate-income (L/M) individuals served by the project, as well as the total number of people served should be provided for low-to-moderate area benefit capital improvement projects.

A resource for census L/M data can be found here:

<http://www.hud.gov/offices/cpd/systems/census/il/index.cfm>

For area wide projects such as capital improvements you need only to complete the census tract data below:

Percentage of Low/Mod in service area: _____
Survey or census tract determination (S/C): C

Census Tract No.	Block Groups	L/M Percentage

- 1) Need 4-digit, a decimal point and 2 digits for census tract.
2) Fill in block group numbers.

SPECIFY CAPITAL IMPROVEMENT ACTIVITIES:

Capital Improvement Projects:

(Please check the appropriate box applicable to your open project.)

☐ Infrastructure

☐ Demolition

☐ Public Facilities

☐ Economic Development

Total benefiting from capital improvement project in Program Year 2017: _____

Of the persons assisted, enter the number that:

Now have new access to this type of infrastructure, public facility, demolition or economic development improvements:	
Now have improved access to this type of infrastructure, public facility, demolition or economic development improvements:	
That are served by infrastructure, demolition, public facility, demolition or economic development improvements that are no longer substandard:	
TOTAL	

Please complete the following as it relates to all capital improvement projects:
(For job requests, please include the number of part-time and full-time employees.)

- Number of jobs supported by this project in PY 2017 (10/1/17-9/30/18): _____
- Number of hours worked for this project in the PY 2017 (10/1/17-9/30/18): _____
- Number of beneficiaries receiving community-based social services in PY 2017 (10/1/17-9/30/18) _____
- Number of blighted properties removed in PY 2017 (10/1/17-9/30/18): _____
- During PY 2017 (10/1/17-9/30/18), was this project completed? Yes or No _____

SUMMARY OF PROJECT ACCOMPLISHMENTS:

In order to quickly summarize the accomplishments of your project and to differentiate the cumulative and current progress of this project, please complete the following table. Identify specific numerical information appropriate to this project.

Capital Improvements (LF = Lineal Feet):				
LF Street Reconstruction				
LF Street Resurfacing				
LF Alley Reconstruction				
LF Alley Resurfacing				
LF Sidewalk Construction				
LF Sidewalk Reconstruction				
LF Curb/Gutter Construction				
LF Curb/Gutter Reconstruction				
# of Streetlights installed				
# of Streetlights replaced				
LF Watermain Reconstruction				
LF of Fire Hydrants Replaced				
LF Sanitary Sewer Reconstruction				
LF Storm Drainage Improvements				
# of ADA Curb Cuts				
Other:				

Site Improvements:				
ADA Compliance/Architectural Barrier Removal (explain below)				
Recreational Facility (explain below)				
Parking Lot Construction (explain below)				
# of Demolitions (explain below)				
Facility Renovation (explain below)				
Facility Construction (explain below)				
Acquisition (explain below)				
Other:				

Economic Development:				
# of jobs created				
# of jobs retained				

Comment: _____

KEY INDICATORS:

1. Infrastructure, Public Facility, Demolition and Economic Development Activities - Number of persons assisted:

	Number of Persons
With NEW access to service or benefit	
With IMPROVED access to service or benefit	
Where activity was used to meet a quality standard (code) or measurably improved quality, report number of households that no longer have access to substandard service.	

2. Are these activities part of a geographically targeted revitalization effort?

Yes ☐ No ☐ If yes, is it:

- Comprehensive - please clarify further below
- Commercial
- Housing
- Other Specify: _____

Choose all the indicators that apply (at least 3) if the effort is Comprehensive:

Number of new businesses assisted	
Number of businesses retained	
Number of jobs created or retained in target area	
Amount of money leveraged (from other public or private sources)	
Number of low-income persons serviced	
Slum/blight demolition	
Number of low-income households assisted	
Number of areas of remediated Brownsfield	
Number of households with new or improved access to public facilities/services	
Number of commercial facade treatment/business building rehabilitation	
Other - can include: crime number, property value change, housing code violations, business occupancy rates, employment rates, homeownership rates.	

3. Does the activity address slum and blight spot basis?:

Yes ☐ No ☐

4. Number of commercial facade treatment/business building rehab (site, not target area based). _____

5. Number of acres of Brownfield redeveloped (site, not target area based) _____

For **ECONOMIC DEVELOPMENT** projects provide the following: Indicate the number of full-time jobs created or retained:

6. Number of jobs created and retained:

Employer sponsored health care benefits Yes <input type="checkbox"/> No <input type="checkbox"/>	
Type of full time jobs created - specify: _____	
How many were unemployed before accepting employment?	

	PY 2017 CREATED	Cumulative* CREATED	PY 2016 RETAINED	Cumulative* RETAINED
1. The number of jobs expected to be created and/or retained.				
2. The cumulative number of jobs actually created and/or retained by 9/30/18.				
3. The number of jobs expected to be available for low and moderate income persons				

	PY 2017 CREATED	Cumulative* CREATED	PY 2016 RETAINED	Cumulative* RETAINED
4. The cumulative number of jobs actually available to low and moderate income persons by 9/30/18.				

*Cumulative includes jobs from prior program years under this project (i.e., if a project has lasted more than one year).

In narrative form, briefly describe how the Subrecipient determined that a majority of the jobs to be created or retained by the assisted business would be available to low and moderate income persons, and the steps taken by the Subrecipient to ensure that the assisted business would meet its obligations in providing these full-time jobs:

7. Number of businesses assisted (with DUNS numbers)

New businesses assisted	
For each new business assisted provide the DUNS Number for each new business below:	
<u>Name of Business:</u> _____ _____ _____ _____ _____	<u>DUNS Number:</u> _____ _____ _____ _____ _____
Expansion	
Relocation	
Start-ups that remain operational 3 years after assistance	
Number of businesses assisted that provide goods or services to meet the needs of a service area.	

8. ***Does the assisted business provide a good service to meet the needs of the service area?*** Yes ☐ No ☐

VII. FAIR HOUSING ACHIEVEMENTS - 2017 PROGRAM YEAR

The Secretary of the United States Department of Housing and Urban Development requires that Community Development Block Grant recipients certify that they will comply with Title VIII of the Civil Rights Act of 1968.

To fulfill this certification, Cook County requires each municipal Subrecipient to take action each year to affirmatively further fair housing. The actions that your community defined are in your Fair Housing Action Plan that you submitted with your grant application as required in order to be eligible for funds.

As part of the performance review of your grant, please provide County staff with documentation and evidence that supports activities undertaken during the program year to further fair housing. Documentation may be in the form of:

- ✓ Copies of fair housing brochures published and distributed among realtors and other businesses in your community;
- ✓ Copies of newspaper articles published locally about fair housing issues in your community;
- ✓ A summary of activities conducted by the Human Relations Committee to promote an open community.
- ✓ Agenda for workshops held.
- ✓ Realtor, appraiser, or lender workshop held.
- ✓ If you participated in a County sponsored Fair Housing workshop, list the name of person who attended, the date, and any activities in your community that occurred as a result.

These points are suggestions for the types of documentation that are acceptable to demonstrate your community's active commitment to fair housing. Additional or different documentation may be acceptable as well, and your submissions are not limited to those types listed above.

The County is required to provide documentation supporting its activities in compliance with Title VIII of the Civil Rights Acts of 1968. The activities of Cook County's Subrecipients, therefore, require this documentation. Failure by a community to provide this information to the County in a timely manner may jeopardize future funding for that community.



Name of Subrecipient: _____

Summary of actions taken (please attach/include any relevant documentation):

VIII. SUBRECIPIENT INFORMATION and CERTIFICATION

- A. Enter the name, address and telephone number of the municipality or agency responsible for implementing this project.

NAME: _____

ADDRESS: _____

TELEPHONE NUMBER: (____) _____

4. Enter the name, address and telephone number of the person responsible for completing this report.

NAME: _____

ADDRESS: _____

TELEPHONE NUMBER: (____) _____

- C. Enter the name and title of the Subrecipient's Chief Executive Officer (Mayor, Village President, or Executive Director), to certify this Report.
The CEO must sign and date below.

CERTIFICATION: I certify to the best of my knowledge and belief that the data in this report is true and correct.

Signature of CEO
Typed Name and Title: _____

Date: _____

Appendix 8: Labor Standards Compliance

FORM 4A
LABOR STANDARDS COMPLIANCE
 (Construction Contracts over \$2,000 and 8 or more units)

Subrecipient: _____

Project Number: _____

Project Title: _____

Estimated Contract Amount: \$ _____

Project Award Amount: _____

Estimated Bid Advertisement Date: ____/____/20____

Authorization to Incur Grant Costs Date: ____/____/20____

INCORPORATED IN DOCUMENT SPECIFICATIONS PLEASE INCORPORATE ALL SPECIAL PROVISIONS INTO SPECIFICATION DOCUMENTS <i>(Please use the following link to Cook County's CDBG Special Provisions Packet: https://www.cookcountyil.gov/content/cdbg-capital-improvement-ci-project-forms-and-packets-guidelines)</i>	X
Federal Labor Standards Provisions (HUD 4010)	
Davis-Bacon Wage Determination <i>(Please insert date of Wage Decisions):</i> http://www.wdol.gov/	
Equal Employment Opportunity Certification (HUD-92010) – 41 CFR 60-1.4(b)	
Certification of Bidder Regarding Equal Employment Opportunity (HUD 4238)	
Debarment & Suspension Certification (HUD 2992)	
Certificate Regarding Lobbying	
EQUAL EMPLOYMENT OPPORTUNITY - Contracts over \$10,000.00	In Specs
Equal Employment Opportunity Notice of Affirmative Action to Ensure EEO:	
Equal Employment Opportunity Specific Affirmative Action Obligations Required by the Specifications – 41 CFR 60-4.3(a) and EEO Clauses & Construction Contract Specs – 41 CFR 60-1.4(a)(b)	
SECTION 3 Final Rule – Contracts over \$200,000.00 <i>(\$100,000.00 for Lead Hazard Control Projects, if applicable)</i>	
Section 3 Clause – 24 CFR, Part 135.20 and 24 CFR Part 75 (Business Registry www.hud.gov/sec3biz - HACC/CHA Business and Resident Portal Section3@thehacc.org OR Section3@thecha.org)	
LABOR STANDARDS AND OTHER PROVISIONS	
Davis-Bacon Act and Copeland Act (Anti-Kickback Act)	
Contract Work Hours and Safety Standards Act (CWHSSA)	
Clean Air Act of 1970 and the Federal Water Pollution Control Act Provisions (exceed \$100,000)	
Architectural Barriers Act of 1968 Provisions (contract for construction of a facility i.e. recreation center)	
Record Keeping and Inspection (contract performance)	

NOTE: *Cook County approval is contingent upon review of federally required documents. Because of limitations in any plan review, errors and irregularities may nevertheless occur and not be detected. Our plan review would not necessarily disclose design or technical omissions which are the responsibility of the licensed architect or the licensed engineer for the project.*

☐ Check here to indicate that a copy of the bid specifications will be sent to:
 Name: _____ Date: ____/____/20____

SUBRECIPIENT OR REPRESENTATIVE: _____

Signed by: _____ **Date:** ____/____/20____

Print Name/Title: _____

Approved by Cook County: _____ **Date:** ____/____/20____

Appendix 9: Bid and Contract Approval

FORM 4D

BID/CONTRACT APPROVAL

(Construction Services)

Subrecipient: _____

Project Number: _____ Project Title: _____

Contract Award Amount: \$ _____ Project Award Amount: \$ _____

Bid Opening Date: _____/_____/20____ Authorization to Incur Grant Costs Date: _____/_____/20____

REQUIREMENT	COMPLETED (X)
Made affirmative efforts to obtain a bid or bids from minority contractors. <i>(Must be documented via MBE/WBE Utilization Plan, etc.)</i>	
Verified that all required certifications (EEOC, Bidder EEO, Debarment and Lobbying) in the bid documents have been signed by all bidders.	
Full Bid Tabulation (Attached)	
Copy of Affidavit of Publication (Attached)	
Have obtained a bid bond from required bidders to assure that, if a bid is accepted, the bidder will enter into a contract and furnish performance and payment bonds, as well as, furnish signed waivers of lien from all contractors, subcontractors, and suppliers.	

*LOW BIDDER:	Amount: \$
ADDRESS:	
DUN'S Number:	
#2 BIDDER:	Amount: \$
ADDRESS:	
#3 BIDDER:	Amount: \$
ADDRESS:	

****If chosen bidder is not the lowest bidder, please attach a letter of explanation.***

SUBRECIPIENT OR REPRESENTATIVE: _____

Signed by: _____ Date: ____/____/20____

Title: _____

Approved by Cook County: _____ Date: ____/____/20____

Debarment Record Status "Active" (Yes or No): _____ Date: ____/____/20____

Davis Bacon Wage Determination General Decision IL

Wage Decision Number: _____

(i.e. IL20100009/Mod 15 6/03/11, Building, Heavy, Highway and Residential)

Wage Decision Lock-In Date: *(i.e. 07/12/11 bid open date)* _____

Appendix 10: Change Orders

FORM 4C-Change Orders



Form 4CO - Change Order for Construction CAPITAL IMPROVEMENTS

Subrecipient:

Project Contact:		
Contact Phone Number:		Fax:
Project Number:		Change Order No:
Contractor Name:		
Project Description:		

The construction contract dated _____ between the Subrecipient and Contractor have requested the following changes are ordered by the engineer and approved by the Subrecipient to become part of the construction contract.

Reason and description for Change Order – must be specific:

Extension of the Contract Completion date from _____ to _____	
1.	\$
2.	\$
3.	\$
4.	\$
5.	\$
6.	\$
7.	\$
8.	\$

9.		\$
10.		\$
	Original Contract:	\$
Other Change Orders:		\$
Amount this Order:		\$
Net Contract:		\$
APPROVED:		DATE:
Subrecipient		
Contractor		
Cook County		
Planner/Inspector		

Appendix 11: Project Completion/Closeout

FORM 4E

PROJECT COMPLETION/CLOSEOUT

Subrecipient: _____

Project Number: _____ Project Title: _____

Contract Award Amount: \$ _____ Project Award Amount: \$ _____

Construction Start Date: _____ / _____ /20____ Construction Completion Date: _____ / _____ /20____

Bid Opening Date: _____ / _____ /20____ Authorization to Incur Grant Costs Date: _____ / _____ /20____

LABOR STANDARDS			
FORM OR REPORT	CONTRACTOR	SUBRECIPIENT (X)	DATE REC'D
Contractor or Subcontractor Certifications	Due before Start of Construction.		
Contract & Subcontract Activity Form (HUD 2516)	Due before Start of Construction.		
Certified Payroll Review Form, Weekly Payroll and Statement of Compliance	Due within seven (7) days from the close of each pay week.	1 st Week: Last Week:	
Record of Employee Interview Form (HUD 11): An interview must be completed for at least one worker from each trade working on the project.	Must be completed by the subrecipient or its designated representative during the course of construction. Due at project closeout.		
EQUAL EMPLOYMENT OPPORTUNITY – Contracts over \$10,000.00			
Contractor's Notification of Subcontracts Awarded*	Due within ten (10) days of award of subcontractor.		
Contractor's List of Federal and Non-Federal Work in Bid Condition Areas*	Due within ten (10) days of contractor's project completion.		
*AS A CDBG PROGRAM REQUIREMENT, ALL DOCUMENTS MUST BE COMPLETED BY THE CONTRACTOR AND SUBMITTED TO THE AWARDED SUBRECIPIENT.			
SECTION 3 Final Rule – Contracts over \$200,000.00 (\$100,000.00 for Lead Hazard Control Projects, if applicable)			
Section 3 Affirmative Action Plan	Due within fifteen (15) days of the award of Contract.		
Preliminary Statement Work Force Needs	Due with the Sec. 3 Action Plan		
Section 3 Final Rule Report	Due at construction completion.		
OTHER REQUIREMENTS - SIGNS	WHEN POSTED	OBSERVED (X)	DATE
Davis-Bacon (Labor Standards), General Decision, Equal Employment Opportunity and OSHA, as required (must be posted on job site).	Construction site posted all DB requirements at the start of construction and remained throughout project duration.		

SUBRECIPIENT OR REPRESENTATIVE: _____

Signed by: _____
Title: _____

Date: ____ / ____ /20____

Approved/Payroll Examined by Cook County: _____

Date: ____ / ____ /20____