



**FRANK G. JACKSON, MAYOR**  
City of Cleveland

**KEVIN J. KELLEY, PRESIDENT**  
Cleveland City Council

**City of Cleveland**  
**Department of Community Development**

**PROGRAM YEAR 2019**  
**SOCIAL SERVICES**  
**OPERATING SUPPORT GRANT PROGRAM**

**CDBG FUNDING PROPOSAL**

**Frank G. Jackson, Mayor**  
**City of Cleveland**

**Tania Menesse, Director**  
**Department of Community Development**

## ELIGIBILITY REQUIREMENTS

The Department of Community Development is requesting proposals for the Social Service Operating Support Grant Program (**June 1, 2019-May 31, 2020**). *Please read the RFP carefully before preparing a proposal.*

The Department will fund programs and services that improve the quality of life for low to moderate income persons. Special consideration will be given to activities that stabilize neighborhoods; and to initiatives that provide skill-building opportunities for youth, 14-18 years old. Grants awarded through the Social Service Operating Support Program will be secured and monitored through a contract, with actual disbursements allocated on a monthly reimbursement basis. The maximum grant provided through this program is \$150,000.

Eligible programs must primarily benefit low to moderate income residents of the City of Cleveland, and be in operation at least two (2) years. If the proposed program identifies a specific service area within the City, only areas in which 51% or more of the residents are low and moderate income persons are eligible.

Eligible organizations must be in operation at least five (5) fiscal years. The following documents upon application:

<b>FOR AGENCIES AWARDED CDBG FUNDS LAST YEAR:</b>
Articles of Incorporation as a nonprofit agency in the State of Ohio
By-Laws, Constitution and Employee Handbook
Letter of Good Standing from State of Ohio
Financial audit covering the past fiscal year.
Unaudited year-end financial statements.
The most recent IRS FORM 990.
Federal Tax Identification and DUNS Numbers
Board of Trustees Roster w/Officers and Professional Affiliations

<b>FOR AGENCIES NOT FUNDED LAST YEAR:</b>
Articles of Incorporation as a nonprofit agency in the State of Ohio
By-Laws, Constitution and Employee Handbook
Letter of Good Standing from State of Ohio
Notice of IRS 501C3 Tax Exempt Status
Financial audit(s) covering the past two fiscal years
Unaudited year-end financial statements.
Most Recent IRS FORM 990
Federal Tax Identification and DUNS Numbers
Board of Trustees Roster w/Officers and Professional Affiliations
Current and complete program performance data for the last two (2) years must be made available to the Department. Please provide performance data on the ATTACHMENT.

## SUBMISSION REQUIREMENTS

Agencies seeking support for more than one social service program must submit a separate proposal for **each** program.

**Proposals must be received by the Department of Community Development no later than 5:00 p.m. on Friday, March 8, 2019. THE CITY WILL NOT ACCEPT PROPOSALS SUBMITTED AFTER THE DEADLINE.**

**Please submit:**

- 1. One original signed hard copy and attachments to:**  
City of Cleveland  
Department of Community Development  
Division of Administrative Services  
601 Lakeside Avenue, Room 320  
Cleveland, Ohio 44114  
ATTN: Joy Anderson
- 2. You must also send an electronic copy of the proposal and attachments to the Department of Community Development via Dropbox.com. If you are a current grantee, a Dropbox link will be sent to you. New grantseekers should contact the Department of Community Development for instructions.**
- 3. BOTH THE ORIGINAL PROPOSAL AND ELECTRONIC COPY ARE DUE NO LATER THAN FRIDAY, MARCH 8, 2019 BY 5:00 p.m. LATE PROPOSALS WILL NOT BE ACCEPTED. NO EXCEPTIONS.**

Your application must be legible, concise and responsive to the information requested. Proposals must be completed in detail to be sufficiently evaluated. **Incomplete proposals will not be processed.**

Annual reports, newspaper articles and brochures provide valuable information as attachments, but they cannot be submitted in lieu of a written response to the proposal questions.

Award announcements will be made in June 2019.

**PLEASE:**

- **Be sure to retain a copy of the proposal for your records.**
- **Include all required attachments**
- **Include additional pages for your responses only where requested.**
- **NOTE: The City will not approve any costs incurred prior to the execution of a contract. Eligible costs are paid on a reimbursement basis ONLY. Payments are processed on a monthly basis.**

## DEFINITIONS AND OTHER REQUIREMENTS

**Agency Identification and Signature Page**-verifies the non-profit status of your organization and provides information about your service area.

**The DUNS Number** is a 9 digit number that verifies the existence of a business entity globally. DUNS Numbers are used widely by both commercial and federal entities. Obtaining a DUNS Number is free through Dun & Bradstreet. Go to [www.smallbusiness.dnb.com](http://www.smallbusiness.dnb.com) or call 1-866-705-5711.

**Problem Statement**- describes the specific social condition(s) to be addressed.

**Inputs** are the resources that will be used to achieve the program objectives. Inputs include staff, volunteers, facilities, equipment and supplies. Additional resources such as collaborations and referrals may also be categorized as inputs. Resumes and job descriptions submitted with this proposal provide evidence the organization is capable of implementing the program, based on the experience and qualifications of its staff.

**Activities** are the types of services the program provides. This is what the agency does with the inputs to fulfill its mission and to provide services. For example, sheltering homeless families, educating the public about the signs of child abuse and providing adult mentors for youth. Program activities result in outputs.

**Outputs** are the direct products of program operation, measured in terms of the volume of work accomplished. For example, the number of classes taught, the number of counseling sessions conducted, or the number of participants served. Outputs should lead to a desired benefit for participants.

**Outcomes** are the benefits or changes clients experience during or after participating in program activities. Outcomes may relate to changes in knowledge, attitudes, values, skills, behavior, condition or other attributes. Examples of program outcomes include greater knowledge of nutritional needs, improved reading skills, more effective responses to conflict, getting a job and having greater financial stability. Agencies must clearly state the methodology used to measure outcomes, i.e., surveys, client interviews, pre- and post-tests results or clients self-reporting.

**Program Budget**- outlines the financial resources by cost categories that are required to carry out the program objectives. The budget must clearly reflect all aspects of the program, whether it is transportation of clients to the program site, the printing of brochures describing the program to potential clients, or the salaries of the staff operating the program. It should also reflect the total amount of CDBG dollars requested, as well as other secured and anticipated funding sources for the program.

**Organizational Budget** – A copy of your Board-approved organizational budget for the current program year must be provided as an Attachment, in a format that is acceptable to the Department of Community Development. This budget must outline all expenditures and include a list of secured and anticipated funding sources.

**City of Cleveland  
Program Year 2019 CDBG Social Services  
Operating Support Grant Proposal**

**I. AGENCY IDENTIFICATION AND SIGNATURE PAGE**

**Legal Name:** \_\_\_\_\_

**Federal Tax Identification Number:** \_\_\_\_\_ **DUNS Number:** \_\_\_\_\_

**Address:** \_\_\_\_\_ **Zip:** \_\_\_\_\_ **Ward:** \_\_\_\_\_

**Website Address:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Executive Director:** \_\_\_\_\_ **Email:** \_\_\_\_\_

**Proposal Contact Name:** \_\_\_\_\_

**Contact Phone:** \_\_\_\_\_ **Contact Address:** \_\_\_\_\_

**SIGNATURES**

**We have read and fully understand the qualifications and requirements delineated in this proposal. All information submitted is correct and up to date. We have also read and agree to abide by the terms and conditions specified in Appendix A: Compliance Regulations and Guidelines.**

\_\_\_\_\_  
**Board Chair or President's Signature**

**Print**

**Date**

\_\_\_\_\_  
**Executive Director's Signature**

**Print**

**Date**

**II. Certification Regarding Debarment, Suspension,  
Ineligibility and  
Voluntary Exclusion Lower Tier Covered Transactions.**

*Please refer to Appendix A, Compliance Regulations and Guidelines,  
prior to signing this section for an explanation of this Federal  
Requirement.*

**Lower Tier Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three year period preceding the effective date of this contract been convicted of or had a civil judgment rendered against me or \_\_\_\_\_ (**contractor's name**) for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of these statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signed: \_\_\_\_\_  
(Authorized Recipient Name/Title)

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

### III. AGENCY DESCRIPTION

**Mission Statement:**

**Provide a brief description of the agency, governance structure, a list of programs and services, accreditations and a copy of the organizational chart (as an Attachment).**

**IV. PROPOSAL**

**Program Name:** \_\_\_\_\_

**Amount Requested:** \_\_\_\_\_

If your program is available citywide, **please check here** \_\_\_\_\_

If your program is only available to residents in specific wards, please list the wards below. **COMPLETE THIS SECTION ONLY IF PROGRAM IS LIMITED TO SPECIFIC WARDS:**

<b>Wards Served:</b>									

If your program is limited to specific census tracts, please list the areas below. Add more lines, if needed. **COMPLETE THIS SECTION ONLY IF PROGRAM IS LIMITED TO SPECIFIC CENSUS TRACTS:**

Ward	Census Tract(s)	Percent Low/Mod	Ward	Census Tract(s)	Percent Low/Mod

<b>Check One (✓):</b>	Youth		Senior Adults		Families		Other: Specify _____	
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Number of <b>unduplicated</b> persons this program serves annually:	
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**PROBLEM STATEMENT: Define each specific social condition that will be addressed by the Program.**

*Example: There are no after school programs for 7 to 14 year olds within a four mile radius of Census Tract 1000. Without accessible and engaging activities, children are more likely to take part in risky behaviors at a young age.*

**Describe how the specific social condition will be impacted by the Program.**

*Example: XYZ Agency will provide volleyball, basketball and other age-appropriate recreation options for youth, from 3:00pm to 5:00pm, Monday through Friday; and from 11am to 6:00pm on Saturday.*

**STATISTICAL DATA: Provide relevant and current statistical data to support the services identified above (i.e. Census data, NEO CANDO). Data sources must be noted in your statement and verifiable.**

*Example: According to U.S. Census American Factfinder, there are approximately 250 homebound senior adults living in the service area who are unable to obtain three balanced meals per day.*

## V. INPUTS

### Personnel Costs

**\*List the current (C) and proposed (P) staff whose personnel cost will be 100% covered by the CDBG Grant:**

Title	C/P	Duties under Proposed Program	Other Job Responsibilities

**\*List the current (C) and proposed (P) staff whose personnel costs will be partially covered by the CDBG grant:**

Title	C/P	Duties Under Proposed Program	% of Time to CDBG	Other Job Responsibilities	% of Time to CDBG

**\*Attach a job description for each position listed under Personnel Costs. Attach resumes for the staff currently holding these positions.**

**VI. COMMUNITY OUTREACH, COLLABORATIONS  
VOLUNTEERISM AND IN-KIND SUPPORT**

**What methods are used to ensure potential clients and community organizations are aware of your services?**

*Example: Newsletters and program brochures are left at area churches during the month of June. Presentations are made at recreation centers and senior housing facilities during the winter months, and upon request throughout the year.*

**List organizations from which the program received referrals during the past twelve months.**

**Describe specific actions undertaken in conjunction with other community organizations to deliver the services for which funding is being sought (i.e. shared staff or office space).**

**List volunteer assistance and in-kind support received in the operation of the program. In-kind support includes donated equipment, goods and services (i.e. food, computer equipment professional consultants).**

**VII. ACTIVITIES, OUTPUTS AND OUTCOMES**

**Instructions:** List and describe in detail each activity/service. Include additional sheets, if needed. *Example:*

<b>Service/Activity Name</b>					
<b>After School Recreation Program</b>					
<b>Service/Activity Description</b>					
Provides baseball, basketball and dance instruction for children in 4 <sup>th</sup> to 6 <sup>th</sup> grades attending Elm Street and St. Richard elementary schools. Nutritious snacks are also provided.					
<b>Outputs</b>					
<b># Persons Served Monthly</b>	<b># Unduplicated Persons Served Annually</b>	<b>Days Service Provided</b>	<b>Times Service Is Provided</b>	<b>Personnel Implementing this Activity</b>	<b>Title</b>
35	400	Mon., Wed, and Fri.	3:30p.m. to 5:30 p.m.	Ann Smith Ed Jones	Rec. Coordinator Phys. Ed. Assistant
<b>Benefits to Participants (Outcomes)</b>					
<ul style="list-style-type: none"> <li>• Develops skills in sports and other recreation activities.</li> <li>• Engages youth in constructive, supervised activities after school.</li> <li>• Provides no cost care for children while parents are working.</li> <li>• Helps children build socialization skills.</li> </ul>					

<b>Service No. 1/Activity Name</b>					
<b>Service/Activity Description</b>					
<b>Outputs</b>					
<b># Persons Served Monthly</b>	<b># Unduplicated Persons Served 12 Months</b>	<b>Days Service Provided</b>	<b>Times Service Is Provided</b>	<b>Personnel Implementing this Activity</b>	<b>Title</b>
<b>Benefits to Participants (Outcomes)</b>					

**VII. ACTIVITIES, OUTPUTS AND OUTCOMES (continued)**

Service No. 2/Activity Name					
Service/Activity Description					
Outputs					
# Persons Served Monthly	# Unduplicated Persons Served 12 Months	Days Service Provided	Times Service Is Provided	Personnel Implementing this Activity	Title
Benefits to Participants (Outcomes)					

Service No. 3/Activity Name					
Service/Activity Description					
Outputs					
# Persons Served Monthly	# Unduplicated Persons Served 12 Months	Days Service Provided	Times Service Is Provided	Personnel Implementing this Activity	Title
Benefits to Participants (Outcomes)					

## VIII. IMPACT

**Short-Term (1 year) – Describe the initial impact anticipated during the clients' first year of participation in the program.**

**Intermediate (in 2-3 years)–Describe the subsequent impact on the client population that is anticipated as a result of their participation in the program.**

**Long-Term (in 3-5 Years) – Describe the eventual impact on the client population that is anticipated as a result of their participation in the program.**

**How will you track program participants after completing the program?**

**IX. Outcomes – January 1, 2018- December 31, 2018  
(For Agencies Funded Last Year Only)**

*Outcomes- are the benefits or changes clients experience during or after participating in program activities. Outcomes may relate to changes in knowledge, attitudes, values, skills, behavior, condition or other attributes.*

Describe how participants benefitted from their participation in your program?

What specific items of information were tracked to measure the program's success in achieving the proposed outcomes?

What outcome indicators were used to determine the results?

How successful was the agency in achieving the proposed outcomes?

**X. AMERICANS WITH DISABILITIES ACT (ADA)**

Americans with Disabilities Act (ADA) prohibits discrimination on the basis of disability in employment, public services and transportation, public accommodations and telecommunications. Recipients of federal funds cannot discriminate on the basis of disability in their programs, activities or services. Achieving program accessibility does not necessarily require substantial alterations to existing facilities or building new ones. The Act does not require that existing facilities be immediately made accessible; it requires that reasonable accommodations be made in order that the programs, activities and services become accessible. For example, buildings with no elevators do not require the installation of an elevator, but conference rooms should be located on the first floor and at least one building entrance should be accessible to mobility impaired individuals.

**If ADA-compliant accessibility is not provided currently, submit a plan for facility and/or program accessibility with the proposal.** Include alterations that can or will be made. Provide an explanation in the “Comments” Section for all “no” responses.

<u><b>Parking</b></u>	<u><b>Yes</b></u>	<u><b>No</b></u>
• Does the facility have designated parking spaces for disabled persons?	_____	_____
• Are spaces of adequate width? (Parking spaces must be at least 8 ft. wide with an adjacent access aisle of 5 ft. for a total of 13 feet).	_____	_____
• Are these parking spaces located on the shortest route of travel to the accessible facility entrance?	_____	_____

Comments: \_\_\_\_\_

<u><b>Building Entrance</b></u>	<u><b>Yes</b></u>	<u><b>No</b></u>
• Is the main entryway wheelchair-accessible? (A level entry or properly sloped ramp with a 32” non-revolving door)	_____	_____
• If no, is there a reasonable alternate entry?	_____	_____

Comments: \_\_\_\_\_

<u><b>Meeting Rooms and Facilities</b></u>	<u><b>Yes</b></u>	<u><b>No</b></u>
• Can all rooms used for the program be reached without stairs or elevators?	_____	_____
• If elevator use is required, are the elevators accessible? (36” wide door, 54” deep x 68” wide car, wheelchair accessible controls, tactile buttons, auditory floor indicators)	_____	_____
• If room changes are required between sessions, are pathways accessible? (36” wide hallways, free of obstacles)	_____	_____
• Can doorways accommodate a wheelchair? (32” wide)	_____	_____
• Are restrooms wheelchair-accessible (adequate floor space for a wheelchair; grab bars, lavatories and paper products at proper height; extended faucet handles)?	_____	_____
• Are paths to the restrooms accessible?	_____	_____
• Are drinking fountains and telephones accessible to persons in wheelchairs?	_____	_____



**XI. PROPOSED SOCIAL SERVICE PROGRAM BUDGET**

**CITY OF CLEVELAND  
DEPARTMENT OF COMMUNITY DEVELOPMENT  
PY2019 SOCIAL SERVICE PROGRAM  
PROPOSED PROGRAM BUDGET FORM**

Time of Performance: \_\_\_\_\_ to \_\_\_\_\_

AGENCY NAME \_\_\_\_\_

TOTAL PROPOSED BUDGET \$ \_\_\_\_\_

	Amount Requested			Total Program Budget
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
A. Personnel				\$0.00
B. Fringe Benefits				\$0.00
C. Travel				\$0.00
D. Equipment				\$0.00
E. Overhead				\$0.00
F. Contractual				\$0.00
G. Other				\$0.00
<b>Total Budget</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**BUDGET PREPARED BY:** \_\_\_\_\_  
Signature Title Date

**APPROVED BY:** \_\_\_\_\_  
Signature Title Date

**Note:** Please also submit your agency's Total Operating Budget for the CURRENT fiscal year.

\*List funding to be requested from City Council's Neighborhood Development Activity Fund (NDA) this program year. Complete this column only if your program has received supplemental NDA funding from City Council in the past, and renewal funding is pending/anticipated this year.

**PROJECT EXPENDITURES BUDGETARY DETAILS**

**A. PERSONNEL**

Title	Other Sources	Amount Requested From this Operating Support Grant	NDA*	Total Salary
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**B. FRINGE BENEFITS (FICA, WORKERS' COMPENSATION, UNEMPLOYMENT TAX, HOSPITALIZATION, ETC.)\***

Type	Other Sources	Amount Requested From this Operating Support Grant	NDA*	Total
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**C. TRAVEL (STAFF MILEAGE, PARKING, ETC.)**

Description	Amount Requested			Total
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**D. EQUIPMENT**

Description	Amount Requested			Total
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
				<b>\$0.00</b>
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**E. OVERHEAD (RENT, UTILITIES, TELEPHONE, INSURANCE, INDIRECT COSTS, EQUIPMENT WITH OPTION TO BUY (LEASED), ETC.**

Description	Amount Requested			Total
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**F. CONTRACTUAL (PROFESSIONAL SERVICES)**

Description	Amount Requested			Total
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**G. OTHER (PROGRAM SUPPLIES, OFFICE SUPPLIES, EQUIPMENT REPAIRS, POSTAGE, PRINTING COSTS, ETC.)**

Description	Amount Requested			Total
	Other Sources	Amount Requested From this Operating Support Grant	NDA*	
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

**Agency Revenue Statement (All Sources)**

**See Important Note Below\***

Fiscal period: From:

To:

	Last Year	Current Year	Projected Year	Total
1. Government Grants: (List each funder separately. Do not Use Acronyms. Add rows as necessary)				<b>\$0.00</b>
Neighborhood Development Activity (NDA/Council) (List Each Ward Amount)				<b>\$0.00</b>
2. Corporate & Foundation Grants: (List each funder separately. Do not use Acronyms) Add rows if necessary				<b>\$0.00</b>
3. Program Service Fees				<b>\$0.00</b>
4. Investment Income				<b>\$0.00</b>
5. Direct Support (Membership, funding, donations)				<b>\$0.00</b>
6. other Sources (List each funder separately. Do not use Acronyms. Add rows as necessary)				<b>\$0.00</b>
<b>Total Revenues</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

\*NOTE: In lieu of completing this form, you may submit income statements or similar documents to provide this information.

**ATTACHMENT**

**PERFORMANCE DATA**  
**(For New Grantseekers Only)**

A Performance Data Form must be completed by agencies that did not receive Social Service Operating Support Grant funding last year. The PY2019 proposal is not complete until this form is completed in its entirety and attached to the proposal.

**Instructions:** List each service/activity from Section VII, Activities, Outputs & Outcomes for which funding is being requested. Provide the requested information for the appropriate time period on the chart below. Statistics must have been compiled from actual data collected and on file with the Agency. Count the persons and units served as defined and described in Section VII of the proposal.

<b>January 1, 2018 – December 31, 2018</b>				
Service/Activity	Average number of persons served monthly	Total unduplicated number of persons served	Average number of units of service provided monthly	Total number of units of service provided
Total Number of Unduplicated Persons Served _____ Number of Unduplicated persons served that were Low/Mod Income _____ Number of Unduplicated Persons that were residents of the City of Cleveland _____				
<b>Number that were City of Cleveland Residents</b>				
<b>January 1, 2019 – December 31, 2019</b>				
Service/Activity	Average number of persons served monthly	Total unduplicated number of persons served	Average number of units of service provided monthly	Total number of units of service provided
Total Number of Unduplicated Persons Served _____ Number of Unduplicated persons served that were Low/Mod Income _____ Number of Unduplicated Persons that were residents of the City of Cleveland _____				
<b>Number that were City of Cleveland Residents</b>				



## APPENDIX A

### COMPLIANCE REGULATIONS AND GUIDELINES

Any activity or project assisted by Federal dollars is subject to federally-mandated rules and regulations and the rules and regulations apply to **all** phases or components of the activity and project.

The Citywide Development Assistance, Social Services, Community Development Corporation (CDC) Operating Support Grants and Neighborhood Development Activity (NDA) programs are funded by federal Community Development Block Grant (CDBG) dollars.

The following federal and City rules and regulations apply to activities and projects funded under these programs:

1. **Equal Employment Opportunity**

Employment of staff and personnel by the agency is subject the Equal Employment Opportunity Ordinance Section 187, 188 and Section 3 of the City of Cleveland, and related regulations. Agency shall post in a conspicuous place all solicitations for employment, and/or advertise for employment in a citywide publication of common circulation, affording all interested parties opportunity to be aware of the position and to submit an application. All solicitations or advertisements shall state the agency is an Equal Opportunity Employer. A copy of the solicitation or advertisement, and the dates and locations published, shall be submitted to the City along with a copy of the job description.

2. **Employment Discrimination Prohibited**

The agency shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, sexual orientation, gender identity or expression, national origin, age, disability, Ethnic group, or Vietnam-era disabled veteran status. Agency shall take affirmative action to ensure that applicants are employed and that employees are treated without regard to of race, religion, color, sex, sexual orientation, gender identity or expression, national origin, age, disability, Ethnic group, or Vietnam-era disabled veteran status. "Treated" means and includes recruitment, whether by advertising or other means; compensation, whether in the form of rates of pay or other forms of compensation; selection for training, including apprenticeship; promotion; upgrade; demotion; downgrade; transfer; layoff or termination.

3. **Conflict of Interest**

No employee, agent, consultant, officer, or elected or appointed official of the City or agency who exercises or has exercised any functions or responsibilities with respect to the Citywide Scope of Service or any activities in any way connected with a contract between the City and the agency, or who are in a position to participate in a decision-making process or gain inside information with regard to such activities or Citywide Scope of Service, may obtain a financial interest or benefit from such activity or Citywide Scope of Service, or have a financial interest in any contract, subcontract or agreement with respect thereto, or the proceeds hereunder, either for themselves or those with whom they have business or immediate family ties during their tenure or for one year thereafter.

**Appendix A**  
**Compliance Regulations & Guidelines**  
*(Continued)*

4. **Design Review, Zoning & Building Permits**

Projects funded with CDBG dollars, and/or utilizing land purchased from the City, are bound by City regulations regarding design review. Project designs must be reviewed and approved by Community Development staff, and possibly the Design Review Committee, City Planning Commission or Landmarks Commission. In all cases, projects must comply with City regulations regarding zoning, building permits, building standards, health and licensing requirements, City-Wide Plan, design review, etc. Please be certain to obtain all required building permits and call for inspections at the appropriate times. If your project does not meet zoning code, the appeals process is triggered by rejection of your formal application to Building & Housing for a permit. A hearing and decision by the Board of Zoning Appeals generally takes about 5-7 weeks. Projects funded with CDBG dollars, and/or utilizing land purchased from the City, require advance review and approval by Community Development and may be held to standards exceeding regular zoning or building regulations.

5. **Procurement of Services (Professional/Contractual) or Equipment**

Federal regulations require that all hiring of services (such as accountants, attorneys or consultants) or purchase of equipment be conducted under conditions of fair and open competition. When professional or contractual services (in the form of a sub recipient contract), or equipment and other items whose cost exceeds \$500.00 will be purchased with federal funds provided by the City, a minimum of three (3) written bids is required. **The recommended award must be based on the lowest and best bid. The Request for Proposal (RFP), awarded bid, and contract for services (where applicable), must receive prior approval from the Department of Community Development.** Assistance is available to help you comply with this policy.

6. **Equipment Policy**

The usage, storage and inventory of equipment purchased with CDBG funds must comply with the Department's equipment policy. **The purchase of all equipment funded in whole or in part with CDBG funds must receive the prior approval of the Department.** Assistance is available to help you comply with this policy.

7. **Direct Benefit Activities**

CDBG-funded projects often provide direct benefits to individuals or households. Direct benefit activities provide services or assistance to individuals and/or families directly (normally through an application or sign-up process). Demographic data on each beneficiary must be provided to the City when submitting draw requests. This data must include name, address, household income, number of people in the household, dependents, race or ethnicity and whether the household is female-headed.

8. **Federal, State, Local Compliance Certification**

Regulatory guidelines and reporting requirements listed in Attachment 1 may apply to the program(s) proposed by your Agency. It is important that this listing is reviewed and signed/dated by the Agency Director and Board President.

**Appendix A**  
**Compliance Regulations & Guidelines**  
*(Continued)*

**9. Debarred and Suspended Contractors**

HUD regulations require that the City not enter into contract with any agency, corporation, partnership, or other legal entity that has been debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded by the Federal Government from participating in transactions involving Federal funds. As a condition of receiving Community Development Block Grant funds, your agency's Board President is required to sign the attached certification (Attachment 2) which specifies that neither the agency nor its principals are presently debarred or suspended. It also certifies that you will not use any of these funds to employ, award contracts to, engage the services of, or fund any contractor that is debarred or suspended.

**10. Requests for Reimbursement/Performance Reports**

Each request for reimbursement must be accompanied by the performance reports detailing the activities accomplished and the demographic information (if required) of persons who benefited during the period covered by the reimbursement request. Requests for reimbursement that are not accompanied by the performance report, or are accompanied by an incomplete or inaccurate report will be denied.

**Note: For various reasons throughout the funding year (i.e., transactions that are frozen at the end of the City's accounting cycle, reimbursement requests held due to a lack of required documentation, etc.), the agency may be required to cover operational costs from non-CDBG funding sources. *Therefore, each agency should have available at least two months' funding from sources other than CDBG.***

**CONTRACT PROCEDURES & DRAW REQUESTS**

- CDBG contracts pay project costs on a **reimbursement basis**. Draw requests are submitted *after* items covered in your approved contractual budget are paid. For physical improvement projects, the City pays when costs are incurred. An analyst from the Department will provide you with instructions on how to prepare draw requests. You will need to include detailed invoices and/or canceled checks from vendors providing services, material or equipment to you. (All canceled checks must be made available for review by your assigned financial analyst prior to contract completion.)
- Special Disbursement Request Forms will be provided to you. Incomplete or improperly prepared draw requests will result in payment delays. Payments are made in the form of checks mailed to the address provided by your agency in the grant contract.
- It generally takes 30 working days from the date of receipt of a complete and accurate draw request and grant report to issue payment.
- CDBG contracts for physical improvements customarily include a 10% retainage. In most cases, this retainage is held by the City until all required documents are submitted, all permits are satisfactorily closed, all regulatory requirements and compliance have been met, and any other required proof of successful project completion is in hand.

**Appendix A**  
**Compliance Regulations & Guidelines**  
*(Continued)*

**COMPETITIVE BIDDING POLICIES**

The following standards are **required** when funds are granted by the Department of Community Development (Department) to a third party agency, which then either: (1) enters into a contractual agreement for services **not** provided by staff employed by that agency; or (2) purchases property, equipment or goods and services whose cost is in excess of \$500.00:

**1. CONSULTANTS/PROFESSIONAL SERVICES CONTRACTUAL AGREEMENT**

When an agency is using CDBG funds to supplement regularly employed staff with professional services, the agency must issue a Request for Proposals (RFP) to qualified consultants, professionals, or others.

**Prior to awarding the contract**, the agency must submit:

- A copy of the Request for Proposal (RFP);
- A listing of the consultants solicited for the requested services;
- A list of the proposals received and the bid amount;
- Designation of the firm that is being recommended for the award, along with the reasons for that recommendation.

No contract can be established until the Department of Community Development has approved the proposal, the recommendation for award, and the service contract between the agency and the consultant.

The contract between the agency and the consultant must contain, at a minimum, the following requirements:

1. The agency and the consultant must comply with all the terms and conditions of the contract between the City and the agency, including compliance with all federal, state and local laws, rules and regulations.
2. The consultant must comply with the Equal Employment Opportunity Ordinance Section 187, 188 of the Codified Ordinances of the City of Cleveland.
3. The consultant must follow the timeline indicated in the contract between the City and the agency that awards funds for this activity.
4. The consultant must provide a final written report/study in a form acceptable by the City upon its completion. Final payment cannot be made to the consultant by the agency until the services have been completed and the final report has been received and approved by the City.
5. The consultant must submit to the City a copy of the final report or product.
6. All other requirements that the City's Department of Community Development determines are necessary and appropriate and has identified to the agency and/or developer must be followed.

**Appendix A**  
**Compliance Regulations & Guidelines**  
*(Continued)*

Before disbursing funds for the consultant services, the City must be provided with all items detailed above, along with a copy of the fully executed contract between the agency and the consultant which has been approved by the Department of Community Development.

Final disbursement shall not be made until the City receives a performance report/study and accomplishments from the agency in a form acceptable to the City.

**2. PURCHASE OF PROPERTY, EQUIPMENT, OR GOODS AND SERVICES**

- When an agency uses federal/City funds to purchase property, equipment, goods or services in excess of \$500.00, the agency must obtain at least three bids and provide copies of those bids, along with its recommendation of award to the City for approval. Once the request is approved by the City, the agency may proceed with the purchase.
- Written receipts must be submitted to the City within 30 days of the date of the purchase for reimbursement.
- Equipment with a useful life greater than one year must be maintained according to the requirements of the City's Equipment Policy.

**Attachment 1**

**Federal, State, Local Compliance Certification  
Citywide Development Assistance, Social Services, Neighborhood Development Activity Fund and  
 Community Development Corporation (CDC) Activity Grants**

Financial assistance available through the City of Cleveland will be subject to compliance with all applicable Federal, state and/or local regulations. These compliance procedures will be required, with specific supporting documentation, if Federal assistance is pursued for a project. This documentation is required (unless otherwise notified in writing by the Department of Community Development) regardless of the date you apply for Federal assistance or the source of funds used to begin your project.

Failure to comply could substantially affect the ability of the City to participate in project financing for your project.

For any general Compliance questions, please contact Robert Laycock, Compliance Manager for Division of Administrative Services at (216) 664-4094 or rlaycock@city.cleveland.oh.us. For specific Compliance requirements, please contact the individuals below.

Applicable Law	Regulation	Triggers	Time Frame	Consequence of Non-compliance
<p align="center"><b>PLEASE NOTE:</b> This table briefly highlights regulatory requirements that may apply to your project. The information provided on each is not comprehensive or exhaustive. Please use this as a guide in your planning. Contact the individuals listed to discuss the specific details of your project and how the regulations apply in your case.</p>				
<p><b>Acquisition/Relocation                      Uniform Relocation Act (URA)</b>  <i>FEDERAL/LOCAL</i>                      Marc Foy – (216) 664-4389  <a href="mailto:mfoy@city.cleveland.oh.us">mfoy@city.cleveland.oh.us</a></p>	<p>Uniform Relocation Act becomes applicable if any Federal funds are used or anticipated for projects that involve Acquisition, Demolition, Rehabilitation, or Conversion activities.</p>	<p>The use or anticipation of any Federal funds in project financing. <b>ALERT:</b> HUD requires specific types of notice before a Seller or Donor signs an option or agreement to sell or donate property (improved or vacant) to a project.</p>	<p>Planning Stage through post-construction.</p>	<p>Loss of dollars allocated to the project and/or prohibition on the use of property(s) acquired for the project.</p> <p>Failure to give proper or timely notice to tenants in a project could make them eligible for Displacement Benefits.</p>

Table continues on the next page

Applicable Law	Regulation	Triggers	Time Frame	Consequence of Non-compliance
<p><b>Environmental/Historic</b>  <i>FEDERAL</i>            Note: Historic Preservation is part of the environmental compliance. Elizabeth Mackey– (216) 664-4133  <a href="mailto:emackey@city.cleveland.oh.us">emackey@city.cleveland.oh.us</a></p> <p><a href="mailto:bbarrington@city.cleveland.oh.us">Brendan Barrington – (216)664-4127</a>  <a href="mailto:bbarrington@city.cleveland.oh.us">bbarrington@city.cleveland.oh.us</a></p>	<p>Projects that have any type of Federal dollars involved must be reviewed for the impact or potential effects the project could have on the environment and/or historic properties/districts.</p>	<p>The use or anticipation of any Federal funds in project financing.  <b>ALERT:</b> No Federal or non-Federal funds can be committed or work begun until a project as completed an Environmental Review and received authorization to proceed.  <b>ALERT:</b> Purchase Agreements must include a specific clause that makes closing contingent on Environmental Review approval.</p>	<p>Planning Stage  <u>Note:</u> If a Request for Release of Funds (RROF) is required from HUD, then a two-month lead time is necessary prior to the start of construction.</p>	<p>Loss of dollars allocated to the project.</p>
<p><b>Lead Abatement</b>  <i>FEDERAL/STATE/LOCAL</i>            Michael Johnstone– (216) 664-4102  <a href="mailto:mjohnstone@city.cleveland.oh.us">mjohnstone@city.cleveland.oh.us</a></p>	<p>Requires notification/disclosure of lead-based hazards to occupants, evaluation and reduction of lead hazards in rehabilitated residential units and, if applicable, ongoing maintenance of residential units.</p>	<p>Rehab and demolition activities.</p>	<p>Prior to Construction Stage</p>	<p>Fines. Loss of dollars allocated to the project.</p>
<p><b>Prevailing Wages</b>  <b>Davis-Bacon</b>  <i>FEDERAL</i>            Yvette Mosby – (216) 664-4092  <a href="mailto:ymosby@city.cleveland.oh.us">ymosby@city.cleveland.oh.us</a></p>	<p>Payment of Federal prevailing wage rates to construction-related employees may be required depending on the number of units and the uses of the Federal funds.</p>	<p>Funding in excess of \$2,000 for construction costs  <u>CDBG:</u> 8 units or more (under one roof)  <u>HOME:</u> 12 units or more (under one roof)</p>	<p>Application Stage</p>	<p>Delay in payments or termination of contract. Set aside of funds owed to properly compensate workers. Assessment of liquidated damages. Contractor debarment.</p>

Applicable Law	Regulation	Triggers	Time Frame	Consequence of Non-compliance
<p><b>Affirmative Marketing</b>  <i>FEDERAL</i>  (HOME Funds Only)  Yvette Mosby – (216) 664-4092  <a href="mailto:yvosby@city.cleveland.oh.us">yvosby@city.cleveland.oh.us</a></p>	<p>Marketing efforts are required to attract and encourage families and individuals to apply for project-related housing (that is, those that would be less likely to apply for residence in the housing units).</p>	<p>5 units or more, any HOME dollars regardless of Davis Bacon applicability</p>	<p>Application Stage</p>	<p>Appropriate remedy for breach of contract.</p>
<p><b>Americans with Disabilities</b>  <i>FEDERAL</i>  (Multi-Family New Construction or Multi-Family Rehabilitation Only)  Yvette Mosby – (216) 664-4092  <a href="mailto:yvosby@city.cleveland.oh.us">yvosby@city.cleveland.oh.us</a></p>	<p>Multi-family structures (15 units or more under one roof) built for occupancy after March 13, 1991 must meet accessibility requirements -- five percent (5%), or at least 1 unit, to accommodate persons with mobility disabilities. Also, two percent (2%), or at least one unit, for hearing or visually-impaired individuals.</p>	<p>All new construction or rehab of multi-family structures (15 units or more under one roof), regardless of prevailing wage applicability</p>	<p>Application Stage</p>	<p>Suspension or termination on contract. Contractor debarment. Referral to the Department of Justice.</p>
<p><b>Minority/Female Business Enterprise (MBE/FBE/CSB)</b>  <i>LOCAL</i>  Jeremiah Triplett  Office of Equal Opportunity  (216) 664-4178  <a href="mailto:jtriplett@city.cleveland.oh.us">jtriplett@city.cleveland.oh.us</a></p>	<p>Construction projects are required to use 15% MBE, 7% FBE and 8% CSB to implement the project. All project related contractors and subcontractors must be reported.</p>	<p>\$50,000 or more of city assistance for construction contracts.</p>	<p>Monthly Reports during the Construction Stage</p>	<p>Forfeit 20% of principle loan/grant amount; 10% of retained contract funds.</p>
<p><b>Section 3</b>  <i>FEDERAL</i>  Yvette Mosby – (216) 664-4092  <a href="mailto:yvosby@city.cleveland.oh.us">yvosby@city.cleveland.oh.us</a></p>	<p>Numerical Goals: require that thirty percent (30%) of new hires be low-income (Section 3 Residents). At least ten percent (10%) of total dollar amount of all Section 3 covered construction contracts to be awarded to certified Section 3 businesses. Also, at least three percent (3%) of total dollar amount of all Section 3 covered non-construction contracts to be awarded to certified Section 3 businesses.</p>	<p>\$200,000 in HUD-funded assistance.</p>	<p>Quarterly reports during the Construction Stage.</p>	<p>Delay or suspension of payments. Probation. Contractor debarment.</p>



Applicable Law	Regulation	Triggers	Time Frame	Consequence of Non-compliance
<b>Fannie M. Lewis Cleveland Resident Employment Law</b> LOCAL Jeremiah Triplett Office of Equal Opportunity (216) 664-4178 <a href="mailto:jtriplett@city.cleveland.oh.us">jtriplett@city.cleveland.oh.us</a>	Chapter 188 designed to increase employment opportunities for Cleveland residents on construction contracts funded by the City of Cleveland.	\$100,000 or more of city assistance for construction contracts.	Monthly Reports during the Construction Stage	Forfeiture of 1/8 <sup>th</sup> of 1% of the final total amount of the contract for each full percentage point by which the contractor falls short of the contract agreement.

Furthermore, the following Federal and City rules and regulations apply to activities and projects funded under these programs:

**1. Equal Employment Opportunity**

Employment of staff and personnel by the agency is subject the Equal Employment Opportunity Ordinance Section 187, 188 and Section 3 of the City of Cleveland, and related regulations. The agency shall post in a conspicuous place all solicitations for employment, and/or advertise for employment in a citywide publication of common circulation, affording all interested parties opportunity to be aware of the position and to submit an application. All solicitations or advertisements shall state the agency is an Equal Opportunity Employer. A copy of the solicitation or advertisement, and the dates and locations published, shall be submitted to the City along with a copy of the job description.

**2. Employment Discrimination Prohibited**

The agency shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, sexual orientation, gender identity or expression, national origin, age, disability, Ethnic group, or Vietnam-era disabled veteran status. Agency shall take affirmative action to ensure that applicants are employed and that employees are treated without regard to of race, religion, color, sex, sexual orientation, gender identity or expression, national origin, age, disability, Ethnic group, or Vietnam-era disabled veteran status. "Treated" means and includes recruitment, whether by advertising or other means; compensation, whether in the form of rates of pay or other forms of compensation; selection for training, including apprenticeship; promotion; upgrade; demotion; downgrade; transfer; layoff or termination.

**3. Conflict of Interest**

No employee, agent, consultant, officer, or elected or appointed official of the City or agency who exercises or has exercised any functions or responsibilities with respect to the Citywide Scope of Service or any activities in any way connected with a contract between the City and the agency, or who are in a position to participate in a decision-making process or gain inside information with regard to such activities or Scope of Service, may obtain a financial interest or benefit from such activity or Scope of Service, or have a financial interest in any contract, subcontract or agreement with respect thereto, or the proceeds hereunder, either for themselves or those with whom they have business or immediate family ties during their tenure or for one (1) year thereafter.

**4. Requests for Reimbursement/Performance Reports**

Each request for reimbursement must be accompanied by the performance reports detailing the activities accomplished and the demographic information (if required) of persons who benefited during the period covered by the reimbursement request. Requests for reimbursement that are not accompanied by the performance report, or are accompanied by an incomplete or inaccurate report will be denied.

Reimbursement requests and performance reports are required to be submitted monthly no later than the last working day of the month following the reporting period end date.

**5. Equipment Policy**

The usage, storage and inventory of equipment purchased with CDBG funds must comply with the Department's equipment policy. The purchase of all equipment funded in whole or in part with CDBG funds must receive the prior approval of the Department. Assistance is available to help you comply with this policy.

**6. Direct Benefit Activities**

CDBG-funded projects often provide direct benefits to individuals or households. Direct benefit activities provide services or assistance to individuals and/or families directly (normally through an application or sign-up process). Demographic data on each beneficiary must be provided to the City when submitting draw requests. This data must include name, address, household income, number of people in the household, dependents, race or ethnicity and whether the household is female-headed. See appendix I and appendix II for more detail on what information is required to be submitted to HUD.

**7. Federal, State, Local Compliance Certification**

Regulatory guidelines and reporting requirements listed in table 12 may apply to the program(s) proposed by your Agency. It is important that this listing is reviewed before signing below.

**8. Debarred and Suspended Contractors**

HUD regulations require that the City not enter into a contract with any agency, corporation, partnership, or other legal entity that has been debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded by the Federal Government from participating in transactions involving Federal funds. As a condition of receiving Community Development Block Grant funds, your agency's Board President is required to sign the attached certification (Attachment 2) which specifies that neither the agency nor its principals are presently debarred or suspended. It also certifies that you will not use any of these funds to employ, award contracts to, engage the services of, or fund any contractor that is debarred or suspended.

**9. Design Review, Zoning & Building Permits**

Projects funded with CDBG dollars, and/or utilizing land purchased from the City, are bound by City regulations regarding design review. Project designs must be reviewed and approved by Community Development staff, and possibly the Design Review Committee, City Planning Commission or Landmarks Commission. In all cases, projects must comply with City regulations regarding zoning, building permits, building standards, health and licensing requirements, City-Wide Plan, design review, etc. Please be certain to obtain all required building permits and call for inspections at the appropriate times. If your project does not meet zoning code, the appeals process is triggered by the rejection of your formal application to Building & Housing for a permit. A hearing and decision by the Board of Zoning Appeals generally takes about 5-7 weeks. Projects funded with CDBG dollars, and/or utilizing land purchased from the City, require advance review and approval by Community Development and may be held to standards exceeding regular zoning or building regulations.

**10. City of Cleveland Finance and Procurement Requirements**

For various reasons throughout the funding year (i.e., transactions that are frozen at the end of the City's accounting cycle, reimbursement requests held due to a lack of required documentation, etc.), the agency may be required to cover operational costs from non-CDBG funding sources. Therefore, each agency should have available at least two months' funding from sources other than CDBG.

**a. CONTRACT PROCEDURES & DRAW REQUESTS**

- CDBG contracts pay project costs on a reimbursement basis. Draw requests are submitted after items covered in your approved contractual budget are paid. For physical improvement projects,

the City pays when costs are incurred. An analyst from the Department will provide you with instructions on how to prepare draw requests. You will need to include detailed invoices and/or canceled checks from vendors providing services, material or equipment to you. (All canceled checks must be made available for review by your assigned financial analyst prior to contract completion.)

- Special Disbursement Request Forms will be provided to you. Incomplete or improperly prepared draw requests will result in payment delays. Payments are made in the form of checks mailed to the address provided by your agency in the grant contract.
- It generally takes 30 working days from the date of receipt of a complete and accurate draw request and grant report to issue payment.
- CDBG contracts for physical improvements customarily include a 10% retainage. In most cases, this retainage is held by the City until all required documents are submitted, all permits are satisfactorily closed, all regulatory requirements and compliance have been met, and any other required proof of successful project completion is in hand.

**b. COMPETITIVE BIDDING POLICIES**

The following standards are required when funds are granted by the Department of Community Development (Department) to a third party agency, which then either: (1) enters into a contractual agreement for services not provided by staff employed by that agency; or (2) purchases property, equipment or goods and services whose cost is in excess of \$500.00:

• **CONSULTANTS/PROFESSIONAL SERVICES CONTRACTUAL AGREEMENT**

- When an agency is using CDBG funds to supplement regularly employed staff with professional services, the agency must issue a Request for Proposals (RFP) to qualified consultants, professionals, or others.
- Prior to awarding the contract, the agency must submit:
  - A copy of the Request for Proposal (RFP);
  - A listing of the consultants solicited for the requested services;
  - A list of the proposals received and the bid amount;
  - Designation of the firm that is being recommended for the award, along with the reasons for that recommendation.
- No contract can be established until the Department of Community Development has approved the proposal, the recommendation for award, and the service contract between the agency and the consultant.
- The contract between the agency and the consultant must contain, at a minimum, the following requirements:
- The agency and the consultant must comply with all the terms and conditions of the contract between the City and the agency, including compliance with all federal, state and local laws, rules and regulations.
- The consultant must comply with the Equal Employment Opportunity Ordinance Section 187, 188 of the Codified Ordinances of the City of Cleveland.
- The consultant must follow the timeline indicated in the contract between the City and the agency that awards funds for this activity.
- The consultant must provide a final written report/study in a form acceptable to the City upon its completion. Final payment cannot be made to the consultant by the agency until the services have been completed and the final report has been received and approved by the City.

- The consultant must submit to the City a copy of the final report or product.
- All other requirements that the City’s Department of Community Development determines are necessary and appropriate and has identified to the agency and/or developer must be followed.
- Before disbursing funds for the consultant services, the City must be provided with all items detailed above, along with a copy of the fully executed contract between the agency and the consultant which has been approved by the Department of Community Development.
- Final disbursement shall not be made until the City receives a performance report/study and accomplishments from the agency in a form acceptable to the City.
- **PURCHASE OF PROPERTY, EQUIPMENT, OR GOODS AND SERVICES**
  - When an agency uses federal/City funds to purchase property, equipment, goods or services in excess of \$500.00, the agency must obtain at least three bids and provide copies of those bids, along with its recommendation of award to the City for approval. Once the request is approved by the City, the agency may proceed with the purchase.
  - Written receipts must be submitted to the City within 30 days of the date of the purchase for reimbursement.
  - Equipment with a useful life greater than one year must be maintained according to the requirements of the City’s Equipment Policy (see Item 5 above).

Certification

By signing and submitting this proposal, the applicant is certifying that the above federal rules and requirements shall be adhered to if federal funds are awarded through this application process.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_  
 Authorized Representative

## **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions\***

(Note: Lower Tier refers to the agency or contractor receiving Federal funds, as well as any subcontractors that the agency or contractor enters into contract with using those funds.)

*Title 24 Code of Federal Regulations Part 24 requires that the City not enter into contract with any agency, corporation, partnership, or other legal entity that has been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by the Federal Government from participating in transactions involving Federal funds. As a condition of receiving funding under the Community Development Block Grant, HOME, Emergency Shelter, and Housing Opportunities for Persons with AIDS (HOPWA) programs, you are required to sign the certification below which specifies that neither you nor your principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in programs funded by a Federal agency. It also certifies that you will not use, directly or indirectly, any of these funds to employ, award contracts to, engage the services of, or fund any contractor that is debarred, suspended, or ineligible under 24 Code of Federal Regulations Part 24.*

*If you need to determine whether your agency/firm has been debarred or suspended, or if a subcontractor you plan to hire is suspended or debarred, please refer to the following sources:*

- System for Award Management (SAM)
- Internet access available at <http://www.sam.gov>
  - Step A: **'Log In'** - Create an Account (by creating a username & password)
  - Step B: Click on; **'Accept'** to 'Usage Statement'
  - Step C: Click on; **'Search Records'**
  - Step D: Click on; **'Advanced Search – Exclusion'** then **OK** after reading search parameter statement
  - Step E: Click on; **'Single Search'** – (Enter; Name of Company, State, Country, Agency – HUD, U.S. Dept. of)
    - Then click on; **'SEARCH'** at bottom of page
  - Step F: Click on; **'Save Search'** box, then **'Print'** next screen showing ALL info. entered in Step E above

*If you have any questions, contact Mr. Robert Laycock, Compliance Manager, City of Cleveland Department of Community Development, at 664-4094.*

**Please note: Completion of this Certification is a requirement for funding under this grant. If it is not signed and included in your proposal or contract for funding, the City will not consider that proposal for funding nor execute the contract.**

### **Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the

department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the "System for Award Management".

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

### **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

(3) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three year period preceding the effective date of this contract been convicted

of or had a civil judgment rendered against me or \_\_\_\_\_

(Contractor's Name)

for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(4) Where the prospective primary participant is unable to certify to any of these statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

(Authorized Recipient Name/Title)

Print Name: \_\_\_\_\_

Organization: \_\_\_\_\_

**APPENDIX C**  
**CHECKLIST OF REQUIRED ATTACHMENTS**

Please make sure the following items are included with your proposal submission. Proposals must be completed in detail to be sufficiently evaluated. Incomplete proposals will not be processed.

Item	√
Articles of Incorporation	
IRS 501 C 3 Tax Exempt Letter	
By-Laws, Constitution and Employee Handbook	
Financial Audits for past <b>two</b> fiscal years	New grantseekers only
Financial Audit for the last fiscal year	
Unaudited year-end financial statement	
IRS Form 990	
Letter of Good Standing      *Date Issued:	
Board of Trustees Roster w/Officers and Professional Affiliations	
Organizational Chart	
Board-approved Organizational Budget for the current year, in a format acceptable to the Department of Community Development. Budget must outline all expenditures, secured and anticipated funding sources	
Program personnel job descriptions and resumes	
Program Performance Data Form ( <i>See Section XV</i> )	New grantseekers only

**NOTE:** State of Ohio Letter of Good Standing must be renewed annually. **Proposals with expired letters will not be accepted.**