

PROCUREMENT & CONTRACTING

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CHAPTER 3: PROCUREMENT & CONTRACTING

Units of General Local Government (UGLGs) must comply with all applicable federal, state and local procurement and contracting regulations and policies for the Community Development Block Grant (CDBG) project. Conflict of interest provisions within the Code of Federal Regulations must be addressed as part of procurement and contracting processes.

LOCAL PROCUREMENT POLICY

The Division of Energy, Housing and Community Resources (DEHCR) requires all UGLGs to adopt written procurement/purchasing procedures **prior** to the *Grant Agreement* being executed for the CDBG monies. An UGLG must use procurement/purchasing procedures that are in conformance with federal, state and local laws and regulations. Federal regulations and standards are identified in 24 CFR 85, which sets forth the standards that are applicable to procurement for federal grants, cooperative agreements, and sub-awards to state, local, and Indian tribal governments. State procurement information is published on the State of Wisconsin VendorNet System: <https://vendornet.wi.gov/>.

The UGLG must have written selection procedures for adequate procurement and contracting to ensure that:

1. The purchase of unnecessary or duplicate items is avoided. Where appropriate, an analysis should be made of lease vs. purchase alternatives [24 CFR 85.36(b)(4)];
2. Whenever possible, use of federal excess and surplus property, or of intergovernmental agreements for procurement or use of common goods and services should be considered as a way to foster greater economy and efficiency [24 CFR 85.36(b)(5) and (6)];
3. All purchase orders (and contracts) are signed by the UGLG's authorized official(s);
4. Items delivered and paid for are consistent with the purchase order and/or contract for the goods or services;
5. Timely payment to vendors occurs when the order is delivered, inspected, accepted and payment is authorized;
6. **A cost or price analysis is performed for every procurement action**, with contract modifications, and documentation to that effect is maintained in the UGLG's files. The method and degree of analysis is dependent on the facts surrounding the particular procurement method, but as a starting point, **the UGLG must make independent estimates before receiving bids or proposals [24 CFR 85.36(f)]**; and
7. Profit or fee is negotiated separately from price where competition is lacking or a cost analysis is performed. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's

investment, the amount of sub-contracting, the quality of past performance, and industry rates for the area [24 CFR 85.36(f)(2)].

When the UGLG is using CDBG funds to cover the costs for a CDBG project purchase or contract, the UGLG must comply with its local procurement/purchasing policy(ies) and state and federal CDBG procurement/purchasing requirements summarized in this chapter; following the most restrictive of the three when there are differences. When not using CDBG funds to cover the costs for a CDBG project purchase or contract, then the UGLG must comply with its local procurement/purchasing policy(ies).

See Attachments 3-A1 and 3-A2 for sample procurement/purchasing policies.

INITIAL PROCUREMENT DECISIONS

Questions to consider when determining the procurement requirements that apply for each CDBG project activity include:

1. Will a third party be selected to perform all or part of the CDBG project activity, using some method of procurement, or will the work be performed in-house by municipal employees (either the UGLG's own employees or through a cooperative agreement with a partnering UGLG or other governmental entity)?
 - If the work will be performed in-house by municipal employees or a regional planning commission, then no procurement process is required to be completed.
 - If contracting with a third party, then some or all federal, state and local procurement requirements will apply.
2. Will the contract be for construction, professional services (e.g., engineering, grant administration, planning, auditing, legal, etc.), or some other non-construction related work/purchase (e.g., equipment, supplies, etc.), and will CDBG funds be used to fund all or part of the contract?
 - If the contract is a construction contract, competitive procurement,* with adherence to federal, state, and local procurement regulations and policies, is required. Refer to the procurement options summarized later in this chapter to determine which option is most appropriate based on the anticipated amount of the construction contract.
 - If the contract is a professional services contract or other non-construction contract and CDBG funds are not funding any part of the contract, then the UGLG must ensure compliance with its local procurement policy.
 - If CDBG funds are funding all or part of the professional services contract or other non-construction contract, and the contract is *not* with another governmental entity and *not* with a quasi-governmental entity (e.g., Wisconsin Regional Planning Commissions and certain non-profit publicly/government-funded

Economic Development Organizations), then the UGLG must ensure compliance with federal, state, and local procurement regulations and policies. Federal regulations require that professional services and other non-construction work/purchases funded with CDBG monies generally must be competitively procured.* Refer to the procurement options summarized later in this chapter to determine which option is most appropriate based on the type of the professional services contract or other non-construction contract.

**Other exceptions for federal competitive procurement requirements are noted under the sole source procurement option summarized later in this chapter.*

CONFLICT OF INTEREST

Applicability

The conflict of interest provision applies to any individual who is an employee, agent, consultant, officer, or elected official or appointed official of the state, or of an UGLG, or of any designated public agencies, or sub-recipients. Except for eligible administrative or personnel costs, the general rule for those individuals described above (who exercise or have exercised any functions or responsibilities with respect to CDBG activities and who are in a position to participate in a decision-making process or gain inside information with regard to such activities) is that they **may not**:

- Obtain a financial interest or benefit from the activity;
- Have an interest or benefit from the activity; nor
- Have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder.

This rule also applies during their tenure or for one year thereafter to themselves and to those individuals with whom there is a family or business tie.

IMPORTANT NOTE!

The UGLG's Chief Elected Official may not receive a CDBG loan or any financial interest from the CDBG activity.

To determine if there are any potential conflicts of interest, the UGLG should gather the above information at the point of bid submittal (for construction contracts), proposal submittal (for professional services contracts) or property identification (acquisition/relocation). Potential contractors or sellers should be asked to disclose family or business ties to persons involved with the CDBG project that may be potential conflicts of interest. The *Potential Conflict of*

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Interest Disclosure form (Attachment 3-B) may be used as a template for preparing a disclosure form. The *24 CFR 570.489(h) Conflict of Interest Clause* (Attachment 3-C) must be included in all bid packets for construction contracts.

Conflict of Interest Reviews and Exceptions/Waivers

An exception/waiver to the federal conflict of interest provisions may be requested by the UGLG and requires DEHCR approval, and may require HUD approval, depending on the nature of the conflict of interest. Contact the assigned DEHCR Project Representative for further guidance on submitting a request for such exception/waiver. Prior to submitting an exception/waiver request, public disclosure of the potential conflict must be made. A legal opinion must be obtained from the corporate or municipal counsel stating that the interest for which the exemption is sought would not violate state or local law.

The following steps may be used to identify and review potential conflicts of interest, and request an exception/waiver to the federal conflict of interest provisions, if determined necessary:

1. Identify “covered persons” for the CDBG program;
2. Have potential contractors complete a *Potential Conflict of Interest Disclosure* form (Attachment 3-B) or similar document when responding to procurement solicitations (e.g., request for bids [RFB], request for proposals [RFP], request for qualifications [RFQ], etc.) or prior to contracting;
3. Inform any contractors with a potential conflict of interest that their name will be disclosed at the local Board/Council/Committee meeting;
4. Add “disclosure of potential conflicts of interest” as a discussion item on the Board/Council/Committee meeting agenda (any covered person identified in the disclosure of the potential conflict of interest should not attend this meeting or must recuse herself/himself from voting on a determination regarding the potential conflict of interest); and review the potential conflict of interest at the public meeting;
5. Adhere to the UGLG’s applicable local policies (e.g., ethics and conflict of interest policies related to decision-making, voting, procurement and contracting) in reviewing all potential conflicts of interest;
6. If a contractor has been identified as having a potential conflict of interest, disclose the name of the person and company/firm, and the nature of the potential conflict of interest (family or business tie[s]) applicable to the project at the public meeting;
7. Ask all in attendance at the public meeting if there are any objections to awarding the contract to the contractor in question, with the objective being to review the potential conflict of interest publicly and determine if there are any objections to awarding the contract;
8. The UGLG’s legal counsel must provide a letter of opinion certifying that the UGLG’s contracting with the entity or person identified as having the potential conflict(s) would not violate state or local law. Refer to the federal regulations [24 CFR 570.489(h)] for guidance on the requirements to request for a waiver to the conflict of interest (Attachment 3-C);

9. If the UGLG's determination after reviewing the potential conflict of interest and the legal opinion is that no conflict of interest exists, then the UGLG is to submit to DEHCR:
 - a summary on municipal letterhead signed by the chief elected official summarizing the UGLG's review, determination and basis of the determination regarding the potential conflict of interest;
 - the legal opinion letter from the UGLG's legal counsel certifying that the UGLG's contracting with the entity or person identified as having the potential conflict(s) would not violate state or local law;
 - proof of proper notice of the public meeting in which the potential conflict of interest will be publicly disclosed and discussed;
 - the agenda and minutes of the public board/council/committee meeting in which the potential conflict of interest was disclosed and reviewed;
 - proof of public sharing of the meeting proceedings (e.g., proof of public posting(s) [at public locations and/or the UGLG's website] and/or newspaper publication(s)) of the meeting minutes).
10. DEHCR will review the documentation submitted by the UGLG for the potential conflict of interest review and make a determination of whether the Division concurs with or disagrees with the UGLG's determination.
11. If the UGLG's determination *or* the legal opinion *or* DEHCR's opinion after reviewing the potential conflict of interest is that a conflict of interest *does* exist, then the UGLG cannot award the contract without a waiver. The UGLG may request a waiver to the federal conflict of interest provisions to award the contract by submitting to DEHCR:
 - a request on municipal letterhead signed by the chief elected official requesting a waiver to the federal conflict of interest provisions, with a summary of the UGLG's review and determination regarding the conflict of interest, and the justification or basis on which the waiver should be allowed, citing all applicable factors for to be considered from the list provided in the federal regulations [24 CFR 570.489(h)(5)] (Attachment 3-C: *Conflict of Interest Clause*).
 - the legal opinion letter from the UGLG's legal counsel certifying that the UGLG's contracting with the entity or person identified as having the conflict(s) would not violate state or local law;
 - proof of proper notice of the meeting in which the potential conflict of interest will be publicly disclosed and discussed;
 - the agenda and minutes of the board/council/committee meeting in which the conflict of interest was disclosed and reviewed; and
 - proof of public sharing of the meeting proceedings (e.g., proof of public posting(s) of the meeting minutes).

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12. The UGLG should avoid signing the contract(s) in question until an exception/waiver decision has been issued by DEHCR (and HUD if applicable).

Please become familiar with the conflict of interest language included in the Code of Federal Regulations before undertaking any projects paid with CDBG funds. For more information, please refer to the *24 CFR 570.489(h) Conflict of Interest Clause* (Attachment 3-C) provided in this chapter. This *Clause* must be inserted in all contracts for the CDBG project.

IN-HOUSE WORK (BY MUNICIPAL EMPLOYEES)

Officials of the UGLG who are acting in their official capacity are considered in-house and are eligible to be compensated for CDBG-related duties if certain conditions are met. For example, if the City Council has officially designated an attorney as City Attorney or an engineer as City Engineer, the individual or firm so designated becomes an official of the city. As an official of the city performing CDBG related duties, his/her legal or engineering service charges are eligible program costs to the extent that:

- They are reasonable for the services provided;
- They follow an appointment made in accordance with state and local laws; and
- The amount of compensation charged to the program will be based on payrolls documented and provided upon request in accordance with generally accepted practices of state and local governments, such as time sheets and other payroll records.

DEHCR will disallow costs for UGLGs that abuse these in-house provisions. For instance, appointments of City Engineers must not be made for the purpose of selecting an engineer to work on an anticipated CDBG project. The UGLG must show evidence that they have a history of appointment, unrelated to any current or anticipated CDBG project.

Refer to Chapter 8: *Financial Management* of this Handbook for details on in-kind donated goods and services. In-kind donated goods and services are tracked differently than in-house work.

PROCUREMENT AND CONTRACTING GENERAL PROVISIONS

The federal standards for procurement and contracting are intended to ensure that supplies, equipment, construction, and other services are:

- Obtained as efficiently and economically as possible; and

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- Procured in a manner that provides, to the maximum extent practical, open and free competition.

Contract solicitations for goods and/or services must explain all requirements the bidder/offeror must meet for his or her bid/offer to be evaluated by the UGLG. Each solicitation must be based on a clear and accurate description of the material, product, or service to be procured and cannot contain features which unduly restrict competition.

Some of the situations considered to be restrictive of competition include, but are not limited to:

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

**Non-competitive awards to professional services contractors may be allowed when no CDBG funds will be applied to the costs, subject to compliance with the UGLG's local procurement policy, or when Sole Source requirements listed later in this chapter are met. However, competitive procurement for all contracting is recommended, even when not required.*

Awards are to be made to the bidder/offeror whose bid/offer is responsive to the solicitation and is most advantageous to the UGLG, price and other factors considered, as permitted for the method of procurement being applied. Any and all bids/offers may be rejected when it is in the UGLG's interest to do so. The UGLG must ensure that contracts are awarded only to responsible contractors possessing the ability to perform successfully under the terms and conditions of the proposed procurement. Considerations may include, but are not limited to compliance with regulatory requirements and public policy, contractor integrity, record of past performance, financial capabilities, and technical capabilities.

DEBARRED AND INELIGIBLE CONTRACTORS

The UGLG must ensure that awards are not made to any party which is debarred or suspended, or is otherwise excluded from or ineligible for, participation in federal assistance programs under Executive Order 12549 "Debarment and Suspension" [24 CFR 85.35]. The UGLG must check the status of all contractors and sub-contractors on the System for Award Management (SAM) at <https://sam.gov/SAM/> **prior to the award** of any prime contract or sub-contract and prior to the amendment of any prime contract or sub-contract. Debarment checks must be made on the official federal SAM website. Private third parties have created sites that look very similar to the <https://sam.gov/SAM/> website but they are not the *official* federal site and are not be used for SAM debarment

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checks for the CDBG program. The UGLG must also maintain a record of the debarment checks in the CDBG project file.

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

Federal regulations make it very clear that UGLGs should make every effort to use local business firms and contract with small, minority-owned, and women-owned businesses in the procurement process. Specifically, the UGLG must take affirmative steps to use small firms, minority-owned business enterprise (MBE) firms, women-owned business enterprise (WBE) firms, or labor surplus area firms [24 CFR 85.36(e)]. For example, the UGLG should:

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

Refer to Chapter 6: *Equal Opportunity, Fair Housing and Section 3* of this Handbook for additional details on MBE/WBE contracting related requirements.

USE OF SECTION 3 BUSINESSES

In conformance with requirements of Section 3 of the Housing and Community Development Act of 1968, to the greatest extent feasible, the UGLG must award contracts for work to be performed to eligible businesses located in or owned by residents of the distribution area to ensure that employment and other economic opportunities generated by federal financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing [24 CFR 570.607(b)].

Refer to Chapter 6: *Equal Opportunity, Fair Housing and Section 3* of this Handbook for additional details on Section 3 contracting related requirements.

IMPORTANT NOTE!

The desire to award contracts to local firms is **NOT** an acceptable justification for avoiding an open and competitive procurement process and encouraging participation of MBE/WBE firms and Section 3 firms in competing for contracts for the CDBG project.

LOBBYING RESTRICTIONS

In accordance with Section 1352, Title 31, U.S. Code, no CDBG funds may be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

If any funds other than CDBG or other federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the CDBG contract, the UGLG or contractor representative shall complete the federal Standard Form-LLL in accordance with the instructions. This form is provided in this chapter as Attachment 3-E: *Disclosure of Lobbying Activities*, to report any lobbying activity.

The UGLG and all contractors and sub-contractors (including any hired for engineering and grants administration) for the CDBG project must include the language regarding lobbying restrictions (Attachment 3-D: *Lobbying Certification* and Attachment 3-E: *Disclosure of Lobbying Activities*) in all contract documents for all sub-award/sub-contracts at all tiers, and the UGLG and all contractors shall certify and disclose lobbying activities accordingly. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CONTRACTING FOR PROFESSIONAL SERVICES

Use of One Firm for Grant Administration and Professional Services such as Engineers, Planners or Architects

The use of a single firm for grant administration and engineering and/or planning professional services is generally acceptable provided that **separate procurement and contracting processes are conducted** for each of the separate services.

However, a firm serving as the Grant Administrator for the UGLG is not allowed to bid on or compete for a contract for services if the firm assists the UGLG with preparation of the procurement advertisement or assists in any aspect of the procurement process. Assistance with the procurement process includes, but is not limited to the preparation of advertisements and/or RFPs/RFPs/RFBs for the services contract, or the evaluation and scoring of bids/proposals for the services contract.

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Selection of Engineers, Planners or Administrative Consultants Prior to Grant Award

Generally, the use of multi-services procurement and contracting is prohibited except:

- When local officials decide to procure the services of an engineer to assist them with both preparation of preliminary engineering plans (which may be prior to grant application) **and** project engineering (during the project) in the event their community is selected for grant award;
- When an UGLG wants to conduct one procurement process to cover both grant preparation **and** grant administration; and
- When an UGLG wants to conduct one procurement process to cover both CDBG-Planning (CDBG-PLNG) grant application preparation **and** CDBG-Planning (CDBG-PLNG) grant implementation.

Any agreement between the UGLG and the engineer or consultant that includes preliminary and project engineering, or grant writing/application preparation and grant administration services, would have to be contingent upon the award of CDBG funds. The UGLG must meet federal competitive procurement requirements when CDBG funds are being applied to the professional services contract costs.

Additional requirements the UGLG must take into consideration when procuring professional services, include:

- No loss-leader arrangements; and
- Types of professional service(s) needed for the CDBG project (for engineering, grant administration, planning, etc.).

Loss-leader arrangements violate federal regulations which require maximum open and free competition. Professional organizations also consider this practice unethical because it deprives the UGLG of the benefits that can result from competition among competent, professional firms.

WARNING!

No loss-leader arrangements: Federal regulations require maximum open and free competition. Loss-leader arrangements, in which a consultant offers to prepare a grant application or preliminary engineering estimates at reduced rates or at no cost *in return for* a future contract if the application is funded, are prohibited by federal regulations.

PROCUREMENT METHOD OPTIONS

Depending on the type of the contract, scarcity of the item or service desired, and the amount of the contract or purchase, four (4) different options for procurement methods are available under the federal regulations:

- Small purchase(s)/simplified acquisition option;
- Competitive sealed bids option;
- Competitive proposals option; and
- Non-competitive proposals/sole source option.

These procurement method options are summarized below. A brief overview of the four (4) options is also presented in Attachment 3-F: *Overview of Procurement Method Options*.

OPTION #1 – SMALL PURCHASE/SIMPLIFIED ACQUISITION OPTION [24 CFR 85.36 (d)(1)]

DEHCR considers procurement by small purchase (also referred to as simplified acquisition) procedures best suited for obtaining small quantities of supplies.

UGLGs may follow either their local small purchase procurement, state, or the federal policy. If the local policy is used, it must be at least as stringent as the federal or state policy, whichever is more restrictive, as described below.

The **federal** small purchase method may be used for procurement of \$100,000 or less in the aggregate, per 24 CFR 85.36(d)(1). **A procurement of more than \$100,000 may not be inappropriately broken up into smaller components solely to qualify for the small purchase approach.**

The **state** small purchase method may be used for procurement of \$50,000 or less in the aggregate. **A procurement of more than \$50,000 may not be inappropriately broken up into smaller components solely to qualify for the small purchase approach.**

WARNING!

The State of Wisconsin's procurement limit for small purchase is \$50,000. The UGLG should follow this stricter state regulation, in lieu of the \$100,000 federal policy.

In the small purchase method, competition must be sought through oral or written price quotations. **The UGLG must document the receipt of at least three (3) price or rate quotations from qualified vendors.** The UGLG's small purchase procurement process documentation should:

- Identify in writing the item(s) to be procured;

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- Solicit in writing, written quotes from at least three qualified bidders.* Verbal quotes, documented by the UGLG in writing, are acceptable for purchases of less than \$500;
- Identify the lowest responsible bidder;
- Notify each bidder in writing as to whether or not they are the apparent low bidder; and
- Execute a contract with the lowest responsible bidder.

**The request for quotes must include enough detail to solicit responses that will provide adequate information to verify that the quotes are for comparable products or services.*

OPTION #2 – COMPETITIVE SEALED BID OPTION [24 CFR 85.36 (d)(2)]

DEHCR considers this method of procurement best suited to obtaining contractors for construction projects and for large quantities of goods or materials.

This method of selection can be made principally on the basis of price (fixed price contract using lump sum or unit price). Requirements for using the Competitive Sealed Bid method are as follows:

- The UGLG shall advertise the invitation for bids in publications of general circulation (i.e. newspapers, on-line bidding opportunities), solicit bids from an adequate number of known suppliers, providing them sufficient time to respond prior to bid opening;
- The invitation for bids shall include:
 - complete and accurate specifications
 - pertinent attachments, and
 - clearly defined items or services needed, in sufficient detail for the bidders to properly respond;
- Bids shall be opened publicly at the time and place stated in the invitation for bids;
- The UGLG shall receive at least two (2) or more responsible bids for each procurement transaction; and
- If awarded, a firm fixed-price contract award shall be made in writing to the lowest responsible bidder. The UGLG can, however, decide not to make the award to any of the bidders. The UGLG may re-bid the project under certain conditions (i.e. bids are not responsible, or the proposals do not contain information necessary to evaluate the bids).

NOTICE REGARDING BIDDING FOR MULTIPLE UGLG PROJECTS:

An UGLG may bid the CDBG project in conjunction with another non-CDBG project for economy and efficiency purposes, contingent upon the CDBG project components being clearly defined separately and the CDBG component costs

being clearly distinguishable and separate from the non-CDBG component costs in the bid. Future pay applications/invoices from the contractor(s) awarded contract(s) must have CDBG project activities and costs clearly separated from the non-CDBG project activities and costs on the pay application/invoices.

Also note that federal regulations specify that a contract funded “in whole or in part” with federal funds must adhere to all federal procurement, contracting and labor standards requirements. Therefore, if one contract covers both CDBG project activities and non-CDBG project activities, then the contract is ultimately funded “in part” with federal funds. Therefore, the non-CDBG portion of the contract would be subject to federal labor standards requirements, in addition to the CDBG portion of the contract. All contract regulatory language and attachments required for bidding for CDBG projects must be included in the bid packet and contract.

Refer to Chapter 7: *Labor Standards* of this Handbook for additional guidance on procurement and contracting for construction contracts.

OPTION #3 – COMPETITIVE PROPOSALS OPTION [24 CFR 85.36(d)(3)]

DEHCR considers this procurement method best suited to obtaining professional services.

This is normally conducted with more than one source submitting an offer, which results in either a fixed-price or not-to-exceed type contract being awarded. It is generally used when conditions are not appropriate for the use of sealed bids. This method has two sub-parts:

1. The **Request for Proposal** (RFP), and
2. The **Request for Qualifications** (RFQ).

The review process for both statements of qualification and proposals should be thorough, uniform, and well documented. DEHCR prefers that this review be conducted by a committee, council or board which, to the extent possible, includes persons with technical skills relevant to the requests being sought.

Reviewers should have no potential conflicts of interest with the firms or individuals under review, such as family relationships, close friendships, or business partnerships. Refer to 24 CFR 85.36(b) procurement standards, which in part states: *UGLGs and sub-Grantees will maintain a written code of standards of conduct governing the performance of their employees engaged in the award and administration of contracts. No employee, officer, or agent of the UGLG or sub-Grantee shall participate in the selection, or awarding, or administration of a contract supported by federal funds if a conflict of interest, real or apparent, would be involved.*

Evaluation criteria for reviewing competitive proposals should take into consideration:

- Specialized experience or technical expertise of the firm and its personnel in connection with the type of services to be provided and the complexity of the project;
- Past record of performance on contracts with the municipality and other clients, including quality of work, timeliness, and cost control;
- Capacity of the firm to perform the work within time limitations, taking into consideration the current and planned workload of the firm; and
- Familiarity of the firm with the type of problems applicable to the project.

RECOMMENDED BEST PRACTICE

The above-listed evaluation criteria can be scored using a weighted point system based on their importance. A side-by-side comparison of the numerical scores will determine which proposal receives the award.

Request for Proposal (RFP)

The following requirements must be met:

- The *Request for Proposals* (RFP) must clearly and accurately state technical requirements for goods and services required. It should specify scope of services and the type of contract to be provided – cost reimbursement (also known as cost plus fixed fee), fixed price or per diem contract;
- The RFP also should specify the cost and pricing data required to support the proposed cost, anticipated start and completion dates, and evaluation criteria to be used in ranking proposals. The UGLG should make available pertinent materials, such as reports, maps and site plans to assist the bidders in preparing proposals. For complicated projects, the UGLG may wish to conduct a pre-bid conference to discuss the project, describe available materials and explain relevant CDBG contract regulations;
- The UGLG shall publicize the RFP (making the RFP publicly available, e.g., posting on the UGLG's website, publishing in the newspaper, posting on one or more professional association website(s), etc.) and to the maximum extent practicable, honor reasonable requests by parties to have an opportunity to compete;*
- Proposals shall be solicited from an adequate number of qualified sources, consistent with the nature and requirements of the procurement;
- The UGLG shall conduct a technical evaluation of the submitted proposals to identify the responsible offers; and

- The UGLG shall award the contract to the most responsive and responsible contractor after price and other factors are considered through scoring the proposals according to predetermined evaluation criteria. The successful proposal/offer must clearly be the most advantageous source of the goods and services.

**The RFP may be sent to particular firms to encourage participation, in addition to making the RFP publicly available, but sending the RFP to the particular firms may not be in lieu of making the RFP publicly available.*

A Request for Proposals (RFP) Template is provided in Attachment 3-G.

Request For Qualifications (RFQ)

For procurement involving architectural or engineering services, the UGLG may use the *Request for Qualifications* (RFQ) competitive proposal procedure whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. **In these instances, price is NOT used as a selection factor.** The UGLG should review and rank every statement of qualifications received.

Once the most-qualified firm is identified, only that firm is asked for a price proposal, which is subject to negotiation of a fair and reasonable price. If negotiations with the selected firm are unsuccessful, this process is repeated with the next highest-ranked firm, until a fair and reasonably priced contract can be awarded.

The UGLG shall document the basis for its determination of the most qualified competitor and the reasonableness of the contract price. This qualifications-based approach to the competitive proposals method may not be used to purchase anything other than architectural and engineering services [24 CFR 85.36(d)(3)(v)].

Note: The federal rule cited in the previous paragraph, relating to the procurement of architectural and engineering (A/E) services, is quoted below verbatim:

UGLGs and sub-Grantees may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. This 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 though A/E firms are a potential source to perform the proposed effort.

This language means that the Qualifications-based Procurement Method can be used only for A/E services. If an RFQ is issued, the competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation.

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In addition, federal procurement regulations generally discourage the use of local geographical preferences in the evaluation of bids or proposals except where mandated by federal statutes, due to the resulting geographical restrictions unnecessarily placed upon open competition. However, in procuring architectural and engineering services, geographic location is permitted as a selection criterion provided this criterion results in an appropriate number of qualified firms still being allowed to submit their qualifications for review [24 CFR 85.36(c)(2)].

WARNING!

A *Request For Qualifications* (RFQ) cannot be used to purchase other types of services, even though A/E firms are potential sources to perform other types of services.

A *Request for Qualifications (RFQ) Template* is provided in *Attachment 3-H*.

OPTION #4 – NON-COMPETITIVE PROPOSALS/SOLE SOURCE OPTION [24 CFR 85.36 (d)(4)]

This method may be used only under very limited circumstances and **the UGLG must obtain DEHCR approval before using this method**. When requesting approval to use this method, the UGLG will have to demonstrate that another method of procurement was not feasible because:

- The item or service was only available from a single source;
- A public emergency or condition requiring urgency existed which did not permit the use of competitive procurement; or
- Competition was determined to be inadequate after solicitation of proposals from a number of sources.

SUB-RECIPIENTS

A sub-recipient is a public or private non-profit agency or organization receiving CDBG funds from a UGLG or another sub-recipient to undertake eligible activities. Another way to say this is that sub-recipients are organizations that are **provided** CDBG funds by an UGLG **for their use** in carrying out agreed-upon, eligible activities. Sub-recipients are subject to all the same procurement requirements as the UGLG that was awarded the CDBG funds.

WARNING!

The UGLG **must** consult with DEHCR prior to entering into an agreement with a sub-recipient.

STARTING THE WORK

Refer to Chapter 8: *Financial Management* in this Handbook and the terms set forth in the UGLG's *Grant Agreement* with DEHCR for specifications for starting work and incurring costs for the CDBG project.

RECORDS AND FILES

According to 24 CFR 85.36(b)(9), the UGLG shall maintain records to detail the significant history of a procurement and contracting.

The UGLG must establish procurement and contracting files and monitor the contracts to assure that the contracts are completed in a satisfactory and timely manner.

The Procurement and Contracting records* must contain (if applicable):

- UGLG's local procurement policy;
- Descriptions of methods used to select consultants and contractors [e.g., Small Purchase/Simplified Acquisition, *Request for Bids* (RFB), *Request of Qualifications* (RFQ), *Request of Proposals* (RFP), Sole Source];
- Copies of quote request, RFB, RFQ and/or RFP documents used for soliciting responses from contractors/service providers, and related procurement correspondence/communications;
- Advertisement(s) for bids and/or proposals and proof of publication (as applicable);
- Quotes/bids/qualifications/proposals received and evaluation method(s) (e.g., quote review summary, bid tabulation detailed summary, qualifications review summary, proposal evaluation scoring summary, etc.);
- Cost and pricing data;
- Record of the approval by the governing body of the quote/bid/qualifications/proposal accepted/selected (as applicable);
- Contract(s) for goods/services;
- Conflict of Interest related documentation (e.g., contractors' potential conflict of interest disclosure statements, local policy regarding conflicts of interest, UGLG public disclosure and review records [if applicable], legal

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opinion(s) [if applicable], related correspondence to DEHCR [if applicable], request(s) for waiver [if applicable], etc.);

- Records of <https://sam.gov/SAM/> debarment searches;
- Signed Lobbying Certifications for all contractors; and
- Completed Disclosure of Lobbying Activities forms (as applicable).

**Contracting documents related to construction may be maintained in the Labor Standards files established for contractors and sub-contractors.*

The UGLG may be asked to provide procurement documentation related to any or all contractors, suppliers and service providers applicable to the project at any time. Improperly procured services or goods will be deemed ineligible costs and DEHCR may deny payment or prohibit the costs from being counted towards the UGLG's match funding for the CDBG project.

RELEVANT LAWS

Procurement laws governing public construction in Wisconsin are as follows:

- Wisconsin State Statutes, 66.0901 (general), 59.03-04, 59.06 (county), 60.47 (town), 61.50 and 61.54 through 61.57 (village), or 62.15 (cities) concerning advertising and bidding of public projects.

Procurement and contracting laws governing federal CDBG projects are as follows:

- Code of Federal Regulations, 24 CFR 85.36, 24 CFR 570.489, 24 CFR 570.503, 24 CFR 570.607, 24 CFR 570.609, 24 CFR 570.610, 24 CFR 570.611

Refer to Chapter 6: *Equal Opportunity, Fair Housing & Section 3* and Chapter 7: *Labor Standards* of this Handbook for additional relevant laws for contracting.

CONTRACT LANGUAGE AND FORMS

Contracts are to include the language and forms as indicated in the following table.

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CDBG Implementation Handbook Attachments / Federal Language Requirements for Contracts Executed for a CDBG Project	
<i>Important Note: For construction-related contracting, the documents specified below for the contract must also be included in the bidding packet for the contract.</i>	
Construction Contracts of \$10,000 or LESS	Construction Contracts of GREATER Than \$10,000
<ul style="list-style-type: none"> • Attachment 3-B* [Conflict of Interest Disclosure Form] • Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause] • Attachment 3-D [Lobbying Certification Form] • Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form] • Attachment 6-B [Section 3 Contract Requirements] • Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)] • Attachment 7-G [Federal Labor Standards Provisions (4010)] • Attachment 7-I* [Pre-Construction Meeting Items to be Discussed] • Attachment 7-J* [Pre-Construction Checklist for Contractors] • Applicable Davis-Bacon/Federal Wage Decision(s)** 	<ul style="list-style-type: none"> • Attachment 3-B* [Conflict of Interest Disclosure Form] • Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause] • Attachment 3-D [Lobbying Certification Form] • Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form] • Attachment 6-A [Equal Opportunity Clause (EO 11246)] • Attachment 6-B [Section 3 Contract Requirements] • Attachment 6-C [Affirmative Action Requirements (EO 11246)] • Attachment 6-D [Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246)] • Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)] • Attachment 7-G [Federal Labor Standards Provisions (4010)] • Attachment 7-I* [Pre-Construction Meeting Items to be Discussed] • Attachment 7-J* [Pre-Construction Checklist for Contractors] • Attachment 7-R [MBE/WBE/DBA Web Resources] • Applicable Davis-Bacon/Federal Wage Decision(s)**
Professional Services and Other Non-Construction Contracts Funded in Whole or In Part with CDBG	Professional Services and Other Non-Construction Contracts NOT Funded with CDBG
<ul style="list-style-type: none"> • Attachment 3-B* [Conflict of Interest Disclosure Form] • Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause] • Attachment 3-D [Lobbying Certification Form] • Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form] • Attachment 6-B [Section 3 Contract Requirements] 	<ul style="list-style-type: none"> • Attachment 3-B* [Conflict of Interest Disclosure Form] • Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause] • Attachment 3-D [Lobbying Certification Form] • Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form]
<p><i>*Denotes the Attachment or similar form is recommended to be included in the contract, but it is not required. All other items listed in the category must be included in the contract (cannot be by reference only) unless otherwise noted.</i></p> <p><i>**Required to be in the contract only if Davis-Bacon and Related Acts (DBRA) are applicable to the project.</i></p>	

ATTACHMENTS

Attachments for this chapter are listed below.

ATTACHMENT 3-A1:	SAMPLE PROCUREMENT POLICY #1
ATTACHMENT 3-A2:	SAMPLE PROCUREMENT POLICY #2
ATTACHMENT 3-B:	POTENTIAL CONFLICT OF INTEREST DISCLOSURE (TEMPLATE)
ATTACHMENT 3-B1:	POTENTIAL CONFLICT OF INTEREST DISCLOSURE (SAMPLE)
ATTACHMENT 3-B2:	POTENTIAL CONFLICT OF INTEREST DISCLOSURE (INSTRUCTIONS)
ATTACHMENT 3-C:	24 CFR 570.489(h) CONFLICT OF INTEREST CLAUSE
ATTACHMENT 3-D:	LOBBYING CERTIFICATION (TEMPLATE)
ATTACHMENT 3-D1:	LOBBYING CERTIFICATION (SAMPLE)
ATTACHMENT 3-D2:	LOBBYING CERTIFICATION (INSTRUCTIONS)
ATTACHMENT 3-E:	DISCLOSURE OF LOBBYING ACTIVITIES FORM (TEMPLATE)
ATTACHMENT 3-F:	OVERVIEW OF PROCUREMENT METHOD OPTIONS
ATTACHMENT 3-G:	REQUEST FOR PROPOSALS (RPF) TEMPLATE
ATTACHMENT 3-H	REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

ATTACHMENT 3-A1: SAMPLE PROCUREMENT POLICY #1

The following represents the procurement policy of the City of Yourville:

1. Supplies required for operation of municipal offices and departments shall be purchased, as required, in accord with a purchase order issued by the respective department head. It is required that purchases be made from suppliers located in the community unless the price is not competitive or comparable to that of non-local suppliers.
2. Purchase of outlay items, such as vehicles and other equipment, shall be subject to competitive bidding. The department requesting purchase of these items shall make the request based on specifications. The responsible department head, along with the respective City Council committee, will determine which bid will be most advantageous to the community and make recommendation thereon to the full City Council. Bids may be invited by letter and/or by advertisement in the local newspaper.
3. Public Works Projects exceeding the Wisconsin Statutory amount of \$25,000 will be bid in accord with Wisconsin State Statutes. Specifications and/or plans and bid documents will be furnished to all requesting the same. Notice of bid taking shall be published in the local newspaper, Western Builder and Builders Exchange releases. All bids timely received will be opened and read at a pre-specified time and place open to the public. Bids will be received and recommendation thereon will be made to the City Council. The contract will be awarded to the responsible bidder submitting the lowest bid. Force account projects are exempt from this policy.
4. Professional Services contracts must be selected through a competitive process or thorough departmental review. Architectural and engineering services contracts exceeding \$100,000 must be selected through a Request for Qualifications (RFQ) process. Other professional services contracts exceeding \$25,000, excluding auditing and accounting services contracts, must be selected through a Request for Proposals (RFP) process. ALL professional services contracts must be approved by the City Council.

Jane Doe

Jane Doe, Mayor

SAMPLE

September 27, 2020

Date

[This sample procurement policy is provided as an example of a municipality's procurement policy only, and is not intended to represent, nor does it represent federal and state CDBG procurement requirements. The Unit of General Local Government (UGLG) must have a written procurement policy in place, which includes the UGLG's processes and requirements for procurement and contracting transactions, and is prepared to meet the UGLG's specific needs and requirements. When federal and state procurement requirements apply, the UGLG must adhere to its local policy as well as applicable federal and state requirements.]

ATTACHMENT 3-A2: SAMPLE PROCUREMENT POLICY #2

It shall be the policy that all supplies, materials, and/or services purchased by the Village of Yourville shall be obtained in a manner that is as efficient and economical as possible and procured in a manner that provides to the maximum extent practical, open and free competition.

Operating Supplies and Materials

1. All purchases of operating supplies and materials shall require a purchase order issued from the Village Clerk. Whenever practical the employee and/or Department Head requesting the purchase shall acquire multiple quotes to ensure that the items are being purchased in the most economic manner. Purchases over \$500 shall require a minimum of three written price quotations. In the event that three quotes cannot be provided sufficient documentation explaining the limited number of suppliers shall be submitted.
 - a. Regular on-going budgetary purchases may be acquired with one annual purchase order with quotes received annually.
2. All purchases exceeding \$1,500 will require Village Board approval unless in the case of a true bona-fide emergency.

Professional Services

1. Architectural and Engineering professional services shall be acquired through a Qualifications Based Selection Process whereby a firm or individual's qualifications are the primary determinant in the execution of a contract with said firm or individual.
 - a. Only after the firm has been selected may a cost be asked of the selected firm/individual. In the event that a fair and reasonable price cannot be negotiated the UGLG must select the next highest ranked firm/individual to negotiate with. This will continue until such negotiations result in an executed contract.
2. Other professional services shall be acquired through a process approved by the department head. Contracts exceeding \$5,000 must be approved by the Village Board prior to executing the contract.

Capital Projects/Outlay

1. Purchase of outlay items, such as vehicles and other equipment shall be subject to competitive bidding. The Village shall issue bid specifications. The Village will select the most responsible and responsive bid price for said items.
2. Public Works Projects exceeding the Wisconsin Statutory amount of \$25,000 will be bid in accordance with Wisconsin State Statutes. Specifications and/or plans and bid documents will be furnished to all requesting same. Notice of bid taking shall be published in the local newspaper of record and an applicable Yourville Journal. All bids shall be received by the designated date and time in the mandatory format. All bids will be opened and read at a meeting open to the public. Bids will be reviewed and acted upon by the Village Board. Contracts will be awarded to the most responsible and responsive bidders.
3. The Village maintains the right to reject any and all bid proposals.

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General Provisions

1. The Village of Yourville shall make every effort possible to use local business firms and contract with small, minority-owned, and women-owned businesses in the procurement process. The UGLG shall incorporate these businesses in the solicitation lists, divide procurement requirements when economically feasible to permit maximum participation of such businesses, and require prime contractors, when sub-contractors are used to take affirmative steps to select such firms.
2. The UGLG shall ensure that awards are not made to any party which is debarred or suspended, or is otherwise excluded from or ineligible for participation in federal assistance programs, when federal funds are utilized for a project.

John Doe

John Doe, Village President

September 8, 2020

Date

Chris Smith

Chris Smith, Village Clerk

September 8, 2020

Date

[This sample procurement policy is provided as an example of a municipality's procurement policy only, and is not intended to represent, nor does it represent federal and state CDBG procurement requirements. The Unit of General Local Government (UGLG) must have a written procurement policy in place, which includes the UGLG's processes and requirements for procurement and contracting transactions, and is prepared to meet the UGLG's specific needs and requirements. When federal and state procurement requirements apply, the UGLG must adhere to its local policy as well as applicable federal and state requirements.]

**ATTACHMENT 3-B: POTENTIAL CONFLICT OF INTEREST
DISCLOSURE (TEMPLATE)**

Division of Energy, Housing and Community Resources (DEHCR) <u>Community Development Block Grant – Potential Conflict of Interest Disclosure</u>								
POTENTIAL CONFLICT OF INTEREST DISCLOSURE								
<p style="text-align: center;"><i><Insert Title of Project></i> <i><Insert Municipality Name, e.g. City of Yourville></i></p> <p style="text-align: center;">Do you have family or business ties to any of the people listed below? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please check the box next to the name(s) of the individual(s) and describe the relationship in the space provided below:</p> <p><u>ELECTED OFFICIALS:</u></p> <p><input type="checkbox"/> <i><INSERT FULL NAME AND TITLE OF CHIEF ELECTED OFFICIAL></i> <input type="checkbox"/> <i><INSERT FULL NAME AND TITLE OF OTHER ELECTED OFFICIAL></i> <input type="checkbox"/> <i><INSERT FULL NAME AND TITLE OF OTHER ELECTED OFFICIAL></i></p> <p><u><i><INSERT MUNICIPALITY TYPE> ADMINISTRATION, DEPARTMENT HEADS AND LEGAL COUNSEL:</i></u></p> <p><input type="checkbox"/> <i><INSERT FULL NAME AND TITLE></i> <input type="checkbox"/> <i><INSERT FULL NAME AND TITLE></i> <input type="checkbox"/> <i><INSERT FULL NAME AND TITLE></i></p> <p><u>ENGINEERING AND CONSULTING FIRM(S):</u></p> <p><input type="checkbox"/> <i><INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME></i> <input type="checkbox"/> <i><INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME></i> <input type="checkbox"/> <i><INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME></i></p> <p>Description of Relationship(s): Please Note: The name of any bidder with a potential conflict of interest will be disclosed at the <i><Insert Governing Body Name, e.g., City Council, Village or Town Board></i> meeting in which bids are discussed. Potential conflicts of interest will be reviewed in accordance with 24 CFR 570.489(h).</p> <table border="0" style="width: 100%;"><tr><td style="width: 33%;"><hr/>Printed Name of Individual</td><td style="width: 33%;"><hr/>Title</td><td style="width: 33%;"><hr/>Signature</td></tr><tr><td><hr/>Name of Business/Firm/Company</td><td colspan="2"><hr/>Date Signed [MM/DD/YYYY]</td></tr></table> <p style="font-size: small;">Potential Conflict of Interest Disclosure Page 1 Revised: August 31, 2017</p>			<hr/> Printed Name of Individual	<hr/> Title	<hr/> Signature	<hr/> Name of Business/Firm/Company	<hr/> Date Signed [MM/DD/YYYY]	
<hr/> Printed Name of Individual	<hr/> Title	<hr/> Signature						
<hr/> Name of Business/Firm/Company	<hr/> Date Signed [MM/DD/YYYY]							

**ATTACHMENT 3-B1: POTENTIAL CONFLICT OF INTEREST
DISCLOSURE (SAMPLE)**

Division of Energy, Housing and Community Resources (DEHCR) <u>Community Development Block Grant – Potential Conflict of Interest Disclosure</u>		
POTENTIAL CONFLICT OF INTEREST DISCLOSURE		
Brick Street Infrastructure Improvements Village of Emerald City		
Do you have family or business ties to any of the people listed below? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
If yes, please check the box next to the name(s) of the individual(s) and describe the relationship in the space provided below:		
<u>ELECTED OFFICIALS:</u>		
<input type="checkbox"/>	Barbara Cordry, Village President	SAMPLE
<input type="checkbox"/>	Russell Wellington, Board Member	
<input type="checkbox"/>	Gabriel Collins, Board Member	
<input type="checkbox"/>	Charlie Bien, Board Member	
<input type="checkbox"/>	Mo Letters, Board Member	
<input type="checkbox"/>	Dorothy Baum, Clerk/Treasurer/Board Secretary	
<u>VILLAGE ADMINISTRATION, DEPARTMENT HEADS AND LEGAL COUNSEL:</u>		
<input type="checkbox"/>	James Haggerty, Village Administrator	
<input type="checkbox"/>	Peter Harper, Village Attorney	
<input type="checkbox"/>	Michael Carter, Director, Department of Public Works	
<u>ENGINEERING AND CONSULTING FIRM(S):</u>		
<input type="checkbox"/>	Celeste Middleton, CEO, Charles Dark Engineering	
Description of Relationship(s):		
Please Note: The name of any bidder with a potential conflict of interest will be disclosed at the Emerald City Village Board meeting in which bids are discussed. Potential conflicts of interest will be reviewed in accordance with 24 CFR 570.489(h).		
Clive Dillon	President	Clive Dillon
Printed Name of Individual	Title	Signature
Bertos Construction Company		January 27, 2018
Name of Business/Firm/Company		Date Signed [MM/DD/YYYY]
Attachment 3-B: Potential Conflict of Interest Disclosure Page 1 Revised: August 31, 2017		

ATTACHMENT 3-B2: POTENTIAL CONFLICT OF INTEREST DISCLOSURE (INSTRUCTIONS)

The conflict of interest provision applies to any individual who is an employee, agent, consultant, officer, or elected official or appointed official of the state, or of a Unit of General Local Government (UGLG), or of any designated public agencies, or sub-recipients. UGLGs are required to have measures in place to identify and review potential conflicts of interest for contracting for the CDBG project. The *Disclosure of Potential Conflict of Interest* form may be used as part of the process.

1. Enter the title of the CDBG project and the name of the UGLG.
2. Check the appropriate box regarding the contractor's relationship (family and/or business) with the individuals listed.
3. *Elected Officials*: The bid recipient/UGLG must enter the names and titles of all elected officials involved in making decisions affecting the CDBG project. This should include the chief elected official as well as elected members of the governing body, and other elected officials (e.g. municipal Clerk/Treasurer, etc.). The Bidder must note if the business has any family or business ties with any of the listed elected officials and briefly describe the relationship.
4. *Administration, Department Heads and Legal Counsel*: The bid recipient/UGLG must enter the names and titles of any appointed officials involved in making decisions affecting the CDBG project. The Bidder/contractor must note if the business has any family or business ties with any of the listed appointed officials and briefly describe the relationship.
5. *Professional Services*: If the UGLG has contracted for professional services such as engineering, grant administration or planning, then the primary contact's name, title and firm name must be listed. The bidder/contractor must note if the business has any family or business ties with any of the listed professional services firms and briefly describe the relationship.
6. *Potential Conflict of Interest Review*: Enter the location, date and time of the meeting in which the review of any potential conflicts of interests will occur.
7. The contractor is to sign and date the *Potential Conflict of Interest Disclosure* form and submit the form to the bid recipient/UGLG as part of the bid or proposal submittal.
8. The UGLG is to maintain documentation of measures in place and any efforts made to identify and review potential conflicts of interests, which may include signed *Potential Conflict of Interest Disclosure* forms.

**ATTACHMENT 3-C: 24 CFR 570.489(h) CONFLICT OF INTEREST
CLAUSE**

**Code of Federal Regulations Title 24 570.489(h) Program
administrative requirements**

(h) Conflict of interest:

(1) Applicability. (i) In the procurement of supplies, equipment, construction, and services by the States, units of local general governments, and sub-recipients, the conflict of interest provisions in paragraph (g) of this section shall apply.

(ii) In all cases not governed by paragraph (g) of this section, this paragraph (h) shall apply. Such cases include the acquisition and disposition of real property and the provision of assistance with CDBG funds by the unit of general local government or its sub-recipients, to individuals, businesses and other private entities.

(2) Conflicts prohibited. Except for eligible administrative or personnel costs, the general rule is that no persons described in paragraph (h)(3) of this section who exercise or have exercised any functions or responsibilities with respect to CDBG activities assisted under this subpart or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from the activity, or have an interest or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder, either for themselves or those with whom they have family or business ties, during their tenure or for one year thereafter.

(3) Persons covered. The conflict of interest provisions for paragraph (h)(2) of this section apply to any person who is an employee, agent, consultant, officer, or elected official or appointed official of the state, or of a unit of general local government, or of any designated public agencies, or sub-recipients which are receiving CDBG funds.

(4) Exceptions: Thresholds requirements. Upon written request by the State, an exception to the provisions of paragraph (h)(2) of this section involving an employee, agent, consultant, officer, or elected official or appointed official of the state may be granted by HUD on a case-by-case basis. In all other cases, the state may grant such an exception upon written request of the unit of general local government provided the state shall fully document its determination in compliance with all requirements of paragraph (h)(4) of this section including the state's position with respect to each factor at paragraph (h)(5) of this section and such documentation shall be available for review by the public and by HUD. An exception may be granted after it is determined that such an exception will serve to further the purpose of the Act and the effective and efficient administration of the program or project of the state or unit of general local government as appropriate. An exception may be considered only after the state or unit of general

local government, as appropriate, has provided the following:

(i) A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made; and

(ii) An opinion of the attorney for the state or the unit of general local government, as appropriate, that the interest for which the exception is sought would not violate state or local law.

(5) Factors to be considered for exceptions. In determining whether to grant a requested exception after the requirements of paragraph (h)(4) of this section have been satisfactorily met, the cumulative effect of the following factors, where applicable, shall be considered:

(i) Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project which would otherwise not be available;

(ii) Whether an opportunity was provided for open competitive bidding or negotiation;

(iii) Whether the person affected is a member of a group or class of low or moderate income persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class;

(iv) Whether the affected person has withdrawn from his or her functions or responsibilities, or the decision-making process with respect to the specific assisted activity in question;

(v) Whether the interest or benefit was present before the affected person was in a position as described in paragraph (h)(3) of this section;

(vi) Whether undue hardship will result either to the State or the unit of general local government or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and

(vii) Any other relevant considerations.

ATTACHMENT 3-D: LOBBYING CERTIFICATION (TEMPLATE)

Division of Energy, Housing and Community Resources		
<u>Lobbying Certification</u>		
GRANTEE/UGLG NAME: _____		
DEHCR GRANT AGREEMENT #: _____		
LOBBYING CERTIFICATION		
FROM THE		
<input type="checkbox"/>	Municipality/UGLG: _____	
<input type="checkbox"/>	Contractor/Sub-Contractor	
<input type="checkbox"/>	Other: _____	
The undersigned certifies, to the best of his/her knowledge and belief, that:		
<ol style="list-style-type: none">1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.		
<p>This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		
_____ <i>Name of Municipality/UGLG/Business/Firm</i>		
_____ <i>Signature of the Chief Elected Official, Owner, or Chief Executive Officer</i>	_____ <i>Title</i>	_____ <i>Date Signed</i>
_____ <i>Printed Name of the Chief Elected Official, Owner, or Chief Executive Officer</i>		
<i>Lobbying Certification</i>		
Revised: August 31, 2017		

ATTACHMENT 3-D1: LOBBYING CERTIFICATION (SAMPLE)

Division of Energy, Housing and Community Resources

Lobbying Certification

GRANTEE/UGLG NAME: Village of Burkittsville

DEHCR GRANT AGREEMENT #: PF17-99

SAMPLE

LOBBYING CERTIFICATION

FROM THE

☐ Municipality/UGLG: _____
☒ Contractor/Sub-Contractor
☐ Other: _____

The undersigned certifies, to the best of his/her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Vanir Construction

Name of Municipality/UGLG/Business/Firm

Harley Jorgeon

Signature of the Chief Elected Official, Owner, or Chief Executive Officer

Harley Jorgeon

Printed Name of the Chief Elected Official, Owner, or Chief Executive Officer

Owner

Title

01/10/18

Date Signed

Attachment 3-D: Lobbying Certification

Revised: August 31, 2017

ATTACHMENT 3-D2: LOBBYING CERTIFICATION (INSTRUCTIONS)

Lobbying certifications must be obtained from the UGLG, all prime contractors, all sub-contractors and any firms hired for engineering services or grant administration.

1. Enter the name of the UGLG and the DEHCR Grant Agreement # in the space provided.
2. Check the appropriate box for the entity signing the *Lobbying Certification* form. Enter the name of the UGLG in the space provided if applicable. Check "Other" if the form is for a firm providing engineering or grant administration services and enter either "engineering" or "grant administration" in the space provided.
3. Enter the name of the UGLG or firm along with the name and title of individual signing the form.
4. Sign and date the form.
5. Place signed and dated *Lobbying Certifications* in the project's Labor Standards file.
6. Send a copy of all signed *Lobbying Certifications* to the assigned DEHCR Project Representative.

Email: *Email to Assigned Project Representative or*
DOACDBG@wisconsin.gov

ATTACHMENT 3-E: DISCLOSURE OF LOBBYING ACTIVITIES FORM (TEMPLATE)

(Fillable PDF form found at <https://www.hudexchange.info/resource/308/hud-form-sflll/>)

DISCLOSURE OF LOBBYING ACTIVITIES Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 (See reverse for public burden disclosure.)		Approved by OMB 0348-0046
1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: _____ Congressional District, if known: 4c		5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____
6. Federal Department/Agency:		7. Federal Program Name/Description: CFDA Number, if applicable: _____
8. Federal Action Number, if known:		9. Award Amount, if known: \$ _____
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):
<div style="font-size: 4em; opacity: 0.3; transform: rotate(-1deg);">TEMPLATE</div>		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

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BCD CDBG Implementation Handbook

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

ATTACHMENT 3-F: OVERVIEW OF PROCUREMENT METHOD OPTIONS

Overview of Procurement Method Options Permitted in Accordance with 24 CFR 85.36(d)

Small Purchase/ Simplified Acquisition	Competitive Sealed Bid	Competitive Proposal	Non-competitive Proposal / Sole-Source
<ul style="list-style-type: none"> • Provision of 24 CFR 85.36(d)(1) • Allowed for contracts \$50,000 or less (\$25,000 or less for construction contracts) • Typically for small quantity of supplies or other small contracts • Written quotes from a minimum of 3 providers required • Solicit in writing; quotes submitted in writing (Exception for contracts >\$500: may be obtained and recorded by solicitor) • Select lowest responsible quote • Inform all responders in writing of decision/selection • May require approval by governing body (subject to local procurement policy requirements) 	<ul style="list-style-type: none"> • Provision of 24 CFR 85.36(d)(2) • Required for contracts >\$50,000 (>\$25,000 construction) • For construction contracts; other large contracts or large quantity of supplies • Principally based on price; fixed-price contract • Open public bidding required: public advertisement, adequate time to respond; bids opened publicly • Receive 2 or more responsible bids • Award in writing to lowest responsible bidder • Approval by governing body required 	<ul style="list-style-type: none"> • Provision of 24 CFR 85.36(d)(3) • Most appropriate for professional services • Request for Qualifications [RFQ] (permitted for engineering/architectural services only) or Request for Proposals [RFP] • Use pre-established evaluation criteria/scoring method • Committee review/evaluation to select provider • Most qualified competitor selected; subject to negotiation of compensation • Awarded as fixed price or not-to-exceed contract • May require approval by governing body (subject to local procurement policy requirements) 	<ul style="list-style-type: none"> • Provision of 24 CFR 85.36(d)(4) • Solicitation from one (1) source • Generally prohibited for CDBG projects • May be allowed under certain circumstances (e.g., under urgency or limited supplier provisions within the Code of Federal Regulations) • DOA-DEHCR approval of method required before contracting

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

An editable version of this RFP Template is available on the CDBG Implementation Handbook website under the “Chapter Attachments/Fillable Forms” section at:

<https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

This Request for Proposals (RFP) template serves as one example for applicants and grantees to utilize in developing their own RFP for procuring professional services. This template was developed through drawing upon ‘best practices’ from various entities’ RFPs. It may be adapted to fit the Unit of General Local Government’s (UGLG’s) needs and local procurement and contracting policy specifications.

This template includes required and recommended CDBG language and Attachments for professional services contracts (refer to Exhibit II), including additional suggested language and Attachments that the UGLG may consider including for informational purposes if the services being provided will include administering or managing a project involving construction oversight, which may be subject to additional regulatory requirements regarding Affirmative Action, Equal Opportunity, Minority Business Enterprise/Woman Business Enterprise (MBE/WBE), Federal Labor Standards Provisions, Davis-Bacon and Related Acts (DBRA), and the Uniform Relocation Assistance and Real Property Acquisition Act (URA).

The project description, work scope/scope of services and deliverables, proposal requirements and content, RFP submittal, RFP and project deadlines, minimum qualifications and scoring criteria are all determined by the UGLG, and not specified by the CDBG Program. Note that CDBG Planning projects must be completed within 2 years of the CDBG award date. CDBG Projects involving construction must be completed within two construction seasons – refer the specific CDBG Program’s Application materials for additional project deadlines and criteria.

This RFP template may be adapted to meet the needs of the local government accordingly.

DELETE the “Template” headers, all yellow highlighting and red text (which denote fields to be customized by the UGLG and instruction/guidance for the UGLG in customizing the content) throughout this template, when customizing the document for the UGLG’s project.

Notes Regarding Competitive Procurement Requirements

A competitive procurement process, such as using a Request for Proposals (RFP) process, is required when using CDBG funding to cover all or part of professional services costs (refer to Chapter 3 of the CDBG Implementation Handbook for exceptions). The RFP must be made publicly available in some way (e.g., posted on the UGLG’s website, advertised in the newspaper, posted on one or more professional association website(s), etc.). The RFP may be sent to particular firms to encourage participation, but sending it to particular firms cannot be in lieu of making the RFP publicly available. The UGLG only needs to follow and comply with its local procurement/contracting policy(ies) when securing professional services that will not be paid with CDBG (or CDBG CLOSE) funding.

The solicitation of Grant Application Preparation and Grant Administration services, OR Grant Administration and CDBG-PLNG Project Planning services may be procured using one RFP procurement process, or may be separated into two RFP processes to procure each service separately. Application preparation related services and costs cannot be paid or reimbursed with CDBG funds. Engineering and Architectural services cannot be paid or reimbursed with CDBG funds (with the exception of CDBG CLOSE matching funds) and must be procured separately from Grant Administration services. Engineering and Architectural services may be procured using a separate RFP process or using a Request for Qualifications (RFQ) process. [Note: The RFQ process is only allowed for Engineering and Architectural services and cannot be used for any other type of professional services.]

Refer to Chapter 3: Procurement & Contracting in the [CDBG Implementation Handbook](#) for additional requirements and guidance regarding professional services procurement and contracting.

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

[Municipality Type]

[County Name] County, Wisconsin

REQUEST FOR PROPOSALS (RFP)

For

**[Type(s) of Service(s), e.g., Grant Administration, Planning
Services [for CDBG-PLNG], etc.]**

[Name of Project]

A Community Development Block Grant

**[CDBG Program, e.g., Planning (CDBG-PLNG); Public
Facilities (CDBG-PF); CLOSE Public Services (CL-PS);
CLOSE Public Facilities (CL-PF); etc.] Project**

TEMPLATE

[Date]

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

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ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

Invitation to Submit Proposal

Introduction

The [Municipality Name], Wisconsin, and/or its designated representative is seeking proposals for consulting services relating to the [Name of Project] [Type of Project, e.g., Planning, Public Facilities, CLOSE Public Services, etc.] Project. The [Municipality Name] is applying for federal funding from the Community Development Block Grant (CDBG) Program for this project. Proposals will be accepted for [List services being requested, e.g. "1) planning services to develop a [Type/Name of Plan]; and 2) grant administration services for a Community Development Block Grant (CDBG) award (contingent upon award)"].

Minimum requirements include previous experience in [Type of Experience, e.g., type of Planning (e.g. Comprehensive Planning), study (e.g. Housing Studies), assessment (e.g., Senior Needs Assessment), and/or CDBG Grant Administration, etc.] on CDBG or similar state/federally funded projects. Proposals will be accepted from individuals, firms, or groups of firms with the demonstrated expertise and experience in these areas of practice.

TEMPLATE

Contact Information

All interested persons and firms should contact [Contact Person's Name], [Contact Person's Title], between the hours of [Office Hours], [Days of Week, e.g., Monday-Friday] at [Contact Phone Number] or [Contact Email] to request the RFP packet or additional information, as needed.

Persons/firms that intend to submit a proposal should send notification of intent to the [Municipality Name] with the person's/firm's name and contact information in case of addenda or other changes. Additionally, the RFP may be sent to those persons/firms that are included on the [Municipality Name] persons/firms that is specifically created for this RFP. Those who the [Municipality Name] has sent an RFP and those who have provided contact information through a request for a copy of the RFP or through a notification of intent will receive all information regarding the RFP. The information may include, but is not limited to, any amendments to the RFP, answers to inquiries received regarding the RFP, or changes to the RFP schedule.

Questions Regarding This RFP

This solicitation contains a description of the project and services required. Interested proposers have the responsibility of understanding what is required by this solicitation. During the review of the RFP, if the Proposer discovers any errors, omissions or ambiguities within the RFP, they should identify them in writing and call them to the immediate attention of the [Municipality Name] prior to the RFP submission deadline. The [Municipality Name] shall not be held responsible for any person's/firm's lack of understanding of the project.

Questions for clarification concerning this RFP must be in writing and received via [list method(s), e.g., U.S. Mail and/or email] to [Contact Person's Name], [Contact Person's Title], at [Contact Email] on or before [Day], [Date]. After this date, questions involving the content or intent of the proposal will not be answered. All questions will be responded to by [Contact Person's Name], [Contact Person's Title], in writing via email, and

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

provided to all parties requesting an RFP for which the [Municipality Name] has the contact information, and treated as an addendum to the RFP packet.

The [Municipality Name] makes no representations as to the conditions of the project other than those representations made herein, and no employee or any other representative of the [Municipality Name] has the authority to make any oral or written representations as to the conditions of the project. Persons/firms should only contact the person designated above regarding this RFP and should not contact the [Municipality Type] [Chief Elected Official (CEO) Title], any [Municipality Type] [Municipality Governing Body Name, e.g., Town/Village/County Board, City Council, etc.] members, any committee members, or any other [Municipality Name] staff for clarification on this RFP.

Addenda Interpretations

If it becomes necessary to revise any part of this RFP, a written addendum will be provided. The [Municipality Name] is not bound by any oral clarifications changing the scope of the work for this project. All addenda issued by the [Municipality Name] will become part of the official RFP and will be emailed to all Proposers of record based upon contact information on record at the original time of issuance or subsequently provided.

Scope of Services & Deliverables **TEMPLATE**

The [Municipality Name], [County Name] County, Wisconsin is applying for federal funding from the Community Development Block Grant (CDBG) Program for the [Name of Project and Type of CDBG Project, e.g., Downtown Revitalization Planning Project, Main Street Infrastructure Improvements Public Facilities Project, etc.].

The focus of the [Type of Project, e.g., planning, public facilities, public services, etc.] project will be to [State Overall Goal/Intention/Focus of the Project] that will include [General Description of Plan/Project Activity(ies)] for the [Municipality Name] in [County Name] County, Wisconsin.

[Municipality Name] Community & Project Area Description:

[Enter Description of the Municipality/Community and Project Area. May copy from CDBG Application and/or include CDBG Application in the Exhibits section of the RFP, if the Application has been prepared and/or submitted. May include Location of Project and/or Type of Population on which it will focus, if not a Community-Wide Plan/Study/Assessment or Other Type of Project. For a Plan/Study/Assessment or Other Type of Project that is for a Specific Site/Location or Area, enter Location Address(es) and/or Description of Geographic Area (e.g., coordinates, land plots, characteristics/features, census tracts, etc. as applicable) that will be the Focus of the Plan/Study/Assessment or Other Type of Project. For a Plan/Study/Assessment or Other Type of Project that is for a Specific Population, enter the Population Description for the Geographic Area in which the Population resides (using demographic data from local records, U.S. Census, etc.). Otherwise, indicate the Project will be a community-wide Plan/Study/Assessment or Other Project Type] in the [Municipality Name] and enter a Description of the Community-Wide Geographic Area.]

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

Project Background:

[Enter Background Information on Purpose of and Need for Project. May copy from CDBG Application and/or include CDBG Application in the Exhibits section of the RFP, if the Application has been prepared and/or submitted.]

Background information materials and a Project Area/Service Area Map for the proposed [Name of Project] Project location are provided in Exhibit I attachments.

[Type of Services/Activities, e.g., Planning] Services

Refer to the project background. The selected person(s)/firm(s) will conduct activities for and complete a [Type of Project], including the following:

[Enter Expected Tasks, Responsibilities, Outcomes, Etc. – Examples for CDBG-PLNG Project Planning Activities are Shown Below:

- Establishing a work plan and budget for the Project
- Conducting the [Planning/Study/Assessment]
- Soliciting resident and public input
- Coordinating meetings for the Project, including a kick-off meeting; community member/public and stakeholder meetings; regular progress meetings with the [Municipality Name] [Municipality Governing Body Name]; and a final presentation meeting
- Communicating on an ongoing and periodic basis with residents, constituents and other stakeholders during the Project
- Regularly interfacing with members of the [Municipality Governing Body Name] and [Municipality Name] staff concerning approaches and tasks through the Project, through meetings, telephone calls and emails
- Maintaining hardcopy and/or electronic copies of all records, data collected, maps, photos, analyses, and documentation generated for the Project; providing them to the [Municipality Name] as requested during and upon completion of the Project
- Developing and providing to the [Municipality Name] a formal typed report, which includes an Executive Summary and full reporting of the [Plan/Study/Assessment] process and findings/recommendations
- Presenting the findings and recommendations from the [Plan/Study/Assessment] (in a Microsoft PowerPoint presentation) to the public at a scheduled meeting of the [Municipality Name] [Municipality Governing Body Name]
- Providing [#] of copies of the final report to the [Municipality Name]
- Complying with CDBG regulations and policies applicable to the Project.

The final [Plan or Study/Assessment Report] must be completed [Enter # of Months or Specific Target Completion Date] of the Planning contract award date.]

[Type of Services/Activities, e.g., Grant Administration] Services

The selected person(s)/firm(s) will serve as and perform the functions of the [Enter Role, e.g. Grant Administrator] for a Community Development Block Grant award [ADD "(contingent upon award)" if the CDBG Award has not yet been made to the UGLG], including the following:

[Enter Expected Tasks, Responsibilities, Outcomes, Etc. – Examples for Grant Administration Services are Below:

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

- Preparing and submitting CDBG contract and amendment documents, as applicable
- Managing the CDBG Project records
- Preparing and submitting applicable Environmental Record documents for the CDBG Project
- Coordinating Citizen Participation meeting(s) and maintaining and submitting required records for Citizen Participation for the CDBG Project
- Completing compliance activities for CDBG Project acquisition/relocation compliance as applicable [Not Applicable for some CDBG projects, e.g., CDBG-PLNG – Do Not Include if N/A]
- Completing compliance activities for CDBG Project federal labor standards as applicable [Not Applicable for some CDBG projects, e.g., CDBG-PLNG, CDBG-CLOSE Public Services, etc. – Do Not Include if N/A]
- Preparing and submitting CDBG reporting documents for the CDBG Project, including but may not be limited to Semi-Annual Reports, Single Audit Statements, Section 3 Reports, Equal Opportunity/Minority Business Enterprise/Women Business Enterprise (MBE/WBE) Reports, Labor Standards Reports [include only if applicable].
- Preparing and submitting CDBG monitoring documents and responding to monitoring requirements as applicable for the CDBG Project.
- Managing financial records for the CDBG Project and preparing and submitting CDBG requests for payment and related required documentation.
- Attending and participating in [Municipality Name] [Municipality Governing Body Name] meetings as necessary for the CDBG Project.
- Preparing and submitting the CDBG Project Completion Report and supporting documents.
- Complying with CDBG regulations and policies applicable to the Project.

All work to be undertaken as part of this proposed program must be undertaken in accordance with the Federal Code of Federal Regulations, including but not limited to 24 CFR, Part 570 and 24 CFR, Part 58; and other applicable State and Federal requirements. Federal requirements for CDBG projects regarding Conflicts of Interest, Lobbying, and Section 3 [SUGGESTION: ADD FOR GRANT ADMINISTRATION OF CONSTRUCTION PROJECTS (For Informational Purposes): Affirmative Action, Equal Opportunity, Minority Business Enterprise/Woman Business Enterprise (MBE/WBE), Federal Labor Standards Provisions, and Davis-Bacon and Related Acts (DBRA)] are provided in Exhibit II attachments included with this RFP. [Consider also adding for a construction project if applicable: "The project may also include Acquisition and Relocation activities, which are subject to the Uniform Relocation Assistance and Real Property Acquisition Act (URA)," if the Grant Administrator will be handling any Acquisition or Relocation activities.] Applicable requirements must be met by the selected entity for this RFP, and any entities awarded a contract or subcontract for the CDBG Project.]

Proposal Requirements

TEMPLATE

Directions for Submittal

Proposals must be received at the [Municipal Building Name, e.g., Village Hall]. Direct submittals to [Contact Person Name], [Contact Person Title], [Municipality Name], labeled "ATTN: [Name of Project] [Type of CDBG Project, e.g. Planning, Public Facilities, etc.] Project RFP Review Committee", [Mailing Address]; or via email to [Email Address], with the Subject of "ATTN: [Name of Project] [Type of CDBG Project, e.g. Planning, Public Facilities, etc.] Project RFP Review Committee", no later than [Time] on [Day], [Deadline Date]. The [Municipality Name] reserves the right to reject any and all Proposals not meeting the requirements of this Request for Proposals for consulting services.

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

Persons requesting ADA assistance accommodations for hearing and speech impaired may contact [Contact Person Name], [Contact Person Title] at [Contact Phone Number] or [Contact Email Address].

Individuals/firms interested in being considered for this project must submit a proposal detailing qualifications, technical expertise, management and staff capabilities, related prior experience, and a detailed cost estimate for the Scope of Services described above. The objective of the competitive process is to objectively select the firm that will provide high-quality, efficient, and cost-effective services. The selected person(s)/firm(s) will be invited to contract with the [Municipality Name] for consulting services.

Exhibit III, attached to this RFP, represents the qualifications sought for the [Type of Services, e.g., Planning, Grant Administration, etc.] consulting services. These criteria have been established to assure the Community of professional expertise with adequate experience and capacity to ensure successful completion of the proposed project within the allocated time constraints.

Exhibit IV, attached hereto, is a Rating System that will be utilized for selection of the consultant. This rating system will be employed by the community in determining which proposal best meets the needs as outlined in this RFP.

TEMPLATE

Proposal Contents

[List Proposal Contents Required – Examples Based on Contents of This Template Are Listed Below:

1. Cover Letter.
2. Project scope statement describing the work to be undertaken, include the services outlined in the RFP, and any modifications or expansion of the scope provided in order to deliver the [Type of Services, e.g., Planning, Grant Administration, etc.] consulting services.
3. Project work plan indicating mechanisms proposed to coordinate the work effort with the [Municipality Name].
4. Project coordination plan indicating mechanisms proposed to coordinate the work effort with the [Municipality Name].
5. Proposer's profile and a clear concise statement with:
 - a. Examples indicating past performance and familiarity with the type of work detailed in the RFP
 - b. Examples of implementation of the Proposer's work/services in other communities and noted successes
 - c. A list of client references for which Proposer provided similar services as described in the RFP.
6. Project team statement indicating the professional and technical qualifications of the key persons who will be assigned to the project and their responsibilities within the Scope of Services. Resumes for key personnel should be included in the proposal appendices.
7. Project budget with estimated level of effort for each member of the team and for each major task.
8. Fee schedule for personnel involved with the project.
9. Copy of professional services agreement.]

Proposal Format

[Enter Proposal Format Required – Example Based on Content of this RFP Template is Shown Below:

The proposal must be submitted in typed format with the items to be included in the proposal placed in the same order as described in above. The proposal must be signed by the submitter or authorized

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

representative and dated. The pages of the proposal must be numbered in consecutive order and should not exceed the maximum sheet size of 8.5" x 11." The name, mailing address, phone number and email address of the Proposer should be placed in the upper left corner on the cover page of the Proposal.]

Selection Process Schedule

The [Municipality Name] anticipates authorizing a contract for this work in [Month and Year] with a notice to proceed no later than [Month and Year]. The scope of services will take place over [Number of Months]-month period. The [Municipality Name]'s goal is to have the [Name of Project] [CDBG Project Type, e.g., Planning, Public Facilities, etc.] project completed no later than [Project Completion Project Deadline Date]. Responding persons/firms should comment on the above schedule as part of their proposal and state how realistic it is to achieve substantial completion of the work by [Deadline Date].

Other Conditions of Proposal Submittal

1. Only one proposal will be accepted from any person, firm or entity.
2. No proposal will be accepted from any person, firm or entity that is in arrears for any obligation to the [Municipality Name], is debarred from contracting for federally funded projects, or that otherwise may be deemed irresponsible or unresponsive by the [Municipality Name] [Governing Body Name] or [Municipality Name] staff.
3. All Proposals submitted become public information and may be reviewed by anyone requesting to do so at the conclusion of the evaluation process.
4. Requirements and conditions of employment and contracting to be observed for compliance with Conflict of Interest, Lobbying, and Section 3 [SUGGESTION: ADD FOR CONSTRUCTION PROJECTS ONLY (for informational purposes to inform the Grant Administrator of regulations that will apply to the construction contractors of the project): Affirmative Action, Equal Opportunity, Minority-Business Enterprise/Women Business Enterprise (MBE/WBE), Federal Labor Standards, and Davis-Bacon and Related Acts (DBRA)] regulations apply to this project. Refer to Exhibit II attachments for the CDBG Project requirements.

Evaluation and Selection

Final selection of the planning and grant administration provider will be based upon the maximum total points scored as set forth in the Rating System in Exhibit IV.

The [Municipality Name] reserves the right to negotiate a contract with the services provider selected to perform the professional services required.

The [Municipality Name], [County Name] County, Wisconsin reserves the right to reject any and all responses submitted. If you have any questions regarding this Request for Proposals, please contact:

[Contact Person Name]
[Contact Person Title]
[Contact Email Address]
[Contact Phone Number]

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

EXHIBIT I

Project Background and Project Area/Service Area Maps

REFER TO ATTACHMENTS FOR:

PROJECT BACKGROUND DOCUMENTS
PROJECT AREA / SERVICE AREA MAPS

[ADD APPLICABLE ATTACHMENTS]

TEMPLATE

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

EXHIBIT II

State and Federal Regulatory Requirements for CDBG-Assisted Projects

REFER TO EXHIBIT II ATTACHMENTS FOR:

LIST AND ADD APPLICABLE ATTACHMENTS TO THIS RFP EXHIBIT; OR SIMPLY LIST AND REFER APPLICANTS TO THE WEBSITE LINK BELOW FOR THE APPLICABLE ATTACHMENTS.

1. **POTENTIAL CONFLICT OF INTEREST DISCLOSURE** [INCLUDE DISCLOSURE FORM – EXAMPLE THAT MAY BE MODIFIED/CUSTOMIZED IS ATTACHMENT 3-B IN CDBG IMP. HANDBOOK]
2. **CONFLICT OF INTEREST CLAUSE** [INSERT FROM ATTACHMENT 3-C IN CDBG IMP. HANDBOOK]
3. **LOBBYING CERTIFICATION** [INSERT FROM ATTACHMENT 3-D IN CDBG IMP. HANDBOOK]
4. **DISCLOSURE OF LOBBYING ACTIVITIES** [INSERT FROM ATTACHMENT 3-E IN CDBG IMP. HANDBOOK]
5. **SECTION 3 CLAUSE** [INSERT FROM ATTACHMENT 6-B IN CDBG IMP. HANDBOOK]
6. **AFFIRMATIVE ACTION CLAUSE** *[FOR CONSTRUCTION PROJECTS ONLY; INSERT FROM ATTACHMENT 6-C IN CDBG IMP. HANDBOOK]
7. **EQUAL OPPORTUNITY CLAUSE** [FOR CONSTRUCTION PROJECTS ONLY; INSERT FROM ATTACHMENT 6-D IN CDBG IMP. HANDBOOK]
8. **MINORITY BUSINESS ENTERPRISE/WOMAN BUSINESS ENTERPRISE WEB RESOURCES** *[FOR CONSTRUCTION PROJECTS ONLY; INSERT FROM ATTACHMENT 7-R IN CDBG IMP. HANDBOOK]
9. **DAVIS-BACON AND RELATED ACTS CLAUSE** *[FOR CONSTRUCTION PROJECTS ONLY; INSERT FROM ATTACHMENT 7-B IN CDBG IMP. HANDBOOK]
10. **FEDERAL LABOR STANDARDS PROVISIONS** *[FOR CONSTRUCTION PROJECTS ONLY; INSERT FROM ATTACHMENT 7-G IN CDBG IMP. HANDBOOK]

***THE LANGUAGE/ATTACHMENTS LISTED AS "FOR CONSTRUCTION PROJECTS ONLY" ARE SUGGESTED FOR INFORMATIONAL PURPOSES, INFORMING THE GRANT ADMINISTRATOR OF THE REGULATIONS THAT WILL OR MAY BE APPLICABLE TO THE CONSTRUCTION ACTIVITIES FOR THE PROJECT. THE CONSTRUCTION PROJECT-ONLY ATTACHMENTS/LANGUAGE INSERTS ARE NOT REQUIRED FOR PROFESSIONAL SERVICES CONTRACTING BUT THE GRANT ADMINISTRATOR MAY HAVE RESPONSIBILITIES FOR HELPING ENSURE THE UGLG'S COMPLIANCE TO THESE REGULATIONS FOR A CDBG PROJECT INVOLVING CONSTRUCTION.**

THE CDBG ATTACHMENTS LISTED ABOVE [ENTER "ARE FROM" IF ATTACHED, OR ENTER "MAY BE OBTAINED FROM" IF THEY ARE NOT ATTACHED AND NEED TO BE OBTAINED BY THE PROPOSER] THE CDBG IMPLEMENTATION HANDBOOK AND HANDBOOK CHAPTER ATTACHMENTS ON THE BUREAU OF COMMUNITY DEVELOPMENT WEBSITE AT:
<https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

EXHIBIT III

Minimum Qualifications

- A. The person(s)/firm(s) must have successfully provided [Types of Services, e.g., Planning, Grant Administration, etc.] services for a minimum of [# of Projects, e.g., 1-5 is typical] similar type projects. The person/firm may not be selected if there have been any unresolved issues relative to the services provided.
- B. The principal responsible for coordination of the [Types of Services, e.g., Planning, Grant Administration, etc.] must have a minimum [# of Years, e.g., 1-5 is typical] years of experience with this specific type of work.
- C. The principal responsible for provided [Types of Services, e.g., Planning, Grant Administration, etc.] must have a minimum of [# of Years, e.g., 1-5 is typical] years of experience with the CDBG Program or other federal/state funded programs or projects.
- D. The person(s)/firm(s) must submit references as to their professional qualifications from a minimum of [# of Clients, e.g., 2-3 is typical] previous clients for which the person(s)/firm(s) has/have performed work (include contact name, title, firm/organization/government name, email address, mailing address and telephone number).

TEMPLATE

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

EXHIBIT IV Selection Rating System

[Scoring Criteria and Assigned Points May Be Modified and Adjusted to Meet UGLG's Needs and Preferences. Points for MBE/WBE/DBE and Section 3/LMI firms is strongly recommended to meet equal opportunity, MBE/WBE and Section 3 outreach efforts requirements for the CDBG Program. The Example below represents scoring when the highest score for years of experience and # of projects experience are set at 3 years/3 projects - scoring levels should match criteria noted in Exhibit III.]

TEMPLATE

- | | |
|---|--------------------------|
| 1. Project Coordinator/Lead's Experience | <u>Maximum 20 Points</u> |
| A. 3 or more years experience with CDBG or other federal/state programs | 20 Points |
| B. 2 years experience | 15 Points |
| C. 1 years experience | 10 Points |
| D. Less than 1 year experience | 5 Points |
| E. No experience | 0 Points |
| 2. Firm's Project Completion Background | <u>Maximum 20 Points</u> |
| A. Completion of 3 or more previous, similar type projects within proposed time frame & budget | 20 Points |
| B. Completion of 2 similar projects | 15 Points |
| C. Completion of 1 similar project | 10 Points |
| D. Working on 1 similar project; not completed | 5 Points |
| E. No work on a similar project | 0 Points |
| 3. References from Similar Projects | <u>Maximum 20 Points</u> |
| A. Respondent lists 3 previous clients with similar projects and all references give excellent response on quality of service | 20 Points |
| B. Respondent lists 2 previous clients | 15 Points |
| C. Respondent lists 1 previous client | 10 Points |
| D. Respondent lists no previous references | 0 Points |
| 4. Firm's Familiarity with Community's Needs | <u>Maximum 10 Points</u> |
| A. Firm is thoroughly familiar with community(ies) with similar population and characteristics to [Municipality Name] | 10 Points |
| B. Firm is somewhat familiar with community(ies) with similar population and characteristics to [Municipality Name] | 5 Points |
| C. Firm is unfamiliar with community(ies) with similar population and characteristics to [Municipality Name] | 0 Points |
| 5. Responsiveness to Specifications of Project/RFP | <u>Maximum 20 Points</u> |
| A. Needs of project are fully addressed in Proposal | 20 Points |
| B. Needs of project are somewhat addressed in Proposal | 10 Points |
| C. Needs of project are not addressed/resolved in Proposal | 0 Points |

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

- | | |
|---|--------------------------|
| 6. Cost Effectiveness | <u>Maximum 10 Points</u> |
| A. Budget/proposal includes 3 or more cost effectiveness Components | 10 Points |
| B. Budget/proposal includes 1-2 cost effectiveness components | 5 Points |
| C. Budget/proposal does not include cost effectiveness components | 0 Points |
| 7. Budget | <u>Maximum 10 Points</u> |
| A. Budget within [Municipality Name]'s capacity as proposed | 10 Points |
| B. Budget slightly above [Municipality Name]'s capacity as proposed; potentially feasible with modest adjustment | 5 Points |
| C. Budget not reasonably within [Municipality Name]'s capacity as proposed; would require extensive adjustment to be feasible | 0 Points |
| 8. Minority or Women Business Enterprise, Disadvantaged Business Enterprise, or Section 3/LMI Firm* | <u>Maximum 5 Points</u> |
| A. Firm is MBE, WBE, DBE or Section 3/LMI firm | 5 Points |
| B. Firm is not MBE, WBE, DBE or Section 3/LMI firm | 0 Points |
| 9. Small Business Firm | <u>Maximum 5 Points</u> |
| A. Firm is a small business | 5 Points |
| B. Firm is not a small business | 0 Points |

MAXIMUM TOTAL POINTS: [# of Points; e.g. 120 using criteria in this template] POINTS

Note to Responders of RFP:

Proposal submittals are to be organized to address the submittal specifications listed in the RFP and the evaluation criteria listed above.

**MBE/WBE/DBE and Section 3/LMI Firms are Defined As Follows:*

Minority Business Enterprise (MBE) – Business with at least 51% ownership and control held by minority person(s).

Woman Business Enterprise (WBE) – Business with at least 51% ownership and control held by a woman or women.

Disadvantaged Business Enterprise (MBE) – Small business with at least 51% ownership and control held by person(s) classified as "disadvantaged" individual(s) according to the Wisconsin Department of Transportation standards (<https://wisconsin.gov/Documents/doing-bus/civil-rights/dbe/dbe-program-brochure.pdf>)

Section 3/LMI Firm – Firm with at least 51% ownership interest and control held by low-to-moderate income (LMI) Wisconsin resident(s) (LMI according to HUD LMI limits for the County in which the owner resides); or at least 30% of the firm's full-time permanent employees are Wisconsin LMI residents (LMI based on the HUD LMI income limits for the County in which they live); or the owner(s) of the firm commit(s) to awarding at least 25% of its subcontracting dollar amount (i.e., 25% of subcontracting, based on the total amount of subcontracts awarded) to Section 3/LMI firms for the CDBG project.

TEMPLATE

ATTACHMENT 3-G: REQUEST FOR PROPOSALS (RFP) TEMPLATE

**[TYPE OF SERVICES, e.g., PLANNING, GRANT ADMINISTRATION, etc.] SERVICES
PROVIDER SELECTION CERTIFICATION
BY [MUNICIPALITY NAME]**

[NAME OF PROJECT] PROJECT
[Municipality Name]
[County Name] County, Wisconsin

TEMPLATE

TOTAL POINTS

[Scoring Criteria May Be Modified and Adjusted to Meet UGLG's Needs and Preferences.]

CRITERIA		POINTS AWARDED			
		[Proposer/ Firm Name]	[Proposer/ Firm Name]	[Proposer/ Firm Name]	[Proposer/ Firm Name]
1.	Project Coordinator's/Lead Person's Experience				
2.	Firm's Project Completion Background				
3.	References from Similar Projects				
4.	Firm's Familiarity with Community's Needs				
5.	Responsiveness to Project/RFP Specifications				
6.	Cost Effectiveness				
7.	Budget				
8.	MBE/WBE/DBE or Section 3/LMI Firm				
9.	Small Business Firm				
TOTAL POINTS:					

Signed Upon Completion of Proposal Review and Selection:

Certification: I hereby certify that the [Municipality Name], [County Name] County, Wisconsin selection committee reviewed all proposals from eligible responders/submitters of proposals. The proposals were evaluated and ranked based on the information provided in the proposal documents and the criteria set forth above.

Date _____

[Typed Chief Elected Official Name], [Typed Chief Elected Official Title]
[Municipality Name]

[Have CEO Sign and Date This Document in the Spaces Provided Above]

[Click on the Table of Contents at the start of this RFP document to "Update Fields" when finished with customizing the document for the UGLG's project.]

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

An editable version of this RFQ Template is available on the CDBG Implementation Handbook website under the “Chapter Attachments/Fillable Forms” section at:

<https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

This Request for Qualifications (RFQ) template serves as one example for applicants and grantees to utilize in developing their own RFQ for procuring Architectural and Engineering professional services only. This template was developed through drawing upon ‘best practices’ from various entities’ RFQs. It may be adapted to fit the Unit of General Local Government’s (UGLG’s) needs and local procurement and contracting policy specifications.

This template includes the required and recommended CDBG language and Attachments for professional services contracts (refer to Exhibit II), including additional suggested language that the UGLG may consider including for informational purposes if the Architect/Engineer will be managing a project involving construction oversight, which may be subject to additional regulatory requirements regarding Affirmative Action, Equal Opportunity, Minority Business Enterprise/Woman Business Enterprise (MBE/WBE), Federal Labor Standards Provisions, Davis-Bacon and Related Acts (DBRA), and the Uniform Relocation Assistance and Real Property Acquisition Act (URA).

The project description, work scope/scope of services and deliverables, qualification statement requirements and content, RFQ submittal and project deadlines, minimum qualifications and scoring criteria are all determined by the UGLG, and not specified by the CDBG Program. Note that CDBG Projects involving construction must be completed within two construction seasons after a CDBG Award – refer the specific CDBG Program’s Application materials for additional project deadlines and criteria.

This RFQ template may be adapted to meet the needs of the local government accordingly.

DELETE the “Template” headers, all yellow highlighting and red text (which denote fields to be customized by the UGLG and instruction/guidance for the UGLG in customizing the content) throughout this template, when customizing the document for the UGLG’s project.

Notes Regarding Competitive Procurement Requirements:

A competitive procurement process, such as using a Request of Qualifications (RFQ) or Request for Proposals (RFP) process for Architectural and Engineering Services, is required when using CDBG funding to cover all or part of these professional services costs (refer to Chapter 3 of the CDBG Implementation Handbook for exceptions). Making the RFQ publicly available is not required – it may be sent to specific firms (a minimum of 3 firms); whereas making an RFP publicly available is required (refer to Chapter 3 of the Implementation Handbook for additional differences between the RFQ and RFP processes and requirements). The UGLG only needs to follow and comply with its local procurement/contracting policy(ies) when securing professional services that will not be paid with CDBG (or CDBG CLOSE) funding.

Architectural and Engineering Services must be procured and contracted separately from Grant Administration, Planning, and other professional services. The RFQ procurement process is not permissible for selecting a firm for grant administration or planning services for a CDBG project.

The solicitation of Architectural and Engineering Design services for the pre-construction phase and Architectural and Engineering services for the construction phase of a CDBG project may be carried out using one procurement process (using the RFQ or RFP process), or procured through separate procurement processes.

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

Refer to Chapter 3: Procurement & Contracting in the [CDBG Implementation Handbook](#) for additional requirements and guidance regarding professional services procurement and contracting.

TEMPLATE

**ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ)
TEMPLATE**

[Municipality Name]

[County Name] County, Wisconsin

REQUEST FOR QUALIFICATIONS (RFQ)

For

**[Type of Services, e.g., Architectural and/or
Engineering] Services**

[Name of Project]

A Community Development Block Grant

**[CDBG Program, e.g., Public Facilities (CDBG-PF);
CLOSE Public Facilities (CL-PF); etc.] Project**

[Date]

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

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TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

Invitation to Submit Qualifications

Introduction

The [Municipality Name], [County Name] County, Wisconsin, and/or its designated representative is seeking Statement of Qualifications submissions for [Type of Services, e.g., architectural and/or engineering] services for the [Municipality Name] [Project Title/Type, e.g., Washington Street Water & Sewer Upgrades] Project.

Minimum requirements include previous experience in [Type of Experience, e.g., engineering design and construction management, etc.] on CDBG or similar state and/or federally funded projects.

Contact Information

Please contact [Contact Person's Name], [Contact Person's Title], between the hours of [Office Hours], [Days of Week, e.g., Monday-Friday] at [Contact Phone Number] or [Contact Email Address] to request additional information for this RFQ, as needed.

The [Municipality Name] makes no representations as to the conditions of the project other than those representations made herein, and no employee or any other representative of the [Municipality Name] has the authority to make any oral or written representations as to the conditions of the project. Persons/firms should only contact the person designated above regarding this RFQ and should not contact the [Municipality Type] [Chief Elected Official (CEO) Title], any [Municipality Type] [Municipality Governing Body Name, e.g. Tow/Village/County Board, City Council, etc.] members, any committee members, or any other [Municipality Name] staff for clarification on this RFQ.

Submission Instructions and Deadline

Qualifications must be received at [Location Name, e.g. Village Hall], [Location Address], [City], WI [Zip] or via email to [Email Address] no later than [Time] on [Day], [Date]. The [Municipality Name] reserves the right to reject any and all Qualifications not meeting the requirements of this Request for Qualifications for [Type of Services being Solicited, e.g., architectural and/or engineering]. Any response not meeting the minimum requirements for qualifications as outlined in this request may be rejected.

ADA assistance accommodations for hearing and speech impaired:

Contact [Contact Person's Name], [Contact Person's Title], at [Contact Phone #] or [Contact Email Address].

Other Conditions of Qualifications Submittal

1. No submission will be accepted from any person, firm or entity that is in arrears for any obligation to the [Municipality Name], is debarred from contracting for federally funded

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

projects, or that otherwise may be deemed irresponsible or unresponsive by the [Municipality Name] [Municipality Governing Body Name, e.g. Yourville Village Board] or by [Municipality Name] staff.

2. All Qualifications submissions become public information and may be reviewed by anyone requesting to do so in writing at the conclusion of the evaluation process.
3. Requirements and conditions of employment and contracting to be observed for compliance with Conflict of Interest, Lobbying, and Section 3 [SUGGESTION: ADD for informational purposes to inform the Engineer of regulations that will apply to the construction contractors of the project: Affirmative Action, Equal Opportunity, Minority-Business Enterprise/Women Business Enterprise (MBE/WBE), Federal Labor Standards, and Davis-Bacon and Related Acts (DBRA)] regulations apply to this project.

Refer to Exhibit II attachments for the CDBG Project requirements.

Scope of Services & Deliverables

TEMPLATE

The [Municipality Name], [County Name] County, Wisconsin is applying for federal funding from the Community Development Block Grant (CDBG) Program for the [Project Title] [Project Type, e.g., Public Facilities] Project.

[Enter Description of Municipality/Community. Example provided below:

The focus of the [project type, e.g. public facilities] construction project is to [Project Description/Scope of Work; example: update the existing the water and sewer mains/systems and reconstruct street on Washington Street from 1st Avenue to 7th Avenue in the Town of Yourville in Brown County, Wisconsin.] The location includes and involves [Project Location(s); e.g., residential housing units and 1 commercial building on Washington Street from 1st Avenue to 7th Avenue in Yourville, Wisconsin].

The area includes approximately [# of Residents] residents, and [# Buildings impacted, e.g., 10 single family homes, 2 apartment buildings (a 32-unit and a 12-unit building) and 1 public building (post office)].

Engineering Services for this CDBG [Project Type, e.g., Public Facilities (PF)] project is to include completing the [Types of Services and Summary of General Activities, e.g., engineering design and overseeing and administering the construction phase, while ensuring CDBG program requirements pertinent to the engineering and construction activities of the project are met].

Background information materials and project area/service area maps for the proposed [Project Location] location are provided in Exhibit I attachments.

[Type of Service, e.g. Engineering] services will include:

[Enter Description of Services. Example for Engineering is provided below:

Engineering Design, Inspection and Construction Contract Administration/Oversight

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

[List Responsibilities – Examples Shown Below]

1. Design and prepare cost estimates for the development of [Project Type], including:
[List Scope]

Background information documentation is provided in Exhibit I attachments, including [List information provided in Exhibit I attachments, e.g., age of current facilities, additional area/project area maps, previous studies/feasibility reviews if applicable, past water/sewer/street grade testing and results data, etc.].

2. Construction drawings, specifications, plans, permits, etc. as well as bid procedures and recommendations of a construction contractor.
3. Construction observation of the infrastructure improvements after contract award.

The engineer will be required to provide professional services, which will include: [List services, e.g., review of environmental assessment materials required for state and federal environmental regulatory compliance; preparation of permit applications; preparation of bidding plans and documents; preparation of contract documents, construction contract administration, construction observation, etc.]

Final plans, specifications and bid documents will be completed within [# of Days, e.g., 30 days] of the Notice to Proceed. Procurement of said services shall be in accordance with State and Federal regulations applicable to CDBG Projects. Engineers interested in being considered for this project must submit Statement of Qualifications materials detailing qualifications, technical expertise, management and staff capabilities, and related prior experience. The objective of the competitive process is to objectively select the firm that will provide the highest quality of service. [If interviews will be conducted, ADD: Selected respondents will be interviewed.] The firm judged most qualified will be asked to prepare a final proposal which would include fees for said services.

All work to be undertaken as part of this proposed program must be undertaken in accordance with the Federal Code of Federal Regulations, including but not limited to 24 CFR, Part 570 and 24 CFR, Part 58; and other applicable State and Federal requirements. Federal requirements for CDBG projects regarding Conflict of Interest, Lobbying, Federal Labor Standards Provisions (4010), Davis-Bacon and Related Acts, Equal Opportunity/EO 11246, Minority Business Enterprise/Women Business Enterprise (MBE-WBE) and Section 3 are provided in Exhibit II attachments included with this RFQ. The project may also include Acquisition and Relocation activities, which are subject to the Uniform Relocation Assistance and Real Property Acquisition Act (URA). Applicable requirements must be met by the selected entity for this RFQ, and any entities awarded a contract or subcontract for the CDBG Project.

Evaluation & Selection

TEMPLATE

Exhibit III, attached to this RFQ, represents the qualifications sought for the consulting [Type of Professional, e.g., architect and/or engineer]. These minimum qualifications have been established to assure the [Municipality Name] of professional expertise with adequate experience to assure successful completion of the proposed project within the allocated time constraints.

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

Exhibit IV, attached hereto, is a rating system that will be utilized for selection of the consulting [Type of Professional, e.g., architect and/or engineer]. This rating system will be employed by the community in determining which Statement of Qualifications submission best meets the needs as outlined in this RFQ.

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

EXHIBIT I

Project Background and Project Area/Service Area Maps

REFER TO ATTACHMENTS FOR:

**PROJECT BACKGROUND DOCUMENTS
PROJECT AREA / SERVICE AREA MAPS**

[ADD APPLICABLE ATTACHMENTS]

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

EXHIBIT II

State and Federal Regulatory Requirements for CDBG-Assisted Projects

REFER TO EXHIBIT II ATTACHMENTS FOR:

LIST AND ADD APPLICABLE ATTACHMENTS TO THIS RFQ EXHIBIT; OR SIMPLY LIST AND REFER APPLICANTS TO THE WEBSITE LINK BELOW FOR THE APPLICABLE ATTACHMENTS.

1. POTENTIAL CONFLICT OF INTEREST DISCLOSURE [INCLUDE DISCLOSURE FORM – EXAMPLE THAT MAY BE MODIFIED/CUSTOMIZED IS ATTACHMENT 3-B IN CDBG IMP. HANDBOOK]
2. CONFLICT OF INTEREST CLAUSE [INSERT FROM ATTACHMENT 3-C IN CDBG IMP. HANDBOOK]
3. LOBBYING CERTIFICATION [INSERT FROM ATTACHMENT 3-D IN CDBG IMP. HANDBOOK]
4. DISCLOSURE OF LOBBYING ACTIVITIES [INSERT FROM ATTACHMENT 3-E IN CDBG IMP. HANDBOOK]
5. SECTION 3 CLAUSE [INSERT FROM ATTACHMENT 6-B IN CDBG IMP. HANDBOOK]
6. AFFIRMATIVE ACTION CLAUSE *[INSERT FROM ATTACHMENT 6-C IN CDBG IMP. HANDBOOK]
7. EQUAL OPPORTUNITY CLAUSE *[INSERT FROM ATTACHMENT 6-D IN CDBG IMP. HANDBOOK]
8. MINORITY BUSINESS ENTERPRISE/WOMAN BUSINESS ENTERPRISE WEB RESOURCES *[INSERT FROM ATTACHMENT 7-R IN CDBG IMP. HANDBOOK]
9. DAVIS-BACON AND RELATED ACTS CLAUSE *[INSERT FROM ATTACHMENT 7-B IN CDBG IMP. HANDBOOK]
10. FEDERAL LABOR STANDARDS PROVISIONS *[INSERT FROM ATTACHMENT 7-G IN CDBG IMP. HANDBOOK]

*THE LANGUAGE/ATTACHMENTS LISTED WITH AN *ASTERISK ARE SUGGESTED FOR INFORMATIONAL PURPOSES, INFORMING THE ARCHITECT/ENGINEER OF THE REGULATIONS THAT WILL OR MAY BE APPLICABLE TO THE CONSTRUCTION ACTIVITIES FOR THE PROJECT. THESE ATTACHMENTS/LANGUAGE INSERTS ARE NOT REQUIRED FOR PROFESSIONAL SERVICES CONTRACTING BUT THE ARCHITECT/ENGINEER MAY HAVE RESPONSIBILITIES FOR HELPING ENSURE THE UGLG'S COMPLIANCE TO THESE REGULATIONS FOR THE CDBG PROJECT.

THE CDBG ATTACHMENTS LISTED ABOVE [ENTER "ARE FROM" IF ATTACHED, OR ENTER "MAY BE OBTAINED FROM" IF THEY ARE NOT ATTACHED AND NEED TO BE OBTAINED BY THE PROPOSER] THE CDBG IMPLEMENTATION HANDBOOK AND HANDBOOK CHAPTER ATTACHMENTS ON THE BUREAU OF COMMUNITY DEVELOPMENT WEBSITE AT:

<https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

EXHIBIT III

Minimum Qualifications

- I. Consulting [Type of Professional, e.g., Architect and/or Engineer] Minimum Qualifications
 - A. The project [Type of Professional, e.g., architect and/or engineer] is responsible for project coordination must have a minimum of [# of Years, e.g., 1-5 is typical] years of experience with the CDBG Program or other federal/state programs.
 - B. The engineering firm must have successfully provided [Type of Professional, e.g., architect and/or engineer] services for a minimum of [# of Projects, e.g., 1-5 is typical] similar type projects. The [Type of Firm, e.g., architectural and/or engineering] firm will not be accepted if there have been any unresolved audit exceptions relative to engineering services.
 - C. The engineering firm must submit references as to the firm's professional qualifications from a minimum of [# of Clients, e.g., 2 or 3 is typical] previous clients for which the engineering firm has performed work (include address and telephone number).
- II. Format for Professional Qualifications

Technical qualifications for the consulting [Type of Professional, e.g., architect and/or engineer] shall as a minimum include the following:

 - A. The criteria and design approach to be used in the performance of required work.
 - B. The personnel to be assigned to the project and resumes of qualifications and experience.
 - C. The [Type of Professional, e.g., architect and/or engineer]'s experience in the development, design and construction of similar projects.
- III. Final Selection

Final selection of the [Type of Professional, e.g., architect and/or engineer] will be based upon the maximum total points scored as set forth in the rating system in Exhibit IV.

The [Municipality Name] reserves the right to negotiate a contract with the [Type of Professional, e.g., architect and/or engineer] deemed the most qualified to perform the professional services required.

Statement of Qualifications materials must be submitted in accordance with the instructions and terms specified in this RFQ for full consideration.

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

EXHIBIT IV

Selection Rating System

[Scoring Criteria and Assigned Points May Be Modified and Adjusted to Meet UGLG's Needs and Preferences. Points for MBE/WBE/DBE and Section 3/LMI firms is strongly recommended to meet equal opportunity, MBE/WBE and Section 3 outreach efforts requirements for the CDBG Program. The Example below represents scoring when the highest score for years of experience and # of projects experience are set at 3 years/3 projects – should match criteria noted in Exhibit III.]

- | | |
|---|--------------------------|
| 1. <u>Project Architect's/Engineer's Experience</u> | <u>Maximum 30 Points</u> |
| A. 3 or more years experience with CDBG or other federal/state programs | 30 Points |
| B. 2 years experience | 20 Points |
| C. 1 year experience | 10 Points |
| D. Less than 1 year experience | 5 Points |
| E. No experience | 0 Points |
| 2. <u>Firm's Project Completion Background</u> | <u>Maximum 20 Points</u> |
| A. Completion of 3 similar type projects within proposed time frame & budget | 20 Points |
| B. Completion of 2 similar projects | 15 Points |
| C. Completion of 1 similar project | 10 Points |
| D. Work on 1 similar project; not completed | 5 Points |
| E. No work on similar projects | 0 Points |
| 3. <u>References from Similar Projects</u> | <u>Maximum 20 Points</u> |
| A. Respondent lists 3 previous clients with similar projects and all references give excellent response on quality of service | 20 Points |
| B. Respondent lists 2 previous clients | 15 Points |
| C. Respondent lists 1 previous client | 10 Points |
| D. Respondent lists no previous references | 0 Points |
| 4. <u>Firm's Familiarity with Community's Needs</u> | <u>Maximum 20 Points</u> |
| A. Firm is thoroughly familiar with community(ies) of similar size and characteristics as [Municipality Name] | 20 Points |
| B. Firm is somewhat familiar with community(ies) of similar size and characteristics as [Municipality Name] | 10 Points |
| C. Firm is unfamiliar with community(ies) of similar size and characteristics as [Municipality Name] | 0 Points |
| 5. <u>Minority or Women Business Enterprise, Disadvantaged Business Enterprise or Section 3/LMI Firm*</u> | <u>Maximum 5 Points</u> |
| A. Firm is MBE, WBE, DBE or Section 3/LMI Firm | 5 Points |
| B. Firm is not MBE, WBE, DBE or Section 3/LMI Firm | 0 Points |

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

- | | |
|---------------------------------|-------------------------|
| 6. Small Business Firm | <u>Maximum 5 Points</u> |
| A. Firm is a small business | 5 Points |
| B. Firm is not a small business | 0 Points |

MAXIMUM TOTAL POINTS: [# of Points; e.g. 100 using criteria in this template] POINTS

Note to Responders of RFP:

Proposal submittals are to be organized to address the submittal specifications listed in the RFQ and the evaluation criteria listed above. Brochures and similar generalized background materials may be included but are not required.

**MBE/WBE/DBE and Section 3/LMI Firms are Defined As Follows:*

Minority Business Enterprise (MBE) – Business with at least 51% ownership and control held by minority person(s).

Woman Business Enterprise (WBE) – Business with at least 51% ownership and control held by a woman or women.

Disadvantaged Business Enterprise (MBE) – Small business with at least 51% ownership and control held by person(s) classified as "disadvantaged" individual(s) according to the Wisconsin Department of Transportation standards (<https://wisconsin.gov/Documents/doing-bus/civil-rights/dbe/dbe-program-brochure.pdf>)

Section 3/LMI Firm – Firm with at least 51% ownership interest and control held by low-to-moderate income (LMI) Wisconsin resident(s) (LMI according to HUD LMI limits for the County in which the owner resides); or at least 30% of the firm's full-time permanent employees are Wisconsin LMI residents (LMI based on the HUD LMI income limits for the County in which they live); or the owner(s) of the firm commit(s) to awarding at least 25% of its subcontracting dollar amount (i.e., 25% of subcontracting, based on the total amount of subcontracts awarded) to Section 3/LMI firms for the CDBG project.

TEMPLATE

ATTACHMENT 3-H: REQUEST FOR QUALIFICATIONS (RFQ) TEMPLATE

[TYPE OF SERVICES, E.G., ARCHITECTURAL AND/OR ENGINEERING]

SERVICES PROVIDER
SELECTION CERTIFICATION
BY [MUNICIPALITY NAME]

[Project Title/Type, e.g. Washington Street Water & Sewer Upgrades CDBG-Public Facilities (PF) Project]

[Municipality Name]

[County Name] County, Wisconsin

[Scoring Criteria May Be Modified and Adjusted to Meet UGLG's Needs and Preferences.]

TOTAL POINTS

CRITERIA		POINTS AWARDED			
		[Firm Name]	[Firm Name]	[Firm Name]	[Firm Name]
1.	[Architect or Engineer]'s Experience				
2.	Firm's Project Completion Background				
3.	References from Similar Projects				
4.	Firm's Familiarity with Community's Needs				
5.	MBE/WBE/DBE or Section 3/LMI Firm				
6.	Small Business Firm				
	TOTAL POINTS:				

TEMPLATE

Signed Upon Completion of Qualifications Review & Selection:

Certification: I hereby certify that the [Municipality Name], [County Name] County, Wisconsin reviewed the qualifications [ADD: "and held interviews held" if applicable] with the most qualified [firm or firms] that responded based on the information available. The selection committee evaluated and ranked all firms and persons that responded [ADD: "and interviewed" if applicable] based on the criteria set forth above.

Date _____

[Typed Chief Elected Official Name], [Typed Chief Elected Official Title]
[Municipality Name]

[Have CEO Sign and Date This Document in the Spaces Provided Above]

[Click on the Table of Contents at the start of this RFQ document to "Update Fields" when finished with customizing the document for the UGLG's project.]

ADDITIONAL NOTES: (optional)