



Carrie Eklund  
Central Services Manager  
Finance Department

**REQUEST FOR PROPOSALS**  
**Five-Year Consolidated Plan and 2015 Annual Action Plan**  
**RFP NO.: 913-CD-131**

9/27/13

Name of Proposing Firm: \_\_\_\_\_  
Address \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
E-Mail: \_\_\_\_\_

**RFP Opening Time and Date 11:00 a.m., Local Time, Monday, October 28, 2013**

*Proposals will be accepted until the specified opening time and date. Any bidder attempting to deliver after the opening time and date will be refused.*

Bid Deposit/Bid Bond: NO  
Prevailing Wage NO  
Performance Bond: NO

**PLEASE MARK THE RETURN SEALED ENVELOPE:**

1. RFP Opening Date and Time
2. Title of Job
3. RFP Number

**RETURN PROPOSALS TO:**

City of Rockford  
Central Services Manager  
425 East State Street, 4<sup>th</sup> Floor  
Rockford, Illinois 61104  
Telephone: (815) 987-5560

***PROPOSALS SUBMITTED BY FASC SIMILE OR E-MAIL WILL NOT BE ACCEPTED***

**PROPOSAL RESULTS:**

Bid results may be obtained by telephone at (815) 987-5560, by fax at (800) 380-7174. or at [www.rockfordil.gov](http://www.rockfordil.gov)

## CITY OF ROCKFORD, ILLINOIS—BIDDING GENERAL CONDITIONS

1. Pricing. The bidder shall insert price for all bid items and all other information requested in these specifications. The price shall be the *full, delivered cost* to the City of Rockford with no additions.
2. Total versus “Per Item” Awards. The City generally awards contracts based on a lump sum basis to the lowest responsible and responsive bidder. However, the City may choose to award on a per item basis. Therefore, each bidder must submit pricing for each item indicated on the bid forms. Bidders must clearly indicate which items are bid and which are not.
3. Delivery of Merchandise. Delivery terms will always be Freight On Board (FOB)—Destination. The City of Rockford accepts no responsibility for the condition of any merchandise purchased prior to acceptance by City Personnel. Failure to comply with this requirement may constitute rejection of the bid.
4. Acceptance of Merchandise at Delivery. The City of Rockford reserves the right to refuse acceptance of delivered merchandise that differs substantially from the specifications in this invitation to bid or as otherwise permitted by Illinois law.
5. Prompt Payment Act. The City of Rockford intends to comply with the governmental prompt payment act. The awarded vendor will be paid upon submission of invoices to: City of Rockford Accounts Payable, 425 East State Street, Rockford, IL 61104.
6. W-9 Request for Taxpayer Identification Number. Prior to issuance of a purchase order, the successful bidder will be required to supply the City of Rockford with a federal W-9 Request for Taxpayer Identification Number and Certification. Failure to comply with this requirement will be considered a violation of contract terms, for which the City may bar the vendor from bidding for a period of up to three years.
7. Legal Compliance. The vendor awarded this contract will comply with all Federal, State, County, and City laws, ordinances, rules and regulations, which in any manner affect the product or service placed for bid herein. Lack of knowledge on the part of the awarded vendor of applicable law will in no way be cause for release of this obligation. If the City becomes aware of violation of any laws, ordinances, rules and regulations on the part of the awarded vendor, it reserves the right to reject any bid, cancel any contract, and pursue any other legal remedies deemed necessary.
8. Legal Requirements. This contract sets forth the entire final agreement between the City of Rockford and the bidder and shall govern the respective duties and obligations of the parties. The validity of this contract, and any disputes arising from the contract, shall be governed by the laws of the State of Illinois. Any litigation under this agreement shall be resolved in the trial courts of Winnebago County, State of Illinois. Should a provision of this contract be declared invalid by a court of competent jurisdiction, it shall not affect the validity of the remaining provisions of the contract.
9. Safety. Prevention of accidents at any project is the sole responsibility of the awarded vendor and its subcontractors, agents, and employees. The awarded vendor, its subcontractors, agents, and employees shall be fully and solely responsible for the safety of this project. The awarded vendor shall retain exclusive and direct control over the acts or omissions of its subcontractors, agents and employees, and any other persons performing portions of the work and not directly employed by the awarded vendor.

10. Criminal Background Check. When necessary for the protection of citizens and/or City staff, the City may require an awarded vendor to conduct a criminal background check on all of its personnel who will have direct contact with City facilities or residents/businesses served under this contract. Personnel are defined as representatives, agents, employees, subcontractors, or anyone else who will be utilized to fulfill obligations under this contract. Criminal background checks, at a minimum, shall consist of a county level felony and misdemeanor check for each county in which the personnel resided in the last 10 years. The awarded vendor shall notify the City of any of its personnel who have been convicted of a felony or misdemeanor prior to commencing any work under this contract. At the City's discretion, personnel with any felony or misdemeanor convictions which raise a concern about the safety of building, property, or City staff/resident's personal security, or is otherwise job related (as determined by the City) shall not perform work under this contract. Once given notice that a background check(s) will be required, it must be completed within 14 calendar days so as to not delay work to be completed.

11. Control of the Work. With respect to the awarded vendor's own work, the City shall not have contractual, operational, and/or supervisory control over and/or charge of the work and shall not be responsible for construction means, methods, techniques, sequences, procedures, and programs in connection with the awarded vendor's work, since these are solely the vendor's responsibility under the agreement. The City shall not be responsible for the awarded vendor's failure to carry out the work in accordance with the agreement's terms and conditions. The City shall not have control over and/or charge of acts or omissions of the awarded vendor, its subcontractors, and/or their agents or employees, or any other person performing portions of the work not directly employed by the awarded vendor. The awarded vendor shall be considered to be an "independent contractor" pursuant to Illinois law.

12. Bid Bond. When required on the cover sheet, a bid bond for not less than 5 percent of the bid amount must accompany all bids as a guarantee that if the bid is accepted, the bidder will execute and file the proper contract. A bank cashier's check, bank draft, or certified check equal to the amount specified is acceptable in lieu of a bid bond. Bid bonds of the two lowest firms will be retained until the contract is awarded.

13. Performance Bond. When required by the specifications herein, the awarded vendor shall furnish a performance bond equal to the amount of the contract, acceptable to the City, within 14 calendar days after notification of contract award. Failure to furnish the required bond within the time specified may be cause for rejection of the bid and any bid deposit may be retained by the City as liquidated damages and not as a penalty.

14. Taxes. No charge will be allowed for taxes from which the City of Rockford, Illinois is exempt. The City of Rockford, Illinois is not liable for the Illinois Retailers' Occupation Tax, the Service Occupation Tax or the Service Use Tax. The City is exempt from the Federal Excise and Transportation Tax.

15. Withdrawal of Bids. Firms may withdraw or cancel their bids at any time prior to the advertised invitation to bid opening. After the opening time, no bid shall be withdrawn or cancelled. All bids shall be firm and valid for a period of sixty (60) calendar days. If a bidder to whom a contract is awarded refuses to accept the award, the City may, at its discretion, suspend the bidder for a period of time up to three (3) years.

16. Subcontracting. The bidder shall provide information for all subcontractors, leased operators/equipment, and suppliers and all other information requested in the Subcontractor and Supplier Detail Forms attached. Requests for deviations from the completed detail forms submitted must be made in writing, and reviewed and approved by the City's Diversity Procurement Officer and the Central Services Manager or designee. The awarded vendor may not subcontract any portion of the contract after award without written consent of the City of Rockford

Central Services Manager. When subcontractors are used, the awarded vendor is required to pay subcontractors promptly after completion of work. Delay of payment is prohibited.

17. Termination of Contract. The City of Rockford reserves the right to terminate the contract in its entirety or in portions, upon written notice to the awarded vendor, if the Rockford City Council does not appropriate sufficient funds to complete the contract or in the event of default by the awarded vendor. Default is defined as failure of the awarded vendor to perform any of the provisions of this contract or failure to make sufficient progress so as to endanger performance of this contract in accordance with its terms. In the event of default, the City may purchase the product(s) and/or service(s) from other sources and hold the defaulting company responsible for any excess costs occasioned thereby. The City may require payment of liquidated damages for non-performance. Should default be due to failure to perform or because of a request for a price increase, the City reserves the right to remove the firm from the City's bidder list for a period of up to three years.

18. Late Bids and Proposals. Regardless of cause, late bids and proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to ensure delivery at the designated office by the designated time. Late bids and proposals will not be opened and may be returned to the awarded vendor at their request and expense.

19. EEO Forms. Each firm shall be required to submit with its bid information all EEO forms included in the invitation to bid package. Any bid which fails to include the properly completed compliance items will not be read and will not be considered. All subcontractors shall also be required to comply with the same EEO forms as the firm.

20. Restrictive or Ambiguous Specifications. It is the responsibility of the bidding firm to review the invitation to bid specifications and to notify the Central Services Manager if the specifications are formulated in a manner that would unnecessarily restrict competition. Any such protest or question regarding the specifications or invitation to bid procedures must be received by the Central Services Division not less than seventy-two hours prior to the time set for the opening. In the event a contract term is not defined within the contract document, the term will be given its ordinary dictionary definition.

21. Bid Protest. Firms wishing to protest bids or awards shall notify the Central Services Manager in writing within 7 days after the invitation to bid opening. The notification should include the bid number, the name of the firm protesting, and the reason why the firm is protesting the bid. The Central Services Manager will respond to the protest within seven (7) calendar days. A successful protest may result in the reversal of a previously awarded contract.

22. Disputes. In case of disputes as to whether or not an item or service quoted or delivered meets specifications, the decision of the Central Services Manager, or authorized representative shall be final and binding to all parties. The Central Services Manager has the right to waive technicalities as they see fit. The Central Services Manager may request a written recommendation from the head of the department using the equipment or service being procured.

23. Exceptions. Any deviations from these specifications shall be noted and submitted with the bid. Failure to address deviations from specifications may result in bid rejection.

24. Acceptance/Rejection of Bids. The City of Rockford reserves the right to accept or reject any or all bids or proposals at any time, for any reason, including but not limited to the Rockford City Council not appropriating

sufficient funds to purchase equipment or complete the contract. The City may make awards in any manner deemed in the best interest of the City.

25. Prevailing Wage. When indicated on the cover page of this document, this contract calls for the construction of a "public work," within the meaning of the Illinois Prevailing Wage Act, 820 ILCS 130/.01 *et seq.* ("the Act"). The Act requires awarded vendors and subcontractors to pay laborers, workers, and mechanics performing services on public works projects no less than the "prevailing rate of wages" (hourly cash wages plus fringe benefits) in the county where the work is performed. When required, awarded vendors are responsible for paying current prevailing wage rates, as posted on the Illinois Department of Labor's website at: <http://www.state.il.us/agency/idol/rates/rates.HTM>. It is the awarded vendor's responsibility to verify current wage rates, as they are updated monthly. All awarded vendors and subcontractors rendering services under this contract must comply with all requirements of the Act, including but not limited to, all wage, notice, and record keeping duties.

26. Certified Payroll. All Certified Payroll reports required to be submitted under the Prevailing Wage Act, 820 ILCS 130, must be submitted monthly via email, in Excel or some format compatible with Excel, to [certified.payroll@rockfordil.gov](mailto:certified.payroll@rockfordil.gov).

27. Substance Abuse Prevention. When required by Illinois State Statutes, awarded vendors must have in place and file with the City a written program for prevention of substance abuse among its employees. This program must include pre-hire, random, reasonable suspicion, and post-accident drug and alcohol testing, as required by the Substance Abuse Prevention on Public Works Projects Act.

28. Apprenticeship Requirement. For construction contracts over \$50,000, awarded vendors must participate in apprenticeship and training programs approved and registered with the United States Department of Labor's Bureau of Apprenticeship and Training for all Trades that will be in the awarded vendor's (or his subcontractor's) employment, with each worker receiving the required apprenticeship/training appropriate to his trade. Owners or work performed by owners is not exempt from the apprenticeship and training requirement.

29. Indemnification. To the fullest extent permitted by law, the awarded vendor shall indemnify and hold harmless the City, its officers, representatives, elected and appointed officials, agents, and employees from and against all claims, damages, losses and expenses, including but not limited to attorney's fees, arising out of or resulting from the awarded vendor's performance of work under this agreement, and indemnifies and agrees to defend and hold harmless the City against any and all losses, claims, damages, and expenses arising from the work performed hereunder of the erection, construction, placement, or operation of any scaffold, hoist, crane, stay, ladder, support, or other mechanical contrivance in connection with such work including but not limited to losses, claims, damages, and expenses arising pursuant to claims asserted against the City pursuant to theories premised upon section 414 of the Restatement (Second) of Torts and section 343 of the Restatement (Second) of Torts.

This indemnification agreement shall not be limited in any way by any limitations on the amount or type of damages, compensation, or benefits payable by or for the awarded vendor under Worker's Compensation Acts, disability benefit acts, or other employee benefit acts, and serves as an express agreement to waive the protection of *Kotecki v. Cyclops Welding Corp.*, 146 Ill.2d 155, 585 N.E.2d 1023 (1991) in Illinois.

Further, the awarded vendor agrees that it is solely responsible for compliance with all safety laws applicable to the work performed hereunder, including but not limited to the Occupational Safety and Health Act of 1970 and the Construction Safety Act of 1960 and all standards and regulations which have been or shall be promulgated by the agencies which administer the Acts.

Under no circumstances shall the awarded vendor, its subcontractors, agents, and employees be required to indemnify the City for its own negligence.

30. Officers. Each bidder affirms, by submission of a response to this bid or request for proposals, that no officer of the City of Rockford, Illinois, is directly or indirectly interested in the proposal for any reason of personal gain.

31. Non-Waiver. The failure by the City to require performance of any provision shall not affect the City's right to require performance at any time thereafter, nor shall a waiver of any breach or default of this contract constitute a waiver of any subsequent breach or default or a waiver of the provision itself.

32. Professional Services Selection Act. The City of Rockford intends to comply with 50 ILCS 510/5 governing the selection of professional services. Any reference in these terms and conditions to supplying pricing or price as a determining factor in selection do not apply for services covered by said act.

33. The City of Rockford reserves the right to accept or reject any and all proposals and to waive technicalities in submitted bids.

**BID REQUIREMENTS FOR  
EQUAL EMPLOYMENT OPPORTUNITY**

All bidders seeking to do business with the City of Rockford are **REQUIRED** to submit with any formal, sealed bid all of the following documents and information, attached herewith, completed and signed:

1. Equal Employment Opportunity Affirmative Action Plan Statement of Policy.
2. The Statement of Non-Compliance and Certificate of Non-Segregated Facilities.
3. The Contractor or Vendor Workforce Data Form listing all current employees, by classification, directly employed by the bidder. All categories of information requested must be supplied.  
*Note: The number of employees must be entered under each category (no check marks)*

Below are the Federal definitions of the following racial groups accepted as minorities by the City of Rockford:

Black: A person having origins in any of the Black racial groups of Africa, not of Hispanic origin.

Hispanic: A person of Spanish or Portuguese culture with origins in Mexico, South or Central America, or the Caribbean Islands, regardless of race.

Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes for example, China, Japan, Korea, the Philippine Republic and Samoa.

American Indian or Alaskan Native: A person having origins in any of the original peoples of North America.

4. Your State of Illinois Pre-Qualification Certification Number, issued by the Illinois Department of Human Rights for the Illinois Department of Human Rights Act, **must provide expiration date entered in the place provided therefore.**
5. Certificate of Non-Barred Bidding
6. All executed Subcontractor/Leased Operator and Supplier forms.

**If you have not obtained your State of Illinois Pre-Qualification Number (item #4), by signing these documents you agree to make application for this number within 30 days from the date of bid opening.**

***ANY BID WHICH FAILS TO INCLUDE THE CITY OF ROCKFORD EEO PAGES 2, 4, AND 5, COMPLETED AND SIGNED WITH YOUR SEALED BID WILL NOT BE READ AND WILL NOT BE CONSIDERED – NO EXCEPTIONS.***

Falsification of any required Equal Employment Opportunity or Affirmative Action information on the part of the bidder could result in rejection of the bid submitted or in the case where a contract has already been awarded, in the cancellation of said contract.

Any questions pertaining to E.E.O. requirements should be addressed to Ron Moore, Diversity Procurement Officer, Legal Department, 425 East State Street, Rockford, Illinois 61104, Phone: (815) 987-5622 or [ron.moore@rockfordil.gov](mailto:ron.moore@rockfordil.gov)

**EQUAL EMPLOYMENT OPPORTUNITY**  
**AFFIRMATIVE ACTION PLAN**  
**STATEMENT OF POLICY**

It is the policy of this company, \_\_\_\_\_  
to provide equal employment opportunity without regard to race, religion, color, national origin, handicap, age or sex through a program of positive action affecting all employees. In this program, our company carries out the requirements of Federal Executive orders 11246 and 11375, Civil Rights Act of 1964, Equal Employment Act of 1972, and all other applicable laws, and indicates its active support of the principle of equal opportunity in employment.

At present, \_\_\_\_\_ % of our work force are minorities and \_\_\_\_\_ % of our work force are females, and we will attempt to utilize minorities and females through a positive, continuing program in all jobs for which we contract in the future. Our company will utilize referrals from the City of Rockford's Diversity Procurement Officer for use of minorities and females regarding any future job vacancies.

It is also our intent to make efforts to purchase supplies or equipment from small business concerns located in the City of Rockford or counties of Winnebago or Boone and owned in substantial part (at least 51 per cent) by minorities or females.

\_\_\_\_\_ is the official who will be responsible for implementing this policy statement.

\_\_\_\_\_ will be designated as the Equal Opportunity Officer in our company, responsible for submission of all required equal employment opportunity documents.

In addition, \_\_\_\_\_ is hereby authorized to sign payroll as well as this company's officers. (NOTE: If only officers will be authorized to sign payrolls, please fill in "No One" in this space.)

## **STATEMENT OF NONCOMPLIANCE**

If the equal employment opportunity hearing committee determines that a contractor, subcontractor/leased operator of equipment or bidder is not in compliance with this chapter, (also known as Chapter 11, Article III the City of Rockford Equal Opportunity Employment Ordinance), the hearing committee shall issue and serve upon such person a written statement of noncompliance setting forth the manner in which it finds such person has violated this chapter, and imposing and/or requiring appropriate sanctions, including, but not limited to any and/or all of the following:

- a. Denying, suspending or revoking qualifications, or declaring the contractor or subcontractor irresponsible and ineligible for future contracts or subcontracts until such time as the contractor or subcontractor shall demonstrate to the equal employment opportunity hearing committee that it is in compliance;
- b. Withholding or delaying payment on the contractor or;
- c. Suspending, avoiding or canceling contract work.

## **CERTIFICATION OF NON-SEGREGATED FACILITIES**

The bidder certifies that he/she does not maintain or provide for his/her employees any segregated facilities at any of his/her establishments, and that he/she does not permit his/her employees to perform their services at any location, under his/her control, where segregated facilities are maintained. The bidder agrees that a breach of this certification will be a violation of the Equal Opportunity clause in any contract resulting from acceptance of this bid.

The bidder agrees that (except where he/she has obtained identical certification from proposed subcontractors/leased operators of equipment for specific time periods) he/she will obtain identical certification from proposed subcontractors/leased operators of equipment from the provisions of the Equal Opportunity clause, and that he/she will retain such certification in his/her files.



**CERTIFICATE OF NON-BARRED BIDDING**

The undersigned certifies that it is not barred from bidding on this contract as a result of a conviction for the violation of State laws prohibiting bid rigging or bid rotating. The undersigned also certifies that current or prospective employees, contractors, and subcontractors/leased operators of equipment are not listed as Excluded Individuals/Entities with the US Government, as maintained by the US General Services Administration.

By signing below, the firm agrees that all information provided in the previous pages is accurate, and that if the firm below does not currently have a Department of Human Rights number they will apply for one within thirty days with the State of Illinois.

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Authorized Signature

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Title

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Firm

Our firm is a:

Minority Business Enterprise \_\_\_\_\_

Women Business Enterprise \_\_\_\_\_

Neither \_\_\_\_\_

City-Certified? Yes \_\_\_ No \_\_\_

City Certified? Yes \_\_\_ No \_\_\_

(Revised 12/21/09)

## Request for Taxpayer Identification Number and Certification

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

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate  <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____  <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

### Part II Certification

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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### General Instructions

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

#### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

#### Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

### Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

### Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

### Specific Instructions

#### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

**Partnership, C Corporation, or S Corporation.** Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA) name" on the "Business name/disregarded entity name" line.

**Disregarded entity.** Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the "Name" line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on the "Business name/disregarded entity name" line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

**Note.** Check the appropriate box for the federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

**Limited Liability Company (LLC).** If the person identified on the "Name" line is an LLC, check the "Limited liability company" box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

**Other entities.** Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

## Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
  2. The United States or any of its agencies or instrumentalities,
  3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
  4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
  5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
  7. A foreign central bank of issue,
  8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
  9. A futures commission merchant registered with the Commodity Futures Trading Commission,
  10. A real estate investment trust,
  11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
  12. A common trust fund operated by a bank under section 584(a),
  13. A financial institution,
  14. A middleman known in the investment community as a nominee or custodian, or
  15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7 <sup>2</sup>

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

**Signature requirements.** Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records from Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.**

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://IRS.gov) to learn more about identity theft and how to reduce your risk.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

\*Note. Grantor also must provide a Form W-9 to trustee of trust.

**Privacy Act Notice**

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

**REQUEST FOR PROPOSALS**  
Five-Year Consolidated Plan and 2015 Annual Action Plan  
For the City of Rockford, Illinois

The City of Rockford is seeking proposals for a qualified consultant to provide Consolidated Plan services which includes a current assessment of housing and other community development needs of the City of Rockford.

**INTRODUCTION**

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The City of Rockford is a manufacturing-based community located in north central Illinois, approximately 20 miles south of the Wisconsin border. Rockford is one of the largest cities in Illinois, and has increased in size from 139,426 in the 1990 Census to 150,115 in the 2000 Census and currently has a population of 153,509. The median household income has also increased from \$28,282 in 1989 (1990 Census) to \$37,667 in 1999 (2000 Census) and is currently \$38,864. Rockford is about 75 miles from Chicago, 85 miles from Milwaukee, and 65 miles from Madison. Much of the growth in Rockford is attributed to the expansion of the city east. The cities surrounding Rockford have increased in population as well, and are significantly more residential in nature, with the exception of the southeastern suburb. However, these cities are seeing development that is more commercial as it is following the population. There are about 339,000 people in the Rockford Region, including the surrounding metro area.

**PROJECT OVERVIEW**

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The Community and Economic Development Department (CEDD) of the City of Rockford is responsible for the development, administration, and monitoring of various housing, neighborhood, homeless, and economic development programs, as well as the submission of the City of Rockford's Consolidated Plan.

Effective in 1995, the U.S. Department of Housing and Urban Development (HUD) entitlement jurisdictions were required to begin submitting a Consolidated Plan, including housing and Community development needs assessment and strategy, at least every five years. Major components of the Consolidated Plan include: 1) the Citizen Participation Process; 2) the Housing and community Development Needs Assessment; 3) the Housing and Community Development Five-Year Strategy; and 4) the One-Year Action Plan. The Consolidated Plan Amended Regulatory Provisions can be found at the following link: [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/about/conplan/cp\\_guidance](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/about/conplan/cp_guidance)

The CEDD prepared the City's first and second Consolidated Plans. The CEDD then contracted with a consultant to prepare the third and fourth submissions. The earlier plans are available at the CEDD for review upon request and the 2009-2014 Consolidated Plan and the 2013 Action Plan are available at the following web address: [www.rockfordil.gov](http://www.rockfordil.gov).

For the City's next submission, the CEDD is seeking a qualified consultant to prepare the elements of the Consolidated Plan for years 2015-2019 including its 2015 Annual Action Plan. The Plan must follow those guidelines established by the United States Department of Housing and Urban Development (HUD). The City's fiscal year runs January 1 through December 31.

The Consultant will need to consider HUD's performance measurement system in developing the five-year strategy. Information on HUD's performance measurement system can be found via the following web link: [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/about/performance](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/about/performance)

The following three objectives incorporate the statutory objectives for the Community Development Block Grant (CDBG), HOME Investment Partnership (HOME) and Emergency Solutions Grant (ESG) programs (the City is not a recipient of the HOPWA program) established in the Consolidated Plan regulations.

1. Creating Suitable Living Environments
2. Providing Decent, Affordable Housing
3. Creating Economic Opportunities

The following three Outcomes reflect what the grantee seeks to achieve by the funded activity.

1. Availability/Accessibility
2. Affordability
3. Sustainability

The current Consolidated Plan used 2000 Census data and used the CPMP format. In May of 2012, HUD introduced the eCon Planning Suite with tools designed to assist with the needs analysis and strategic decision making required for the Consolidated Plan. The CEDD requires that the consultant use HUD's Consolidated Plan Template in the Integrated Disbursement and Information System (IDIS) to format the 2015-2019 Consolidated Plan and Annual Plan. Information on the Consolidated Plan Template and a Desk Guide for Using IDIS to Prepare the Consolidated Plan, Annual Action Plan, and CAPER/Per Community Planning & Development in IDIS Online may be found at the following website: [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/about/conplan/cp\\_idis](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/about/conplan/cp_idis)

The Template is divided into seven sections:

1. Setup
2. Executive Summary
3. The Process
4. Needs Assessment
5. Housing Market Analysis
6. Strategic Plan
7. First-Year Action Plan

Each screen in the Template includes a combination of data tables and narrative sections that set a baseline for HUD's expectations for the amount of information required. Rockford would like to add additional content in the form of maps, pictures, and text boxes to support the baseline information to tell a more compelling story.

The Consultant will be responsible for preparing all sections (including required narrative, applicable tables and maps). CEDD will complete the budget for the 2015 Action Plan based on guidance from the consultant.

The CEDD is seeking a consultant to prepare the needs assessment and strategic plan that can be utilized in the development of neighborhood plans, provide a basis of data and knowledge that can be used to help develop and guide housing policy, to establish housing and non-housing priorities, provide guidance for public housing and other grant opportunities, provide guidance for review and approval of requests for a Certificate of Consistency and in making amendments to the City's comprehensive plan. Both the Consolidated Plan and the 2015 Annual Plan should provide model strategies in addressing the pressing needs and our goal as a community while maximizing limited resources and meeting the complex Federal regulations.

## **SCOPE OF SERVICES**

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The consultant will work with City staff to develop a concise, useable, easily read and understood Consolidated Plan beginning with an Executive Summary summarizing the key points of the plan. This

document will benefit the City in meeting its goal to help the City, and its partners, to best address housing and other community development needs. The consultant shall identify and accumulate statistical and analytical information that provides an overall picture of the housing and community development needs of the city. This Plan will meet the standards in accordance with Title 24-Housing and Urban Development Part 91 Consolidated Submissions for Community Planning and Development Programs. This document will also include data regarding low-income housing density areas, identify fragile neighborhoods, review the City's current policy and make recommendations on how the CEDD can best ensure an equitable distribution of a diverse range of affordable housing throughout the Metro region. Plans and assessments to be reviewed and incorporated into the narrative include, but are not limited to: The Rockford Metropolitan Agency for Planning's (RMAP) formal Regional Fair Housing Equity Assessment of housing and the Analysis of Impediments to Fair Housing Choice analysis and findings; the Ellis Heights and Fairgrounds Valley Housing Market Study as well as the Transformation Plan; the De-Concentration Plan; and the Rockford Region Vital Signs Regional Plan for Sustainable Development.

### **CITIZEN PARTICIPATION PROCESS**

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At a minimum, the consultant will conduct a survey of the residents, including first-hand information from potential beneficiaries of funded activities, to enable them to identify and prioritize their community's housing and non-housing needs for the next five (5) years. The survey will also be disseminated to public housing sites and through various other methods of distribution. Participating agencies will also distribute the survey and it will be posted on the CEDD web and extranet sites.

One-on-ones with residents, agencies serving the target populations and neighborhoods, the 14 members of the Rockford City Council, city department directors, and the Mayor's Office must be completed with a goal of 100 interviews.

The consultant will be required to assess the survey and interview results and incorporate them into the various sections of the Consolidated Plan.

The consultant will be responsible for the following tasks involving assessing the survey and interview results and including them in the Consolidated Plan:

1. The consultant shall enter all completed surveys into an Excel spreadsheet and then tabulate the results.
2. The consultant shall assess and analyze the survey results and include them in the Consolidated Plan's Needs Assessment sections using tables or matrices.
3. The consultant shall include narrative in the Need Assessment sections describing the survey results.
4. The consultant shall develop and include a summary of the survey results in the Consolidated Plan's appendix.
5. The consultant shall provide a copy of the Excel spreadsheet to the CEDD.

The plan must provide a summary of the citizen participation efforts made, including efforts to broaden public participation, a summary of citizen comments or views on the plan and a written explanation of comments not accepted and the reasons why these comments were not accepted.

The selected consultant will not need to prepare a new citizen participation plan but rather update the existing plan, as needed, and develop a citizen participation summary.

### **HOUSING AND COMMUNITY DEVELOPMENT NEEDS ASSESSMENT AND MARKET ANALYSIS**

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The consultant will prepare the Housing and Community Development Needs Assessment and Market Analysis in accordance with federal regulations at 24 CFR Part 91. This includes an assessment in the areas

of the City's affordable housing, community development, and homelessness. The regulations also require a concise summary of the City's priority non-housing community development needs.

The information provided will assist citizens and the City of Rockford in establishing priorities and allocating federal, state and local resources, principally for low, very low and moderate income residents. The needs information must be sufficient to support the consultant's recommended strategy including its priorities, objectives and strategies for achieving desired results.

All data collected shall come from a creditable source and shall be referenced. The consultant is encouraged to draw relevant information from previous submissions and other reports and studies, as appropriate. The Consultant may use the default data set provided by the system but can replace or supplement data with alternative data sources. The Data tables can be supported with GIS maps, GIS data sets, images, and custom data tables. It is expected to use citizen input, as well as the results of consultations with social services agencies regarding housing and other needs of children, elderly persons, persons with disabilities, homeless persons (including prisoners reentering the community), and other persons served by such agencies.

In addition, the Needs Assessment and Market Analysis should form a large basis for determining what types of housing and community development programs the city will fund or certify as consistent with the Consolidated Plan required by other federal and state grants. The Market Analysis should demonstrate that the proposed strategies are feasible and have a high likelihood for success.

Data on the housing market shall include, to the extent information is available, an estimate of the number of vacant or abandoned buildings, number of foreclosures and whether units in these building are suitable for rehabilitation or demolition. Also, provide data on the number of families that might be "underwater" on their mortgages as a result of the housing crisis and its overall effect on families and the community as a whole.

Data collection and analysis shall be for census tracts and Rockford as a whole, and the analysis shall include the comparison of census tracts and Rockford over time.

The consultant must describe the nature and extent of homelessness of sheltered and unsheltered homelessness as required. At a minimum, the consultant must use data from the Homeless Management Information System (HMIS) and data from the Point-In-Time count. The City has been without a HMIS since May 31, 2012. Counts have been obtained manually by the Human Services Department of the City. An HMIS system is expected to be live by September 30, 2013.

The consultant must map the data to identify the geographic relationship and concentrations of various housing needs, community development needs and homeless needs and facilities. Similarly is the location of essential human services, recreational activities, and public housing unduly concentrated. The maps should help to determine and identify the market conditions and trends and how they affect the quality of surrounding neighborhoods. Data and maps can be obtained from Rockford's Our Vital Signs which can be found at [www.ourvitalsigns.com](http://www.ourvitalsigns.com), the eCon Planning Suite and/or other tools available.

In summary, the Consultant will be responsible for preparing the Housing and Community Needs Assessment including:

1. The Housing and Community Needs Assessment in accordance with the Federal Regulations using HUD's eCon Planning Suite Template found at IDIS Online.
2. Maps to illustrate low- and moderate- income areas, population by race and ethnicity, unemployment population, poverty population, and other maps as requested or will best demonstrate data and narrative. These maps must be incorporated into the relevant sections of the Housing and Community Development Needs Assessment.

3. The use of the most recent data available including, but not limited to, housing price data, public housing information, vacant/foreclosed data and homeless data.
4. The inclusion of charts, tables, and matrices where necessary to convey data so that the relevant sections are clear and concise and result in a reader friendly document for the public.

## **HOUSING AND COMMUNITY DEVELOPMENT FIVE-YEAR STRATEGY**

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The consultant will prepare the Housing and Community Development five-Year Strategy as required by the Consolidated Plan regulations [24 CFR 91.215], which sets the priority needs, objectives, outcomes, actions and benchmarks, and links strategy priorities, and outcomes to specific 2015 Action Plan projects.

Once again, data collection and analysis shall be for Rockford as a whole. The analysis shall include the comparison of census tracts over time, as well as to Rockford as a whole over time. All data collected shall come from a creditable source and shall be referenced. All of the information gathered must be in a written report initially, and once concurrence is obtained, made part of the Consolidated Plan.

Include three basic elements:

1. **Housing and Community Development Resources.** The consultant must indicate resources from private and public sources, including those amounts allocated in HUD formula grant programs that are reasonably expected to be made available and other federal, state and local resources, to carry out these activities. Federal resources should include Section 8 funds, Low-Income Housing Tax Credits, and competitive McKinney-Vento Homeless Assistance Act funds. Explain how funds made available could leverage those additional resources and identify, where appropriate, publicly owned land or property that may be utilized to carry out the activities.
2. **Housing and Community Development Objectives and Projects.** The consultant must indicate actions, projects and programs to initiate and/or complete over the five years of the plan and how they may be coordinated to increase their benefit to low, very low, and moderate income residents. The consultant must describe its reasons for allocation priorities and the connection between priority needs, activities, and the use of funds.
3. **Coordination.** Describe recommendations on how we should coordinate various resources, including funding sources to be used, departments, agencies, people and organizations to be included, and facilities and programs to be incorporated, to achieve stated recommendations. In consultation with other appropriate public and private agencies, the consultant must state how the objectives, programs, and policies for producing and preserving affordable housing set forth in this assessment should be coordinated with other programs and services for which Rockford is responsible, and the extent to which they will reduce the number of households with incomes below the poverty line. The Rockford City Council must be engaged in the planning and citizen participation process. The Plan must parallel the city's Comprehensive Plan and be connected to the overall vision of the City.

The consultant will be responsible for preparing the Housing and Community Development Five-Year Strategy as required by Consolidated Plan regulations and:

1. Incorporate performance measurement data required by HUD.
2. Review strategic plans of the City, major agencies such as the Workforce Investment Board, the City's Capital Improvement Plan, CEDS plan, County plans, and Police Department tactical plans; include any relative information that may further articulate the institutional structure and coordination in implementing the priorities and objectives of the Five-Year Strategy.

## **2015 ANNUAL ACTION PLAN**

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In the Annual Action Plan, the consultant will provide a concise summary of specific actions, activities, and programs that will take place during the 2015 program year to address the priority needs and goals identified by the Consolidated Plan. The Annual Action Plan must identify the link between the use of federal resources and the goals developed to address Rockford's priority needs, as identified in the Strategic Plan.

CEDD staff will prepare the budget for the 2015 One-Year Action Plan, certifications and application forms. However, the following are tasks in which the consultant will be responsible for in preparing the 2015 One-Year Action Plan [24 CFR 91.220]:

1. The consultant will make recommendations on activities and budget for the 2015 One-Year Action Plan based on the data driven information, maps, and community input provided in the Housing and Community Development Needs Assessment and the Housing and Community Development Five-Year Strategy.
2. The consultant will complete all narrative sections of the Annual Plan.
3. The consultant will produce computer-generated tables and also maps to indicate geographically how the City of Rockford will direct assistance to low-income and minority concentrated areas during the 2015 year. The consultant may use maps, graphs, and charts from the Rockford Region Our Vital Signs, the eCon Planning Suite, other plans, as well as those generated directly by the consultant.

## **FORMAT AND PRESENTATION**

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The draft and final 2015-2019 Consolidated Plan and 2015 Action Plan will be made available for viewing in two (2) forms, in printed form and on flash drive. They must be of high quality, easily read and understood and include Executive Summaries.

The following tasks will be the responsibility of the Consultant:

1. Executive Summaries in both the Consolidated Plan and Annual Action Plan that are easy to read and summarizes key information from each major section of the two documents.
2. Develop the document to include graphs, charts, matrices, pictures, maps, tables or graphics to clearly convey information to the public.
3. Provide four (4) bound copies of both the final version of the draft for public review and the final Consolidated Plan and Annual Plan as well as a master unbound copy in Microsoft Word and Excel. The CEDD shall have ownership of all final products.
4. The consultant shall place the documents on flash drive in two (2) formatted versions, the first as Web Pages in Hyper Text Mark-up Language (HTML) and the second in Adobe Portable Document Format (PDF) allowing the finished document to be posted on the City of Rockford's Internet and Extranet Web Site in either of the formats.
5. The consultant shall develop web pages to be included in the data files that are generally accessible to all Internet web browsers. The web pages shall be formatted to include navigational links and anchors from the table of contents to topics, sections, chapters or key words allowing immediate and easy access to the various sections of the document.

## **PROJECT SCHEDULING, TECHNICAL CONSULTATION AND SUPPORT**

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The CEDD has scheduled a twelve-month timeframe for the research, development and approval of the Consolidated Plan and Annual Action Plan. Based on this timeframe, development of the Plan will require advanced planning, coordination, and the development and adherence to an accurate and precise planning schedule.

The consultant shall provide the following to meet the requirements:

1. The consultant shall prepare a detailed schedule of performance that will encompass all phases of the Consolidated Plan development including research, citizen participation, development and the submission and approval process. The schedule must be submitted by October 27, 2013, and include, but not be limited to, the following elements:
  - Pre-development meetings to introduce staff, review the contract, establish responsibilities, and coordinate contract start-up.
  - Monthly status reports to CEDD staff to coordinate and oversee the various stages of the process.
  - A listing of a minimum of four (4) forums to obtain input as previously described.
  - The establishment of target dates for completion of all the specific work requirements.
  - The establishment of target dates for preliminary, rough, and the final draft of the Consolidated Plan product submission.
  - Projected dated for final Consolidated Plan document for review by staff and the Administration, public review and comment - including the Citizen Participation Committee, as well as the Rockford Planning and Development Committee and final Rockford City Council vote. The public comment period is scheduled for September 16, 2014 – October 17, 2014. Rockford's Planning and Development Committee review and approval is scheduled for October 20 and October 27, and City Council vote for November 3, 2014.

## **RESPONSIBILITIES**

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The CEDD and the consultant's responsibilities are as follows:

### **CEDD**

1. The CEDD shall monitor the consultant's performance in the daily operation of this contract.
2. The CEDD shall provide direction to the consultant in areas relating to policy, information and procedural requirements.
3. The CEDD shall prepare amendments to the contract in accordance with the contract.
4. The CEDD will secure a meeting space for each forum; provide a laptop, screen, and LCD projector as needed.
5. The CEDD will also provide translators as needed.
6. The CEDD will conduct the outreach to identify prospective participants.
7. The CEDD will provide a glossary of terms and acronyms.
8. The CEDD will provide relevant links to and/or hard copy plans, analyses, and studies to be used as resources and a basis when completing the Consolidated Plan. These include, but not limited to, the City of Rockford Housing Study-2004; the Strong Cities, Strong Communities Initiative; RMAP's Regional Plan for Sustainable Development and follow-up Current Conditions Reports; the Rockford Housing Authority's Ellis Heights and Fairgrounds Valley Housing Market Analysis and De-Concentration Study; the Regional Fair Housing Equity Assessment of housing and the Analysis of Impediments to Fair Housing Choice analysis and findings; and the Rockford Housing Authority's Transformation Plan.

### **CONSULTANT**

1. The consultant shall provide a full-time project manager and a sufficient number of staff experienced in managing projects of similar size and scope as contained in this scope of work.

2. The project manager shall act as a central point of contact with the CEDD and shall have full authority to act for the consultant on all matters relating to the daily operation of the contract. The phone number of the project manager shall be provided where they project manager can be reached daily.
3. The consultant's project manager and staff shall be able to effectively communicate, in English, both orally and in writing.

## **PROPOSAL REQUIREMENTS**

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Four (4) copies of the proposal shall be submitted. Of the four (4) copies, one complete set should contain original signatures, be marked "Original," and be left unbound.

Proposals shall include the following information:

1. A statement of approach describing how the respondent will accomplish the scope of work tasks and requirements as listed herein.
2. A statement of qualifications showing how the respondent's firm is qualified to provide the scope of work and requirements as listed herein. Of special interest to the City are similar projects for similar communities or agencies.
3. The names and resumes of associates to be assigned to this project.
4. Information that is listed below in the Consultant Selection.

## **CONSULTANT SELECTION**

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All proposals submitted by the deadline will be reviewed by City staff to determine completeness. Proposals deemed incomplete will not be subject to further consideration. Those proposals determined to be complete will be reviewed and ranked according to the following selection criteria:

- **Approach** – How the respondent will accomplish the project.
- **Qualifications** – Consideration will be given to respondents demonstrating strong capabilities, experience and reputation in undertakings similar to those described in this RFP. Experience may include both public and private sector companies. References, including names and telephone numbers, of clients for whom the work was performed should be included. The Consultant shall also provide a qualified project manager that will be accessible throughout the project.  
The consultant shall have recent experience in using HUD's Consolidated Plan eCon Planning Suite or experience in using similar tools. Also, the consultant shall have recent experience in developing Performance Measurement Systems required by HUD or experience in developing similar systems.
- **Proposed time schedule** – The respondent shall provide a time line showing the sequence of events. Consideration will be given to those respondents with a timely, feasible schedule that accomplishes all requested tasks. This project shall be completed and submitted to HUD by November 13, 2014.
- **Costs (Financial Terms)** – The respondent shall provide an itemized break down of proposed cost for the service provided. Consideration will be given to proposals that present the most cost efficient terms to the City over the term of the contract.

Respondents may be required to attend an interview with the RFP selection committee. The purpose of such an interview is to provide clarification and/or additional information to make a selection, which is in the best interest of the City of Rockford. After completion of the interviews, if necessary, the City will negotiate contract terms and fees with its first choice. If terms are not agreed upon by the City and the selected consultant or firm, the City may discontinue negotiations and proceed with negotiation with its second choice. The final contract will be approved and awarded by the City Council of the City of Rockford.

## **QUESTIONS**

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Should you have questions, please contact Xavier Whitford, Financial Analyst, via email at [Xavier.whitford@rockfordil.gov](mailto:Xavier.whitford@rockfordil.gov)

## **SCHEDULE**

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RFP issued September 24, 2013

Responses due October 28, 2013

Interview of top-ranked responses (if necessary) November, 2013

Negotiate contract and fees November, 2013

Completion of final draft Consolidated Plan June 27, 2014

Completion of the final draft of the Annual Plan September 4, 2014

Submission of the final Consolidated Plan including the Annual Plan to HUD by November 13, 2014

## **ATTACHMENTS**

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EEO Forms

Revised 9.23.13