



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION**

Complete this cover form and the **Non-Competitive Procurement Application Worksheet** in detail. Refer to the page entitled "Instructions for Non-Competitive Procurement Application" for completing this application in accordance with its policy regarding NCRB. Complete "other" subject area if additional information is needed. Subject areas must be fully completed and responses merely referencing attachments will not be accepted and will be immediately rejected.

<b>Department</b> Family and Support Services	<b>Originator Name</b> Kevin Givens	<b>Telephone</b> 312-746-8534	<b>Date</b> 3/7/2019	<b>Signature of Application Author</b> 
<b>Contract Liaison</b> Joann Kirby	<b>Email Contract Liaison</b> joann.kirby@cityofchicago.org	<b>Telephone</b> 3-0786		

<b>List Name of NCRB Attendees/Department</b> Kevin Givens, DFSS Joann Kirby, DFSS Brandie Knazze, DFSS Cerathel Burgess-Burnett, DFSS
--

Request NCRB review be conducted for the product(s) and/or service(s) described herein.

Company: Nulinx International

<b>Contact Person:</b> Hamid Kelishadi	<b>Phone:</b> 818.304.0110	<b>Email:</b> hk@mycopa.com
---	-------------------------------	--------------------------------

**Project Description:** We are respectfully requesting a Vendor Limit Increase (VLI) for an estimated value of \$505,600 with Nulinx International as detailed in Section 3.1.8 of the contract. The current contract covers the subscription services for Nulinx COPA System to support DFSS tracking needs for family and child data.

<b>This is a request for:</b> <input type="checkbox"/> New Contract	<input checked="" type="checkbox"/> Amendment / Modification
<b>Contract Type</b> <input type="checkbox"/> Blanket Agreement Term: ____ (# of mo) <input type="checkbox"/> Standard Agreement	<b>Type of Modification</b> <input type="checkbox"/> Time Extension <input checked="" type="checkbox"/> Vendor Limit Increase <input type="checkbox"/> Scope Change Contract Number: <u>34352</u> Specification Number: <u>134993</u> Modification Number: _____

<b>Department Request Approval</b>  DEPARTMENT HEAD OR DESIGNÉE LISA MORRISON BUTLER PRINT NAME 3/7/19 DATE	<b>Recommended Approval</b>  BOARD CHAIRPERSON STEVEN M. KOBODA PRINT NAME MAR 14 2019 DATE
---	---

<b>(FOR NCRB USE ONLY)</b>
Recommend Approval/Date: <u>✓SML</u>
Return to Department/Date: _____
Rejected/Date: _____

Approved  Rejected

CHIEF PROCUREMENT OFFICER  
MAR 15 2019  
DATE



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

All applicable information on this worksheet must be addressed using each question found on the "Instructions for Non-Competitive Procurement Application" in this application.

**Justification for Non-Competitive Procurement Worksheet**

**PROCUREMENT HISTORY**

1. Nulinx International, Inc. provides the Child Outcome Planning and Administration (COPA) software application to the Department of Family and Support Services (DFSS) Children Services Division and the Chicago Public Schools (CPS). DFSS first entered into a contract with Nulinx International, Inc. on June 1, 2004 under PO 6780. This contract was awarded to correct the final area of non-compliance for the City of Chicago's Head Start Program. The initial contract was procured as an emergency contract when it was realized that reconfiguring the tracking database in use at the time (the Head Start Eligibility Verification database) was taking longer than expected. Nulinx was identified with the assistance of Business Information Systems (now known as the Department of Innovation and Technology (DoIT)) as the only source which would meet all of our tracking needs for family and child data in addition to eligibility and enrollment. This functionality was important because it ties directly to DFSS' ability to reimburse its delegate agency service providers accurately and in a timely manner.

It was also determined that Nulinx was the most cost efficient vendor to produce customized reports mandated by Head Start's grantor, the United States Department of Health and Human Services (HHS). Later, DFSS was able to also add to its COPA system allowing us to better manage our Illinois Department of Human Services (IDHS) Child Care grant's attendance tracking and billing functions. Over time, even more functions and features have been incorporated into the COPA platform, leading to the creation of a truly one of a kind data management tool that has become an integral part of DFSS's management of its Head Start and Child Care grants.

In an effort to identify a more robust system and utilize an existing City of Chicago (CoC) technology vendor in 2016, DFSS and DoIT worked with Adsystem, an existing CoC technology vendor to build an online application for preschool enrollment to help fulfill Mayor Rahm Emanuel's second term transition priorities to streamline the preschool enrollment process for families. After building and launching the system, it became clear that Adsystem was not able to meet our long-term needs for enrollment and program management of the early childhood system in Chicago with their Enterprise Case Management (ECM) software licensed by the City of Chicago.

There were three major issues that we addressed with Adsystem after the launch of the application in Spring/Summer of 2016, which included:

A) The usability of the system: the family portal that was open to the public was very difficult to navigate. We received a high number of complaints and support calls from parents that were unable to make their way through the system. In addition, a key component of the execution strategy was the availability of "application assistants" who were trained to help families support the application. The technology was so difficult to use that the efficacy of this role was severely limited and we did not see a rise in the accessibility of the application process that we anticipated.

B) The integration with other existing data systems: In order for the application system to function for our school and community-based preschool programs, it must be aligned and integrated into the other existing databases used for program monitoring and management. This was a significant challenge for Adsystem, and we were assured that this issue could not be adequately fixed as we headed into the redevelopment for the 2017 application process.

C) Extracting usable data: In order to have a data-driven policy development process and to adequately evaluate our on the ground recruitment efforts, we need to receive timely, consistent, and reliable data from the application system. This was a significant issue in the first year of implementation. Our staff working on the system often had to spend days or weeks cleaning up and checking reports from ECM in order to provide the data to inform our marketing, outreach, and slot allocation distribution across the City.



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

After extensive deliberation with Adsystem, DoIT, and the program management teams responsible for the application, we decided to maintain COPA and use the system's newly developed parent portal to replace the ECM parent application that was not working for Chicago's programming.

COPA is vital and unique because of the size of our Head Start grant and the complexity created by managing multiple child care programs in one database. The City of Chicago's Head Start program is one of the largest single operating Head Start grants in the country. As such, we track 30,000 children and associated case files using the COPA system on a daily basis.

In 2016 PO 34352 was initiated with Nulinx and was extended in March 2017 with an expiration date of 1/26/2018 and a second extension was requested in March 2017 to extend the contract to 1/26/2019. Due to a number of major initiatives that were initiated by DFSS in 2017 which included the acquisition of \$72.8M in new grant funds with associated programmatic requirements and a new partnership with CPS, we were not able to issue a competitive RFP and ensure no interruption in service. The current Nulinx contract is set to expire 1/29/2019. On November 13, 2018, DFSS NCRB application was presented to the NCRB for review to initiate a new contract with Nulinx for 24 months from 1/27/2019 - 1/26/2021. On December 11, 2018 the NCRB application was approved by the Chief Procurement Officer.

2. Is this a first time requirement or a continuation of previous procurement from the same source?

This is a continuation of services. PO 34352 in January 2016 was awarded as a non-competitive contract for the period of 1/27/2017- 1/26/2018 with a contract value of \$579,600 and a contract amendment was executed on 9/18/17 in the amount of \$1,312,200 utilizing the NCRB process extending the contract to 1/26/2019. The NCRB approved a new contract for 1/27/2019 - 1/26/2021 valued at \$1,461,200.

The Department of Family and Support Services (DFSS) is requesting a Vendor Limit Increase with Nulinx International. This new contract will allow Nulinx to continue to enhance and maintain the COPA portal after the recent implementation of the Universal Application module in Spring 2018 which is consistent with the Mayor's 2015 Second Term Priorities.

Prior to DFSS' NCRB approval of a new contract in November 2018, DFSS met with the NCRB in January 2016 and June 2017, we had initially planned to only continue COPA through early 2019 while we implemented the development of the Universal Application parent portal and support the enrollment of 30,000 children and families that needed to be enrolled in the system as result of DFSS's partnership with the Chicago Public Schools (CPS). Even though the implementation of the parent portal was successful, many key deliverables were not implemented due to the swift transition from Adsystem to Nulinx. Given the importance of this project to the City's federal and state funding and for parent access to our early childhood programming, it was determined that it Nulinx's contract with DFSS needs to be executed for a two year term with two (1) years extensions so we can gather requirements and develop a RFP using data gathered from the technical assistance of 3SI who is a grant funded consulting firm that will assess the DFSS' technology needs for the COPA system.

While not awarding this Vendor Limit Increase is possible, it would place the Head Start, Child Care and CPS programs in jeopardy with our grantors as we would not be able to collect family and child data, reimburse our delegate agency providers and report on outcomes. Additionally, based on the complexity of our needs, and the customization of COPA, the system cannot be readily duplicated and time is needed to complete the 3SI assessment and to prepare for the RFP and submit to DPS.

3. Explain attempts made to competitively bid the requirement.

From the NCRB contract extension request for Nulinx in June 2017 to the current period DFSS has been in transition with the influx of \$72.8M in new funds from the Early Childhood Block Grant fund administered by CPS to fund community based organizations (CBO's) / early childhood delegates to ensure quality programming for the children enrolled in the COPA system. With the influx of funding required DFSS to manage 100 new delegate and the administration of second year of the COPA universal application. The partnership with CPS and needing to





**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

rapidly incorporate significant changes to COPA due to this new partnership delayed us in establishing the RFP in 2018 as initially presented.

4. Describe all research done to find other sources.

The previous contract with Nulinx International, Inc. was awarded through a non-competitive process in 2016. DFSS is worked with DoIT to determine the most optimal solution to manage the child and family data without having a gap in service delivery. The City of Chicago has received a private grant to support a system assessment of DFSS and CPS's technology system needs along with the universal preschool program requirements. The McCormick Foundation and Crown Family Philanthropies will be investing on behalf of CoC in 3SI, a technology consultancy out of Seattle, Washington, with deep expertise in early childhood data needs. 3SI will partner with Chapin Hall, DFSS's early learning research partner, to identify the current gaps in the technology system, assess the long-term needs in line with the expanded vision, and help identify the requirements of the vendor who will need to customize the system to meet Chicago's long-term needs for early learning data. This assessment will help DFSS define the scope of services needed to support and enhance the current COPA system. We believe this process will go through Q2 2019. The next step will be to write the requirements for the RFP

5. Explain future procurement objectives. Is this a one-time request or will future requests be made for doing business with the same source?

The Vendor Limit Increase is needed so that DFSS can continue to pay the current vendor (Nulinx) for the period of 1/27/19-7/26/2019 while the new contract for FY19-FY21 is executed. In order to have the time to support a competitive process for selecting a future technology solution given the comprehensive nature of the required grant management, we would like to sustain utilization of the COPA system. This will ensure that we have the time to thoughtfully review our needs and perform a competitive procurement with the use of 3SI as a technical resource to assist in the scope and RFP development.

6. Explain whether or not future competitive bidding is possible? If not, why?

Future competitive bidding is possible with the assistance of 3SI and with the implementation of the approved sole source contract for 1/27/19-1/26/2021 with Nulinx in December 2018, will provide DFSS the time and key information needed to develop a competitive RFP. DFSS will work with DPS to draft requirements for a new RFP to purchase a system for our Early Learning Head Start, State Early Childhood Block Grant and Child Care data management services. However, work is needed to maintain the Universal Application without interruption in the portal's operation since parents and school staff are updating the COPA continuously throughout the calendar year. During the RFP planning phases, access to COPA is still needed to handle reporting and program data to ensure we can keep the grant. Without access to the system, DFSS will not be able to complete basic tasks, including enrolling students, paying delegate agency service providers, tracking child and family data and running reports. Additionally COPA is needed to generate the periodic reports to our federal and state grantor as required under their executed grant agreements with DFSS.

ESTIMATED COST

1. What is the estimated cost for this requirement?

The estimated cost will be \$505,600

DFSS will use funds from its Head Start, Child Care and CPS grant monies given that the primary purpose of COPA is to manage Head Start and early learning information. During this time, Nulinx will not only maintain the parent portal/universal application, but also continue to provide data tracking and reporting functions, eligibility, attendance, assessment, assessment outcomes, health, disability goals, visits, child and family service provision, and state, federal and local reporting. COPA also will continue to provide human resource professional development tracking, e-mail reminders and calendar tasks and other resource management features.

2. What is the estimated cost by fiscal year?

The Vendor Limit Increase is estimated to cost \$505,600





**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

3. Explain the basis for estimating the cost and what assumptions were made and/or used.

Due to the implementation of the parent portal, system enhancements are needed to support the universal application, and integration with other data sources. Additional fees are needed broaden the scope of work given that we increased the number of families we serve to 30,000 for the current school year. As we predicted in 2017, the usage on the system doubled with the addition of new DFSS and CPS staff, delegate sites and families. Likewise, it is only natural that our costs for these services would increase. Additionally DFSS is requiring Nulinx to acquire project management and business analyst staff to maintain consistently in scope development and scope execution. The project teams at DFSS, CPS and Nulinx in 2018 meet daily to address shifting scopes and conflicting timelines. The new Nulinx staff should add a level of management control to reduce the team meetings and ensure the needs of DFSS/CPS are accurately being addressed in a timely fashion.

4. Explain whether the proposed Contractor or the City has substantial dollar investment in original design, tooling or other factors which would be duplicated at City expense if another source was considered

Nulinx has provided services to DFSS's Children Services Division since June 1, 2004. While the system was initially purchased as an off-the-shelf system, the City has invested significant time and money in the customization of COPA. These customizations allow DFSS to maintain compliance with its Head Start and Child Care grants, as well as manage the caseloads and reporting requirements. Nulinx has worked with DFSS to create a system that is based around our specific needs and requirements. Nulinx in 2018 was able to address DFSS' need for the development of a universal application that supports the CBO, parents and children whose activities are funded by the \$72.8M in grant funds from CPS currently administered by DFSS.

Before another system can be selected to provide program management and reporting services, our specific requirements need to be drafted, the system needs to be configured and tested and DFSS staff along with our delegate agencies will need time to transition from the COPA system to a new system.

5. Explain what negotiation of price has occurred or will occur?

DFSS has been in negotiations with Nulinx to discuss the most cost effective way to address additional system enhancement impacting the additional 300 delegate agency sites and multitude of new children and families that occurred were loaded into the system in the past year. Nulinx was very willing to negotiate its pricing and provide the reporting components at reduced rates. For the new contract we have worked with the vendor to ensure the scope details are clear and consistent allowing the vendor to price appropriately.

**SCHEDULE REQUIREMENTS**

1. Explain how the schedule was developed and what point the specific dates were known.

We intend to finalize our technical assessment of COPA by Q2 2019 with the assistance of 3SI that will conduct a full assessment of the core COPA system and data structure, DFSS/CPS program requirements and COPA scope documentation. The outcome of this activity by the technical group will be the presentation of viable enhancement options that are either off the shelf solutions, custom development and a combination of both.

Additionally the technical group will provide:

- A full internal analysis on the needs of a technology system in our new model of early childhood implementation, including universal full-day preschool
- Interviews with stakeholders from a variety of perspectives to help define the comprehensive suite of services needed from the new information technology system for managing the new program
- Development of a comprehensive set of requirements for an RFP that encompasses the full early childhood landscape needs



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

**EXCLUSIVE OR UNIQUE CAPABILITY**

1. If contemplating hiring a person or firm as a Professional Service Consultant, explain in detail what professional skills, expertise, qualifications, and/or other factors make this person or firm exclusively or uniquely qualified for the project. Attach a copy of the cost proposal, scope of services, and Temporary Consulting Services Form.

Not applicable.

2. Does the proposed firm have personnel considered unquestionably predominant in the particular field?

Nulinx International, Inc. is the developer, sole proprietor and operator of the COPA system. As such, their personnel is highly skilled and well-trained in working with this unique system and in this field.

3. What prior experiences of a highly specialized nature does the person or firm exclusively possess that is vital to the job, project or program?

Nulinx International, Inc. is the developer, sole proprietor and operator of the COPA system. There are not other providers of COPA. While there are other providers who provide similar services (as determined by Head Start regulations), none of them provide the COPA system itself. Additionally, Nulinx International is the only organization in the country providing combined Head Start and Child Care tracking and reporting in combination with site monitoring, work flow process, and integrated billing and reimbursement functions under one platform. This alone makes COPA a unique system.

4. What technical facilities or test equipment does the person or firm exclusively possess of a highly specialized nature which is vital to the job?

Not applicable.

5. What other capabilities and/or capacity does the proposed firm possess which is necessary for the specific job, project or program which makes them the only source who can perform the work within the required time schedule without unreasonable costs to the City?

As the only provider of the COPA system, Nulinx is considered a unique and predominant leader in the child outcomes, assessment and reporting field. In addition, Nulinx has uniquely customized this application to DFSS to allow us to meet the needs of our funders and process large volumes of information. The system is able to process over 50,000 individual case files and provides significant reporting and monitoring capabilities based on the data that is entered. Based on our current requirements, it will take some time to develop the requirements for a new system that is as robust as COPA. Additionally, DFSS's experience with Nulinx has only been positive.

6. If procuring products or equipment, describe the intended use and explain any exclusive or unique capabilities, features and/or functions the items have which no other brands or models, possess. Is compatibility with existing equipment critical from an operational standpoint? If so, provide detailed explanation?

Not applicable.

7. Is competition precluded because of the existence of patent rights, copyrights, trade secrets, technical data, or other proprietary data (attach documentation verifying such)?

Nulinx's COPA system uses proprietary software. However, DFSS would like a vendor limit increase to allow the current vendor to continue the work they initiated under their current contract and ease the transition into their new two year contract. DFSS plans to issue a competitive RFP in 2019.

8. If procuring replacement parts and/or maintenance services, explain whether or not replacement parts and/or services can be obtained from any other sources? If not, is the proposed firm the only authorized or exclusive dealer/distributor and/or service center? If so, attach letter from manufacturer on company letterhead.

Not applicable.

**OTHER**

1. M/WBE Compliance Plan - Nulinx has submitted a request for a waiver to DFSS. This is included in the submission.



**DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET**

2. The following documents are being submitted for reference:
- a. Scope of Services
  - b. Proposed Budget for Vendor Limit Increase Cost of COPA Services
  - c. Insurance Certificate
  - d. Proof of EDS
  - e. Applicable Grant Agreements





# DEPARTMENT OF PROCUREMENT SERVICES NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION INSTRUCTIONS FOR NON-COMPETITIVE PROCUREMENT APPLICATION

## INSTRUCTIONS FOR PREPARATION OF NON-COMPETITIVE PROCUREMENT APPLICATION

If a City Department has determined that the purchase of supplies, equipment, work and/or services cannot be done on a competitive basis, a justification must be prepared on this "Justification for Non-Competitive Procurement Application" in which procurement is requested on a or non-competitive basis in accordance with 65 ILCS 5/8-10-4 of the Illinois Compiled Statutes. Using this instruction sheet, all applicable information must be addressed on the worksheet. The information provided must be complete and in sufficient detail to allow for a decision to be made by the Non-Competitive Procurement Review Board. For Amendments, Modifications, describe in detail the change in terms of dollars, time period, scope of services, etc., its relationship to the original contract and the specific reasons for the change. Indicate both the original and the adjusted contract amount and/or expiration date with this change.

Attach a DPS Checklist and any other required documentation; the Board will not consider justification with incomplete information documentation or omissions.

### PROCUREMENT HISTORY

1. Describe the requirement and how it evolved from initial planning to its present status.
2. Is this a first time requirement or a continuation of previous procurement from the same source? If so, explain the procurement history.
3. Explain attempts made to competitively bid the requirement (attach copy of sources contacted).
4. Describe in detail all research done to find other sources; list other cities, companies in the industry, professional organizations contacted. List periodicals and other publications used as references.
5. Explain future procurement objectives. Is this a one-time request or will future requests be made for doing business with the same source?
6. Explain whether or not future competitive bidding is possible. If not, explain in detail.

### ESTIMATED COST

1. What is the estimated cost for this requirement or for each contract, if multiple awards are contemplated? What is the funding source?
2. What is the estimated cost by fiscal year?
3. Explain the basis for estimating the cost and what assumptions were made and/or data used (i.e., budgeted amount, previous contract price, current catalog or cost proposal from firms solicited, engineering or in-house estimate, etc.)
4. Explain whether the proposed Contractor or the City has a substantial dollar investment in original design, tooling or other factors which would be duplicated at City expense if another source was considered. Describe cost savings or other measurable benefits to the City which may be achieved.
5. Explain what negotiation of price has occurred or will occur. Detail why the estimated cost is deemed reasonable.

### SCHEDULE REQUIREMENTS

1. Explain how the schedule was developed and at what point the specific dates were known.
2. Is lack of drawings and/or specifications a constraining factor to competitive bidding? If so, why is the proposed Contractor the only person or firm able to perform under these circumstances? Why are the drawings and specifications lacking? What is the lead time required to get drawings and specifications suitable for competition? If lack of drawings and specifications is not a constraining factor to competitive bidding, explain why only one person or firm can meet the required schedule.
3. Outline the required schedule by delivery or completion dates and explain the reasons why the schedule is critical.
4. Describe in detail what impact delays for competitive bidding would have on City operations, programs, costs and budgeted funds.

### EXCLUSIVE OR UNIQUE CAPABILITY

1. If contemplating hiring a person or firm as a Professional Service Consultant, explain in detail what professional skills, expertise, qualifications, and/or other factors make this person or firm exclusively or uniquely qualified for the project. Attach a copy of the cost proposal, scope of services, and Temporary Consulting Services Form.
2. Does the proposed firm have personnel considered unquestionably predominant in the particular field?
3. What prior experiences of a highly specialized nature does the person or firm exclusively possess that is vital to the job, project or program?
4. What technical facilities or test equipment does the person or firm exclusively possess of a highly specialized nature which is vital to the job?
5. What other capabilities and/or capacity does the proposed firm possess which is necessary for the specific job, project or program which makes them the only source who can perform the work within the required time schedule without unreasonable costs to the City?
6. If procuring products or equipment, describe the intended use and explain any exclusive or unique capabilities, features and/or functions the items have which no other brands or models possess. Is compatibility with existing equipment critical from an operational standpoint? If so, provide detailed explanation?
7. Is competition precluded because of the existence of patent rights, copyrights, trade secrets, technical data, or other proprietary data (attach documentation verifying such)?
8. If procuring replacement parts and/or maintenance services, explain whether or not replacement parts and/or services can be obtained from any other sources? If not, is the proposed firm the only authorized or exclusive dealer/distributor and/or service center? If so, attach letter from manufacturer on company letterhead.

### MBE/WBE COMPLIANCE PLAN

- \* All submissions must contain detailed information about how the proposed firm will comply with the requirements of the City's Minority and Women Owned Business program. All submissions must include a completed C-1 and D-1 form, which is available on the Procurement Services page on the City's intranet site. The City Department must submit a Compliance Plan, including details about direct and indirect compliance.

### OTHER

1. Explain other related considerations and attach all applicable supporting documents, i.e., an approved "ITGB Form" or "Request For Individual Hire Form".

### REVIEW AND APPROVAL

**This application must be signed by both Originator of the request and signed by the Department Head. After review and final disposition from the Board, this application will be signed by the Board Chairman. After review and final disposition from the Board, this form will be presented to the Chief Procurement Officer recommending approval.**

Attach required forms for each procurement type and detailed scope of services and/or specifications and forward original documents to the Chief Procurement Officer; City Hall, Room 806.

**Date:** 3/7/2019

**Department Name:**  
Family and Support Services

**Requisition No:** 251338      **Specification No:** 134993

**PO No:** 34352      **Modification No:**

**Contract Liaison:**  
Joann Kirby

**Telephone:**  
312-743-0786

**Email:**  
joann.kirby@cityofchicago.org

**Project / Program Manager:**  
Kevin Givens

**Telephone:**  
312-746-8534

**Email:**  
kevin.givens@cityofchicago.org

**Check One:**  
 New Contract Request

*\*By signing below, I attest the estimates provided for this contract are true and accurate.*

**For Blanket Agreements, the lead department must consult with other departments who may want to participate in the Blanket Agreement. If grant funded, attach copy of the approved grant application and other terms and conditions of the funding source.**

**Note:**  
1) **Funding:** Attach information if multiple funding lines  
2) **Individual Contract Services:** Include approval form signed by all parties  
3) **ITGB:** IT project valued at \$100,000.00 or more, attach approval transmittal sheet.

**\*Contract Liaison Signature**  
*Joann Kirby*

*\*By signing this form, I attest that all information provided is true and accurate.*

**Project Title:** Subscription Services for Nulinx COPA system Vendor Limit Increase (VLI)

**Project Description:** DFSS is requesting a Vendor Limit Increase detailed in Section 3.1.8 of the contract for an estimated value of \$505,600

**Funding:**

<input type="checkbox"/> Corporate	<input type="checkbox"/> Bond	<input type="checkbox"/> Enterprise	<input type="checkbox"/> Grant	<input type="checkbox"/> Other:
<input type="checkbox"/> IDOT/Transit	<input type="checkbox"/> IDOT/Highway	<input type="checkbox"/> FHWA	<input type="checkbox"/> FTA	<input type="checkbox"/> FAA

LINE	FY	FUND	DEPT	ORGN	APPR	ACTV	PROJECT	RPTG	ESTDOLLAR AMOUNT
	018	0779	050	2005	9100	0190	P050201 04520	192600	\$505,600

**\*Project / Program Manager Signature**  
*Kevin Givens*

**\*Commissioner/Authorized Designee Signature**  
*John Martinez*

**Purchase Order Type:**

Blanket/Purchase Order (DUR)  
 Master Consultant Agreement (Task Order)  
 Standard/One-Time Purchase

**Procurement Method:**

Bid     RFP     RFQ     RFI  
 Small Order

**Special Approvals Required:**

Emergency  
 Non-Competitive Review Board (NCRB)  
 Request for Individual Contract Services  
 Information Technology Governance Board (ITGB)  
 IDOT Concurrence

**Purchase Order Information:**

**Contract Term (No. of Months):** \_\_\_\_\_

**Extension Options (Rate of Recurrence):** \_\_\_\_\_

**Estimated Spend/Value:** \$ 505,600

**Grant Commitment / Expiration Date:** \_\_\_\_\_

**Pre-Bid/Submittal Conference:**  Yes     No

Mandatory     Site Visit

**Contract Type:**

Architect Engineering     Commodity     Construction     JOC     SBI  
 Professional Services     Revenue Generating     Vehicle & Heavy Equipment  
 Work Service     Joint Procurement     Reference Contract

**Modification or Amendment**

**Modification Information:**

**PO Start Date:** \_\_\_\_\_

**PO End Date:** \_\_\_\_\_

**Amount (Increase/Reduction):** \$ 505,600

**MBE/WBE/DBE Analysis:** (Attach MBE/WBE/DBE Goal Setting Memo)

Full Compliance     Contract Specific Goals  
 No Stated Goals     Waiver Request

**Risk Management / EDS / IDOT**

**Insurance Requirements (included)**     Yes     No

**EDS Certification of Filing (included)**     Yes     No

**IDOT Concurrence (required)**     Yes     No

**Safety Enhancing Vehicle Equipment (MCC 2-92-597) Yes \_\_\_ No \_\_\_**

**Modification/Amendment Type:**

Time Extension     Scope Change/Price Increase /Additional Line Item(s)  
 Vendor Limit Increase     Requisition Encumbrance Adjustment  
 Other (specify): \_\_\_\_\_

**Vendor Information**

**Name:** Nulinx International, Inc.

**Contact:** Hamid Kelishadi

**Address:** 18425 Burbank Blvd. Suite 614 Tarzana, CA 91356

**E-mail:** hk@mycopa.com

**Phone:** 818-304-0110



February 26, 2019

Mr. Kevin Givens, Deputy Commissioner- Department of Family and Support Services  
1615 West Chicago Avenue  
Chicago, IL. 60622

Re: 2019 6 month Budget – Vendor Limit Increase

Dear Mr. Givens,

Please find our proposed budget and cost schedule for customizations, maintenance and support with regards to COPA services for the City of Chicago based on our current understanding of the scope of services asked for the first 6 months of year 2019.

**2019 Budget and Cost Schedule for COPA Software**

• Subscription fee for COPA Software and Support	\$312,500
• Subscription Fee for COPAorg	\$ 47,500
• COPAnet Intranet solution Subscription	\$ 6,300
• COPAnet Intranet solution Subscription. "my.fssagency.com"	\$ 6,300
• COPAnet Intranet solution. "my.fssagency.com" Email Archiving	\$ 6,000
• Monthly Subscription Fee for COPA. CysTraining.mycopa.com	\$ 6,000
• Subscription Fee for e-docs (up to 1TB)	\$ 6,000
• CABS and Billing Module for State Child Care	\$ 15,000
• Customizations - Various process enhancements, customizations, reports and projects	\$ 100,000

**Total: \$505,600**

If you have any questions, please do not hesitate to contact me.

**Hamid Kelishadi**

**By Nulinx Int'l, Inc.**  
18425 Burbank Blvd., Suite 614  
Tarzana, CA 91356  
Office: 818.304.0110  
[hk@mycopa.com](mailto:hk@mycopa.com)





DEPARTMENT OF FAMILY AND SUPPORT SERVICES  
CITY OF CHICAGO

MEMORANDUM

**To:** Shannon E. Andrews  
Chief Procurement Officer  
Department of Procurement Services

**Attn:** Steve Loboda  
Deputy Procurement Officer  
Department of Procurement Services

**From:**   
Lisa Morrison Butler  
Commissioner  
Department of Family and Support Services

**Subject:** Vendor Limit Increase  
Vendor: Nulinx International, Inc.  
PO Number: 34352                      Specification: 134993                      Requisition Number: 251338

**Date:** February 25, 2019

---

The Department of Family and Support Services (DFSS) is requesting a Vendor Limit Increase (VLI) with Nulinx International, Inc. for subscription services for Nulinx COPA System. The COPA System supports DFSS' tracking needs for family and child data in addition to eligibility and enrollment of the City's Early Childhood Program.

We are withdrawing the "181 Contract Extension Request" component delineated in our NCRB Application and that we request the NCRB review the portion of our request as related to the funding of the Vendor Limit Increase. DFSS is exercising the Vendor Limit Increase option as stated in Section 3.1.8 of the contract. The cost of the VLI requested is \$505,600. DFSS was delayed in the submittal of the Vendor Limit Increase due to our recent notification that DFSS needed to submit a new NCRB packet.

A DPS Project Checklist and supporting documents are included with this memo.

If you should have any questions, please feel free to contact Kevin Givens at 312-746-8534 or Joann Kirby at 312-743-0786.

Thank you.


cc: Jonathan Ernst, DFSS              Kevin Givens, DFSS              Joann Kirby, DFSS              Monica Jimenez, DPS



DEPARTMENT OF FAMILY AND SUPPORT SERVICES  
CITY OF CHICAGO

**MEMORANDUM**

**To:** Monica Jimenez  
First Deputy Procurement Officer  
Department of Procurement Services

**From:**   
Lisa Morrison Butler  
Commissioner  
Department of Family and Support Services

**Subject:** M/WBE Waiver Request for Vendor Limit Increase  
Vendor: Nulinx International, Inc.  
PO Number: 34352  
Specification: 134993  
Requisition Number: 251338

**Date:** February 25, 2019

---

The Department of Family and Support Services (DFSS) uses Nulinx International's Child Outcome Planning and Assessment (COPA) system to manage, track, and report on child and family information related to its Head Start, Early Head Start, Child Care Assistance and Community Partnership programs. This system allows DFSS to manage multiple Federal and State funded child care programs in one database. There are approximately 300 community sites and 30,000 children and families in the DFSS Early Learning Program.

The COPA system is a proprietary software system that Nulinx has developed and customized primarily for DFSS. The system is a hosted solution that is accessible via the internet. In order to protect the source code and maintain the confidentiality of information, Nulinx does not partner or subcontract with other vendors including M/WBE vendors. Further, the headquarters of the firm is based in Los Angeles which makes obtaining indirect M/WBE participation from local Chicago vendors challenging.

The request is for a Vendor Limit Increase as detailed in Section 3.1.8 of the contract for an estimated value of \$505,600. We are requesting a waiver request for this procurement as there are limited options for compliance.

If you should have any questions, please contact Kevin Givens at 312-746-8534 or [kevin.givens@cityofchicago.org](mailto:kevin.givens@cityofchicago.org).

Thank you.

## EXHIBIT 1

# Scope of Services

---

Contractor will provide the following under this Agreement:

Contractor is an active solution provider to Head Start programs, Community Action Agencies, Child Care providers and City and State Agencies. Contractor's software, COPA, provides enhanced child, family, staff and resource data management, reporting, monitoring and collaboration tools, that is provided as a fully hosted solution.

Contractor's COPA provides data tracking and reporting on Head Start and Child care funded families and children and is a hosted web-based solution. As a hosted solution, all necessary servers, server-side bandwidth, storage, firewall, system administration and maintenance is provided. A dedicated database is setup for City's Department of Family and Support Services (DFSS) encompassing all delegate agencies, sites and classrooms.

"Data" refers to information captured in the COPA/CABS system such as the child, parent, delegate agency, and classroom information that is use to make determinations including, but not limited to system administration, enrollment, registration, placement, eligibility, health standards, and human resources information for the City of Chicago's head start / early head start programs.

"Formatted Data" is provided in structured tables with corresponding data definition tables. Additionally, there may be data transfer documentation to interpret the data provided. This ensures that all Data can be reconciled and easily understood and evaluated. Examples of formatted data can be provided in an Excel, CSV file or any other industry standard database format.

Contractor's COPA will provide its monitoring and site visit tracking software and its collaboration and intranet known as COPAnet to the DFSS, its staff and delegates. (COPAnet is a branded product developed, powered and hosted by Infostreet Inc., and is provided to the City by Nulinx.

Contractor's COPA will provide a window's based interface that is able to read the data scanned and collected by the existing card readers into Contractor's attendance module to monitor and record children's attendance.

The modular nature of COPA will provide a highly customizable solution that can create additional modules and functionalities to match City's need. The scope of customization will be decided and agreed upon by mutual discussions and it will be compatible with the structure of COPA. Customization charges and time of delivery depend on the scope of work and need to be confirmed and finalized per individual specifications. For those customizations the City requirements will be invoiced for the development and maintenance of these customizations. Nulinx retains the ownership of all customization. All future customization will be performed at the agreed hourly rate and by amendment to this Agreement.



The City and Contractor agree that prior to entering into this Agreement, Contractor has developed the COPA solution, a web-based program for processing child information management. Contractor has the exclusive and sole rights to any discovery or invention arising out of or developed in the course of this Agreement and its full confidentiality. Under this Agreement, Contractor may customize or alter its proprietary program to fit the needs of the City. All rights, licenses and royalties belong solely to the Contractor. No other party has a royalty free, non-exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use any or all copyrighted or patented material, without the written consent of the Contractor.

The City will be responsible for the maintenance of City Data and all other inputs in relation to the users and the children. Contractor will further have access to all user information, children and family information and data within the System on an as needed basis. The City may update the database, user information, child and family information.

The City and Contractor acknowledge that while COPA solution may be capable of automating a number of different, assessment instruments, Contractor will not responsible for copyright issues or to seek any necessary permits or licenses in connection with use by the City of any such instrument, tool, or any other educational or other material or information which the City may elect to use of COPA solution.

Contractor will provide customization of the software system. City will approve all customization projects prior to completion. Contractor will retain ownership of all customization.

COPA provides various on-line training resources including a User manual, Frequently Asked Questions, Flash Demos, Help sections and a training site. These resources will be made available to all users.

Additional Services may be required for this project not covered under this Scope of Services. Additional Services will be covered under an amendment to this Agreement.

The COPA family of solutions in this Agreement include COPA, COPA*org* and COPA*net*.

1. COPA is the signature child and family data management software tracking enrollment, eligibility, child and family services, Assessment, outcome, health, disability, goals, visits, federal and local reporting, NRS, PIR and much more, including HR, professional development and resource management features.
2. COPA*org* is the organizational tool for monitoring, self assessment, auditing, site visit tracking, document management and routing, access controlled file sharing, and automated form submissions and approvals such as time sheets, purchase requisitions, contract approval and more.
3. COPA*net* is the intranet/extranet system providing communication and collaboration tools such as mail, calendar, mailing lists, task management, publisher, directory, file sharing, contact manager, knowledge base, automated help system and more.

COPA will have no extra fees such as licensing, hardware or software installation, user or site fees

except for additional licenses, hardware or services requested by the City.

The hosted Software will be supported by the Contractor as defined herein. The support includes telephone and on-line support.

The hosted Software will include the following:

1. Software license to Child Outcome Planning and Administration Software)
2. Software maintenance
3. Software upgrades and software bug fixes
4. Hardware and operating software at Contractor hosted locations
5. Software hosting and connectivity via the internet (world wide web)
6. First level on-line support for Users (username/password notices, system access)
7. On-line support for Department staff
8. Limited phone support for Department staff
9. Access to online help tools
10. Up to date training manuals and quick help guides
11. Primary support hours from 9:00 AM to 5:00 PM Pacific Standard Time (PST)
12. Primary support days Mondays through Friday

The hosting system that provides the Software access will be composed of multiple layers and multiple servers. Each primary function (web/application, database, notifications, interfaces) is controlled by a different layer. The hosting system is structured for 24 hours/7 days a week availability with a goal of 99.99 percent availability during business hours and 99.9 percent availability all other times, including maintenance and upgrades.

The hosting system will provide the following security features:

1. Data and hosted system access is strictly controlled
2. City Data is confidential
3. Hardware and software firewalls installed
4. Servers in locked cabinet in extremely secure co-location facility with redundant power source and internet connectivity.
5. Back-up hosting locations
6. Password protected account for all users
7. Detailed user/transaction audit trails
8. Data encryption availability for data transmission and storage
9. No browser cookies that are not unique 32 character strings randomly generated
10. No client software to install

## **MAINTENANCE AND SUPPORT SERVICES**

During the term of the Agreement, Contractor will continually update the Child Outcome Planning and Administration Software. These updates will be product enhancements and also system modifications. Once tested, software release, updates and maintenance are automatically made available to all users via the City of Chicago's access to the System.

For City queries received by Contractor support personnel from 9:00 AM – 5:00 PM Pacific Standard Time, Monday through Friday except for nationally recognized holidays, the issue will either be answered during the initial telephone/on-line interaction or Contractor will research the issue and provide City with a verbal and written response within four (4) hours of the initial call if it is a Priority 1 or Priority 2 issue as defined herein when possible. Subsequent status updates will be provided either by system-wide communication updates or from an individual from the Contractor support personnel.

For City queries received by Contractor support personnel from 5:00 PM – 9:00 AM Pacific Standard Time, Monday through Friday and on weekends and nationally recognized holidays, the issue will be responded through system-wide communication updates to City no less frequently than noted for the particular Priority or by an individual from Contractor support personnel by 8:00 AM of the following business day when possible. Maintenance and Support managers' wireless telephone numbers will also be available for after-hours emergencies.

Contractor must track all Software bugs and problem requests and those that result in more than a two hour lack of access to the service must be automatically escalated to senior executive management at both Contractor and that of the City. Non crucial software bugs and problems must be addressed within one week when possible and incorporated into the maintenance and support software service. All bugs and software issues are tracked internally by Contractor.

## Priority Levels and Response Times

Priority	Definition	Support	City Update
<b>One (1)</b>	An issue is assigned Priority One if: (1) the Software is inaccessible by City and users; or (2) the Service is materially and generally not functioning in conformance with specifications.	Upon assignment of Priority One, Nulinx immediately creates a task force to work the issue until there is resolution, including all task force members remaining on issue resolution until there is resolution. Nulinx will make commercially reasonable efforts to provide appropriate resolution or appropriate "work around" within two (2) business days of initial notification of issue/error.	City must initially be updated within 4 hours of the in-bound query. After this, the City must be updated every twelve (12) hours.
<b>Two (2)</b>	An issue is assigned Priority Two if one or more significant components of the Software are materially not functioning in conformance with specifications.	Upon assignment of Priority Two, Nulinx immediately creates a task force to work the issue to resolution, including all task force members remaining on issue resolution until there is resolution. Nulinx will make commercially reasonable efforts to provide appropriate resolution or appropriate "work around" within five (5) business days of initial notification of issue/error.	City must initially be updated within 4 hours of the in-bound query. After this, City must be updated every twenty four (24) hours
<b>Standard</b>	All other issues are assigned Standard Priority and are prioritized for resolution in the normal, scheduled process of fixes and enhancements released in monthly service packs.	Standard Priority issues are prioritized according to severity of the impact across Nulinx's active customer base.	City will be updated upon request

Kevin Grews 12/21/18





December 12, 2018

Mr. Kevin Givens, Deputy Commissioner  
Department of Family and Support Services  
1615 West Chicago Avenue  
Chicago, IL. 60622

Re: Sole Source Provider - Contract Extension

Dear Mr. Givens,

COPA software is a proprietary software that has been developed exclusively by Nulinx International Inc. and it has been in use by Chicago's DFSS since 2004 and is currently serving over 6000 users of Chicago public schools and community based organizations across the City.

Over the last 14 years, COPA has been extensively enhanced and customized based on needs and requirements of the City, CPS and Department of Family and Support Services. This highly customized version of COPA is a unique solution with the complexity to manage multiple Federally, State and locally funded early childhood programs in one database.

In addition, COPA is in the forefront of the Early Childhood Education centralized application process, a Mayor Rahm Emanuel's *Chicago: Ready to Learn!* Initiative, and is further enhanced to help manage resources of CPS and DFSS under one early education system. COPA will be in use by programs across the city, expanding access to schools and community based organizations for improving the quality of early childhood programs' reporting, monitoring and data collection.

COPA's unique online universal application platform, enables families to seek services across the City and empowers providers to offer services to their full enrollment capacity.

No other readily available software solution in the market provides such comprehensive, specific and customized set of features. That makes COPA uniquely qualified as a sole source provider.

If you have any questions, please don't hesitate to contact me at [hk@mycopa.com](mailto:hk@mycopa.com) or by calling 818-304-0110.

Best regards,  
*Hamid Kelishadi*

Hamid Kelishadi  
President



December 12, 2018

Mr. Kevin Givens, Deputy Commissioner  
Department of Family and Support Services  
1615 West Chicago Avenue  
Chicago, IL. 60622

Re: MBE/WBE waiver - Contract Extension

Dear Mr. Givens,

We would like to extend our gratitude for the opportunity granted to Nulinx International Inc. to provide COPA software to the City of Chicago, CPS and Department of Family and Support Services (DFSS). Due to the nature of Nulinx's COPA software, we respectfully request a waiver of the city's MBE/WBE goals on this contract.

Nulinx International Inc. is committed to assisting in the growth of Chicago area MBE/WBE firms and will offer MBE/WBE subcontracting opportunities whenever possible. Unfortunately, this annual service contract does not provide for any.

COPA software is a proprietary software that has been developed exclusively by Nulinx International Inc. No other company ( except our authorized representatives) are permitted, qualified or authorized to provide the comprehensive scope of COPA services required by the City of Chicago, CPS and Department of Family and Support Services to manage, monitor and serve children and families from multiple funding sources.

Nulinx International Inc.'s COPA software is being provided to the City as a hosted solution accessible via the internet. Because of the proprietary nature of the service agreement, confidentiality of information, expertise on the technology and subject and scope of services provided, there is no direct local subcontracting opportunity, MBE/WBE or otherwise, for Nulinx International, Inc. to provide.

If you have any questions, please don't hesitate to contact me directly at [hk@mycopa.com](mailto:hk@mycopa.com) or by calling 818-304-0110.

Best regards,

*Hamid Kelishadi*

Hamid Kelishadi  
President



CERTIFICATE OF FILING FOR  
CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 133921

Date of This Filing:09/26/2018 04:27 PM

Certificate Printed on: 09/26/2018

Original Filing Date:09/26/2018 04:27 PM

Disclosing Party: Nulinx International Inc.

Title:President

Filed by: Mr. Hamid Kelishadi

Matter: Early Childhood data management system

Applicant: Nulinx International Inc.

Specification #: 134993

Contract #: 34392

The Economic Disclosure Statement referenced above has been electronically filed with the City. Please provide a copy of this Certificate of Filing to your city contact with other required documents pertaining to the Matter. For additional guidance as to when to provide this Certificate and other required documents, please follow instructions provided to you about the Matter or consult with your City contact.

A copy of the EDS may be viewed and printed by visiting <http://webapps1.cityofchicago.org/EDSWeb> and entering the EDS number into the EDS Search. Prior to contract award, the filing is accessible online only to the disclosing party and the City, but is still subject to the Illinois Freedom of Information Act. The filing is visible online to the public after contract award.





## Angelina Santos

---

**From:** Hamid Kelishadi (COPA) <hk@mycopa.com>  
**Sent:** Friday, December 21, 2018 12:58 PM  
**To:** Kevin Givens; Angelina Santos  
**Subject:** Re: City of Chicago - Contract Terms and Conditions

Following my previous email, we agree to the terms and conditions of the existing contract to be applied and carried over to the 180 day extension term.

**Sincerely,**

**Hamid Kelishadi**



Child Outcome, Planning & Administration

**By Nulinx Int'l, Inc.**  
18425 Burbank Blvd., Suite 614  
Tarzana, CA 91356  
Office: 818.304.0110  
[hk@mycopa.com](mailto:hk@mycopa.com)

*COPA is the nation's leading 100% web-based Management Software for Early Childhood & Community Services. This email message is for the sole use of the intended recipient(s) and may contain confidential and privileged information. Any unauthorized review, use, disclosure or distribution is prohibited. If you are not the intended recipient, please contact the sender by reply email, and destroy all copies of the original message.*

On 12/20/2018 3:45 PM, Hamid Kelishadi (COPA) wrote:

Kevin,

We have received the document 'IT Pro Serv single project 09-07-2018' and it's under review. Attached, please find the signed budget form. I had to change \$350,000 to \$325,000 to match the total amount.

Please let me know I you have any questions.

**Sincerely,**

**Hamid Kelishadi**



Child Outcome, Planning & Administration

**By Nulinx Int'l, Inc.**

**GRANT AGREEMENT**



**BETWEEN  
THE STATE OF ILLINOIS, DEPARTMENT OF HUMAN SERVICES  
AND  
CHICAGO CITY OF**

The Illinois Department of Human Services (IDHS) (Grantor), with its principal office at 100 South Grand Avenue East, Springfield, IL 62762, and CHICAGO CITY OF (Grantee), with its principal office at 333 S State St Chicago, IL 60604-3900 and payment address (if different than principal office) at \_\_\_\_\_, hereby enter into this Grant Agreement ("Agreement"). Grantor and Grantee are collectively referred to herein as "Parties" or individually as a "Party".

**PART ONE – THE UNIFORM TERMS  
RECITALS**

WHEREAS, it is the intent of the Parties to perform consistent with all Exhibits and attachments hereto and pursuant to the duties and responsibilities imposed by Grantor under the laws of the State of Illinois and in accordance with the terms, conditions and provisions hereof.

NOW, THEREFORE, in consideration of the foregoing and the mutual agreements contained herein, and for other good and valuable consideration, the value, receipt and sufficiency of which are acknowledged, the Parties hereto agree as follows:

**ARTICLE I  
AWARD AND GRANTEE-SPECIFIC INFORMATION AND CERTIFICATION**

1.1. **DUNS Number; SAM Registration; Nature of Entity.** Under penalties of perjury, Grantee certifies that 956049399 is Grantee's correct DUNS number, that 36-6005820 is Grantee's correct FEIN or Social Security Number, and that Grantee has an active State registration and SAM registration. Grantee is doing business as a (check one):

- |  |   |
|--|---|
| <input type="checkbox"/> Individual                            | <input type="checkbox"/> Pharmacy-Non Corporate   |
| <input type="checkbox"/> Sole Proprietorship                   | <input type="checkbox"/> Pharmacy/Funeral Home/Cemetery Corp.                             |
| <input type="checkbox"/> Partnership                           | <input type="checkbox"/> Tax Exempt   |
| <input type="checkbox"/> Corporation (includes Not For Profit) | <input type="checkbox"/> Limited Liability Company (select applicable tax classification) |
| <input type="checkbox"/> Medical Corporation                   | <input type="checkbox"/> P = partnership  |
| <input checked="" type="checkbox"/> Governmental Unit          | <input type="checkbox"/> C = corporation  |
| <input type="checkbox"/> Estate or Trust                       |   |

If Grantee has not received a payment from the State of Illinois in the last two years, Grantee must submit a W-9 tax form with this Agreement.

1.2. **Amount of Agreement.** Grant Funds (check one)  shall not exceed or  are estimated to be \$26,000,000.00, of which \$0.00 are federal funds. Grantee agrees to accept Grantor's payment as

specified in the Exhibits and attachments incorporated herein as part of this Agreement.

1.3. Identification Numbers. If applicable, the Federal Award Identification Number (FAIN) is N/A, the Federal awarding agency is N/A, and the Federal Award date is N/A. If applicable, the Catalog of Federal Domestic Assistance (CFDA) Name is N/A and Number is N/A. The Catalog of State Financial Assistance (CSFA) Number is 444-80-1223.

1.4. Term. This Agreement shall be effective on Jul 1, 2017 and shall expire on Jun 30, 2018 unless terminated pursuant to this Agreement.

1.5. Certification. Grantee certifies under oath that (1) all representations made in this Agreement are true and correct and (2) all Grant Funds awarded pursuant to this Agreement shall be used only for the purpose(s) described herein. Grantee acknowledges that the Award is made solely upon this certification and that any false statements, misrepresentations, or material omissions shall be the basis for immediate termination of this Agreement and repayment of all Grant Funds.

1.6. Signatures. In witness whereof, the Parties hereto have caused this Agreement to be executed by their duly authorized representatives.

ILLINOIS DEPARTMENT OF HUMAN SERVICES

CHICAGO CITY OF

By: [Signature]  
Signature of James T. Dimas

By: [Signature]  
Signature of Authorized Representative

By: [Signature]  
Signature of Designee

Date: 9/11/17  
Printed Name: Lisa Morrison Butler

Date: 9-15-17  
Printed Name: M. Myers

Printed Title: Commissioner

Printed Title: Contract Obligation Analyst  
Designee

E-mail: lm.butler@cityofchicago.org

By: \_\_\_\_\_  
Signature of First Other Approver, if Applicable

FEIN: 36-6005820

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

Printed Name: \_\_\_\_\_

Printed Title: \_\_\_\_\_

Other Approver

By: \_\_\_\_\_  
Signature of Second Other Approver, if Applicable

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

Printed Name: \_\_\_\_\_

Printed Title: \_\_\_\_\_

Second Other Approver

**ARTICLE II  
REQUIRED REPRESENTATIONS**

2.1. Standing and Authority. Grantee warrants that:

(a) Grantee is duly organized, validly existing and in good standing under the laws of the State in which it was incorporated or organized.

(b) Grantee has the requisite power and authority to execute and deliver this Agreement and all documents to be executed by it in connection with this Agreement, to perform its obligations hereunder and to consummate the transactions contemplated hereby.

(c) If Grantee is organized under the laws of another jurisdiction, Grantee warrants that it is also duly qualified to do business in Illinois and, if applicable, is in good standing with the Illinois Secretary of State.

(d) The execution and delivery of this Agreement, and the other documents to be executed by Grantee in connection with this Agreement, and the performance by Grantee of its obligations hereunder have been duly authorized by all necessary entity action.

(e) This Agreement and all other documents related to this Agreement, including the Uniform Grant Application, the Exhibits and attachments to which Grantee is a party constitute the legal, valid and binding obligations of Grantee enforceable against Grantee in accordance with their respective terms.

2.2. Compliance with Internal Revenue Code. Grantee certifies that it does and will comply with all provisions of the Federal Internal Revenue Code (26 USC 1), the Illinois Revenue Act (35 ILCS 5), and all rules promulgated thereunder, including withholding provisions and timely deposits of employee taxes and unemployment insurance taxes.

2.3. Compliance with Federal Funding Accountability and Transparency Act of 2006. Grantee certifies that it does and will comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (P.L. 109-282) (FFATA) with respect to Federal Awards greater than or equal to \$25,000. A FFATA sub-award report must be filed by the end of the month following the month in which the award was made.

2.4. Compliance with Uniform Grant Rules (2 CFR Part 200). Grantee certifies that it shall adhere to the applicable Uniform Administrative Requirements, Cost Principles, and Audit Requirements, which are published in Title 2, Part 200 of the Code of Federal Regulations, and are incorporated herein by reference. See 44 Ill. Admin. Code 7000.30(b)(1)(A).

2.5. Compliance with Registration Requirements. Grantee and its sub-grantees shall: (i) be registered with the Federal SAM; (ii) be in good standing with the Illinois Secretary of State, if applicable; and (iii) have a valid DUNS number. It is Grantee's responsibility to remain current with these registrations and requirements. If Grantee's status with regard to any of these requirements change, or the certifications made in and information provided in the Uniform Grant Application changes, Grantee must notify the Grantor in accordance with ARTICLE XVIII.



**ARTICLE III  
DEFINITIONS**

3.1. Definitions. Capitalized words and phrases used in this Agreement have the following meanings:

"2 CFR Part 200" means the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards published in Title 2, Part 200 of the Code of Federal Regulations.

"Agreement" or "Grant Agreement" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Allocable Costs" means costs allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Costs allocable to a specific Program may not be shifted to other Programs in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by law or by the terms of this Agreement, or for other reasons of convenience.

"Allowable Costs" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Award" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Budget" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"CFDA" or "Catalog of Federal Domestic Assistance" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Close-out Report" means a report from the Grantee allowing the Grantor to determine whether all applicable administrative actions and required work have been completed, and therefore closeout actions can commence.

"Conflict of Interest" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Consolidated Financial Report" means a financial information presentation in which the assets, equity, liabilities, and operating accounts of an entity and its subsidiaries are combined (after eliminating all inter-entity transactions) and shown as belonging to a single reporting entity.

"Cost Allocation Plan" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"CSFA" or "Catalog of State Financial Assistance" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Direct Costs" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Disallowed Costs" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"DUNS Number" means a unique nine digit identification number provided by Dun & Bradstreet for each physical location of Grantee's organization. Assignment of a DUNS Number is mandatory for all organizations seeking an Award from the State of Illinois.

"FAIN" means the Federal Award Identification Number.

"FFATA" or "Federal Funding Accountability and Transparency Act" has the same meaning as in 31 USC 6101; P.L. 110-252.

"Fixed-Rate" has the same meaning as in 44 Ill. Admin. Code 7000.20. "Fixed-Rate" is in contrast to fee-for-service, 44 Ill. Admin. Code 7000.20.

"GAAP" or "Generally Accepted Accounting Principles" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Grant Funds" has the same meaning as in 30 ILCS 705.

"Indirect Costs" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Indirect Cost Rate" means a device for determining in a reasonable manner the proportion of indirect costs each Program should bear. It is a ratio (expressed as a percentage) of the Indirect Costs to a Direct Cost base. If reimbursement of Indirect Costs is allowable under an Award, Grantor will not reimburse those Indirect Costs unless Grantee has established an Indirect Cost Rate covering the applicable activities and period of time, unless Indirect Costs are reimbursed at a fixed rate.

"Indirect Cost Rate Proposal" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Net Revenue" means an entity's total revenue less its operating expenses, interest paid, depreciation, and taxes. "Net Revenue" is synonymous with "Profit."

"Nonprofit Organization" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Notice of Award" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"OMB" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Prior Approval" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Profit" means an entity's total revenue less its operating expenses, interest paid, depreciation, and taxes. "Profit" is synonymous with "Net Revenue."

"Program" means the services to be provided pursuant to this Agreement.

"Program Costs" means all Allowable Costs incurred by Grantee and the value of the contributions made by third parties in accomplishing the objectives of the Award during the Term of this Agreement.

"Program Income" has the same meaning as in 44 Ill. Admin. Code 7000.20.

"Related Parties" has the meaning set forth in Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) 850-10-20.

"SAM" means the federal System for Award Management (SAM); which is the Federal repository into which an entity must provide information required for the conduct of business as a recipient. 2 CFR 25 Appendix A (1)(C)(1).

"State" means the State of Illinois.

"Term" has the meaning set forth in Paragraph 1.4.

"Unallowable Costs" has the same meaning as in 44 Ill. Admin. Code 7000.20.

**ARTICLE IV  
PAYMENT**

4.1. Availability of Appropriation; Sufficiency of Funds. This Agreement is contingent upon and subject to the availability of sufficient funds. Grantor may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if (i) sufficient funds for this Agreement have not been appropriated or otherwise made available to the Grantor by the State or the Federal funding source, (ii) the Governor or Grantor reserves funds, or (iii) the Governor or Grantor determines that funds will not or may not be available for payment. Grantor shall provide notice, in writing, to Grantee of any such funding failure and its election to terminate or suspend this Agreement as soon as practicable. Any suspension or termination pursuant to this Section will be effective upon the date of the written notice unless otherwise indicated.

4.2. Illinois Grant Funds Recovery Act. Any Grant Funds remaining that are not expended or legally obligated by Grantee at the end of the Agreement period, or in the case of capital improvement Awards at the end of the time period Grant Funds are available for expenditure or obligation, shall be returned to Grantor within forty-five (45) days in accordance with the Grant Funds Recovery Act (30 ILCS 705/1 *et seq.*). In the event of a conflict between the Grant Funds Recovery Act and the Grant Accountability and Transparency Act, the provisions of the Grant Accountability and Transparency Act shall control. 30 ILCS 708/80.

4.3. Cash Management Improvement Act of 1990. Unless notified otherwise in **PART TWO** or **PART THREE**, Federal funds received under this Agreement shall be managed in accordance with the Cash Management Improvement Act of 1990 (31 USC 6501 *et seq.*) and any other applicable Federal laws or regulations.

4.4. Payments to Third Parties. Grantee agrees to hold harmless Grantor when Grantor acts in good faith to redirect all or a portion of any Grantee payment to a third party. Grantor will be deemed to have acted in good faith if it is in possession of information that indicates Grantee authorized Grantor to intercept or redirect payments to a third party or when so ordered by a court of competent jurisdiction.

4.5. Modifications to Estimated Amount. If the Agreement amount is established on an estimated basis, then it may be increased by mutual agreement at any time during the Term. Grantor may decrease the estimated amount of this Agreement at any time during the Term if (i) Grantor believes Grantee will not use the funds during the Term, (ii) Grantor believes Grantee has used funds in a manner that was not authorized by this Agreement, (iii) sufficient funds for this Agreement have not been appropriated or otherwise made available to the Grantor by the State or the Federal funding source, (iv) the Governor or Grantor reserves funds, or (v) the Governor or Grantor determines that funds will or may not be available for payment. Grantee will be notified, in writing, of any adjustment of the estimated amount of this Agreement. In the event of such reduction, services provided by Grantee under **Exhibit A** may be reduced accordingly. Grantee shall be paid for work satisfactorily performed prior to the date of the notice regarding adjustment. 2 CFR 200.308.

4.6. Interest.

(a) All interest earned on Grant Funds held by a Grantee shall become part of the Grant Funds when earned and be treated accordingly for all purposes, unless otherwise provided in PART TWO or PART THREE. 30 ILCS 705/10.

(b) Grant Funds shall be placed in an insured account, whenever possible, that bears interest, unless exempted under 2 CFR Part 200.305(b)(8). All interest earned shall be considered Grant Funds and are subject to the same restrictions, unless there is an applicable Federal program rule that takes precedence.

(c) A Grantee who is required to reimburse Grant Funds pursuant to an action brought under the Grant Funds Recovery Act, and who enters into a deferred payment plan for the purpose of satisfying a past due debt, shall be required to pay interest on such debt as required by Section 10.2 of the Illinois State Collection Act of 1986, 30 ILCS 210; See also 30 ILCS 705/10.

4.7. Timely Billing Required. Grantee must submit any payment request to Grantor within thirty (30) days of the end of the quarter, unless another billing schedule is specified in PART TWO or PART THREE. Failure to submit such payment request timely will render the amounts billed an unallowable cost which Grantor cannot reimburse. In the event that Grantee is unable, for good cause, to submit its payment request timely, Grantee shall timely notify Grantor and may request an extension of time to submit the payment request. Grantor's approval of Grantee's request for an extension shall not be unreasonably withheld.

4.8. Certification. Pursuant to 2 CFR 200.415, each invoice and report submitted by Grantee must contain the following certification by an official authorized to legally bind the Grantee:

By signing this report [or payment request], I certify to the best of my knowledge and belief that the report [or payment request] is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal or State award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

**ARTICLE V**  
**SCOPE OF GRANT ACTIVITIES/PURPOSE OF GRANT**

5.1. Scope of Grant Activities/Purpose of Grant. Grantee will conduct the Grant Activities or provide the services as described in the Exhibits and attachments, including Exhibit A (Project Description) and Exhibit B (Deliverables), incorporated herein and in accordance with all terms and conditions set forth herein and all applicable administrative rules. In addition, the State's Notice of Award is incorporated herein as an attachment. All Grantor-specific provisions and programmatic reporting required under this Agreement are described in PART TWO (The Grantor-Specific Terms). All Project-specific provisions and reporting required under this Agreement are described in PART THREE.

5.2. Scope Revisions. Grantee shall obtain Prior Approval from Grantor whenever a Scope revision is necessary for one or more of the reasons enumerated in 2 CFR 200.308. All requests for Scope revisions that require Grantor approval shall be signed by Grantee's authorized representative and submitted to Grantor for



approval. Expenditure of funds under a requested revision is prohibited and will not be reimbursed if expended before Grantor gives written approval. See 2 CFR 200.308.

5.3. Specific Conditions. If applicable, specific conditions required after a risk assessment will be included in Exhibit G. Grantee shall adhere to the specific conditions listed therein.

**ARTICLE VI  
BUDGET**

6.1. Budget. The Budget is a schedule of anticipated grant expenditures that is approved by Grantor for carrying out the purposes of the Award. When Grantee or third parties support a portion of expenses associated with the Award, the Budget includes the non-Federal as well as the Federal share (and State share if applicable) of grant expenses. The Budget submitted by Grantee at application, or a revised Budget subsequently submitted and approved by Grantor, is considered final and is incorporated herein as an attachment.

6.2. Budget Revisions. Grantee shall obtain Prior Approval from Grantor whenever a Budget revision is necessary for one or more of the reasons enumerated in 2 CFR 200.308. All requests for Budget revisions that require Grantor approval shall be signed by Grantee's authorized representative and submitted to Grantor for approval. Expenditure of funds under a requested revision is prohibited and will not be reimbursed if expended before Grantor gives written approval. 2 CFR 200.308.

6.3. Discretionary Line Item Transfers. Unless prohibited from doing so in 2 CFR 200.308, transfers between approved line items may be made without Grantor's approval only if the total amount transferred does not exceed the allowable variance of the greater of either (i) ten percent (10%) of the Budget line item or (ii) one thousand dollars (\$1,000) of the Budget line item. Discretionary line item transfers may not result in an increase to the Budget.

6.4. Non-discretionary Line Item Transfers. Total line item transfers exceeding the allowable variance of the greater of either (i) ten percent (10%) of the Budget line item or (ii) one thousand dollars (\$1,000) of the Budget line item require Grantor approval as set forth in Paragraph 6.2.

6.5. Notification. Within thirty (30) calendar days from the date of receipt of the request for Budget revisions, Grantor will review the request and notify Grantee whether the Budget revision has been approved, denied, or the date upon which a decision will be reached.

**ARTICLE VII  
ALLOWABLE COSTS**

7.1. Allowability of Costs; Cost Allocation Methods. The allowability of costs and cost allocation methods for work performed under this Agreement shall be determined in accordance with 2 CFR 200 Subpart E and Appendices III, IV, and V.

7.2. Indirect Cost Rate Submission.

(a) This Paragraph 7.2 applies only to:

(i) A Grantee who charges, or expects to charge, any Indirect Costs; and

(ii) A Grantee who is allowed to charge Indirect Costs under federal or state statutes, state administrative rules, and agency or program rules, regulations and policies.

(b) A Grantee must submit an Indirect Cost Rate Proposal in accordance with federal regulations for approval no later than three months after the effective date of the Award, in a format prescribed by Grantor.

(c) A Grantee who has a current, applicable rate negotiated by a cognizant Federal agency shall provide to Grantor a copy of its Indirect Cost Rate acceptance letter from the Federal government. Grantor will accept that Indirect Cost Rate, up to any statutory, rule-based or programmatic limit.

7.3. Transfer of Costs. Cost transfers between Grants, whether as a means to compensate for cost overruns or for other reasons, are unallowable. See 2 CFR 200.451.

7.4. Higher Education Cost Principles. The Federal cost principles that apply to public and private institutions of higher education are set forth in 2 CFR Part 200 Subpart E and Appendix III.

7.5. Nonprofit Organizations Cost Principles. The Federal cost principles that apply to Nonprofit Organizations that are not institutions of higher education are set forth in 2 CFR Part 200 Subpart E, unless exempt under 2 CFR 200 Appendix VIII.

7.6. Government Cost Principles. The Federal cost principles that apply to State, local and Federally-recognized Indian tribal governments are set forth in 2 CFR Part 200 Subpart E, Appendix V, and Appendix VII.

7.7. Commercial Organization Cost Principles. The Federal cost principles and procedures for cost analysis and the determination, negotiation and allowance of costs that apply to commercial organizations are set forth in 48 CFR Part 31.

7.8. Financial Management Standards. The financial management systems of Grantee must meet the following standards:

(a) **Accounting System.** Grantee organizations must have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each State- and Federally-funded Program. Accounting records must contain information pertaining to State and Federal pass-through awards, authorizations, obligations, unobligated balances, assets, outlays, and income. These records must be maintained on a current basis and balanced at least quarterly. Cash contributions to the Program from third parties must be accounted for in the general ledger with other Grant Funds. Third party in-kind (non-cash) contributions are not required to be recorded in the general ledger, but must be under accounting control, possibly through the use of a memorandum ledger. See 2 CFR 200.302.

(b) **Source Documentation.** Accounting records must be supported by such source documentation as canceled checks, bank statements, invoices, paid bills, donor letters, time and attendance records, activity reports, travel reports, contractual and consultant agreements, and subaward documentation. All supporting documentation should be clearly identified with the Award and general ledger accounts which are to be charged or credited.

(i) The documentation standards for salary charges to grants are prescribed by 2 CFR 200.430, and in the cost principles applicable to the entity's organization (Paragraphs 7.4

through 7.7).

(ii) If records do not meet the standards in 2 CFR 200.430, then Grantor may notify Grantee in **PART TWO, PART THREE** or **Exhibit G** of the requirement to submit Personnel activity reports. See 2 CFR 200.430(i)(8). Personnel activity reports shall account on an after-the-fact basis for one hundred percent (100%) of the employee's actual time, separately indicating the time spent on the grant, other grants or projects, vacation or sick leave, and administrative time, if applicable. The reports must be signed by the employee, approved by the appropriate official, and coincide with a pay period. These time records should be used to record the distribution of salary costs to the appropriate accounts no less frequently than quarterly.

(iii) Formal agreements with independent contractors, such as consultants, must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs which are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of Grantee.

(iv) If third party in-kind (non-cash) contributions are used for Grant purposes, the valuation of these contributions must be supported with adequate documentation.

(c) **Internal Control.** Effective control and accountability must be maintained for all cash, real and personal property, and other assets. Grantee must adequately safeguard all such property and must provide assurance that it is used solely for authorized purposes. Grantee must also have systems in place that provide reasonable assurance that the information is accurate, allowable, and compliant with the terms and conditions of this Agreement.

(d) **Budget Control.** Records of expenditures must be maintained for each Award by the cost categories of the approved Budget (including indirect costs that are charged to the Award), and actual expenditures are to be compared with Budgeted amounts at least quarterly.

(e) **Cash Management.** Requests for advance payment shall be limited to Grantee's immediate cash needs. Grantee must have written procedures to minimize the time elapsing between the receipt and the disbursement of Grant Funds to avoid having excess funds on hand. 2 CFR 200.305.

7.9. **Federal Requirements.** All Awards, whether funded in whole or in part with either Federal or State funds, are subject to Federal requirements and regulations, including but not limited to 2 CFR Part 200, 44 ill. Admin. Code 7000.30(b) and the Financial Management Standards in Paragraph 7.8.

7.10. **Profits.** It is not permitted for any person or entity to earn a Profit from an Award. See, e.g., 2 CFR 200.400(g); *see also* 30 ILCS 708/60(a)(7).

7.11. **Management of Program Income.** Grantee is encouraged to earn income to defray program costs where appropriate, subject to 2 CFR 200.307.

## ARTICLE VIII REQUIRED CERTIFICATIONS

8.1. **Certifications.** Grantee, its officers, and directors shall be responsible for compliance with the enumerated certifications to the extent that the certifications apply to Grantee.

(a) **Bribery.** Grantee certifies that it has not been convicted of bribery or attempting to bribe an officer or employee of the State of Illinois, nor made an admission of guilt of such conduct which

is a matter of record (30 ILCS 500/50-5).

(b) **Bid Rigging.** Grantee certifies that it has not been barred from contracting with a unit of State or local government as a result of a violation of Paragraph 33E-3 or 33E-4 of the Criminal Code of 1961 (720 ILCS 5/33E-3 or 720 ILCS 5/33E-4, respectively).

(c) **Debt to State.** Grantee certifies that neither it, nor its affiliate(s), is/are barred from receiving an Award because Grantee, or its affiliate(s), is/are delinquent in the payment of any debt to the State, unless Grantee, or its affiliate(s), has/have entered into a deferred payment plan to pay off the debt, and Grantee acknowledges Grantor may declare the Agreement void if the certification is false (30 ILCS 500/50-11).

(d) **Educational Loan.** Grantee certifies that it is not barred from receiving State agreements as a result of default on an educational loan (5 ILCS 385/1 *et seq.*).

(e) **International Boycott.** Grantee certifies that neither it nor any substantially owned affiliated company is participating or shall participate in an international boycott in violation of the provision of the U.S. Export Administration Act of 1979 (50 USC Appendix 2401 *et seq.* or the regulations of the U.S. Department of Commerce promulgated under that Act (15 CFR Parts 730 through 774).

(f) **Dues and Fees.** Grantee certifies that it is not prohibited from receiving an Award because it pays dues or fees on behalf of its employees or agents, or subsidizes or otherwise reimburses them for payment of their dues or fees to any club which unlawfully discriminates (775 ILCS 25/1 *et seq.*).

(g) **Pro-Children Act.** Grantee certifies that it is in compliance with the Pro-Children Act of 2001 in that it prohibits smoking in any portion of its facility used for the provision of health, day care, early childhood development services, education or library services to children under the age of eighteen (18), which services are supported by Federal or State government assistance (except such portions of the facilities which are used for inpatient substance abuse treatment) (20 USC 7181-7184).

(h) **Drug-Free Work Place.** If Grantee is not an individual, Grantee certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act. 30 ILCS 580/3. If Grantee is an individual and this Agreement is valued at more than \$5,000, Grantee certifies it shall not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance during the performance of the Agreement. 30 ILCS 580/4. Grantee further certifies that it is in compliance with the government-wide requirements for a drug-free workplace as set forth in 41 USC 8102.

(i) **Motor Voter Law.** Grantee certifies that it is in full compliance with the terms and provisions of the National Voter Registration Act of 1993 (52 USC 20501 *et seq.*).

(j) **Clean Air Act and Clean Water Act.** Grantee certifies that it is in compliance with all applicable standards, order or regulations issued pursuant to the Clean Air Act (42 USC §7401 *et seq.*) and the Federal Water Pollution Control Act, as amended (33 USC §1251 *et seq.*).

(k) **Debarment.** Grantee certifies that it is not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this Agreement by any Federal department or agency (45 CFR Part 76), or by the State (*See* 30 ILCS 708/25(6)(G)).

(l) **Non-procurement Debarment and Suspension.** Grantee certifies that it is in compliance

with Subpart C of 2 CFR Part 180 as supplemented by 2 CFR Part 376, Subpart C.

(m)      **Grant for the Construction of Fixed Works.** Grantee certifies that all Programs for the construction of fixed works which are financed in whole or in part with funds provided by this Agreement shall be subject to the Prevailing Wage Act (820 ILCS 130/0.01 *et seq.*) unless the provisions of that Act exempt its application. In the construction of the Program, Grantee shall comply with the requirements of the Prevailing Wage Act including, but not limited to, inserting into all contracts for such construction a stipulation to the effect that not less than the prevailing rate of wages as applicable to the Program shall be paid to all laborers, workers, and mechanics performing work under the Award and requiring all bonds of contractors to include a provision as will guarantee the faithful performance of such prevailing wage clause as provided by contract.

(n)      **Health Insurance Portability and Accountability Act.** Grantee certifies that it is in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law No. 104-191, 45 CFR Parts 160, 162 and 164, and the Social Security Act, 42 USC 1320d-2 through 1320d-7, in that it may not use or disclose protected health information other than as permitted or required by law and agrees to use appropriate safeguards to prevent use or disclosure of the protected health information. Grantee shall maintain, for a minimum of six (6) years, all protected health information.

(o)      **Criminal Convictions.** Grantee certifies that neither it nor any officer, director, partner or other managerial agent of Grantee has been convicted of a felony under the Sarbanes-Oxley Act of 2002, nor a Class 3 or Class 2 felony under Illinois Securities Law of 1953, or that at least five (5) years have passed since the date of the conviction. Grantee further certifies that it is not barred from receiving an Award under 30 ILCS 500/50-10.5, and acknowledges that Grantor shall declare the Agreement void if this certification is false (30 ILCS 500/50-10.5).

(p)      **Forced Labor Act.** Grantee certifies that it complies with the State Prohibition of Goods from Forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to the State under this Agreement have been or will be produced in whole or in part by forced labor, convict labor, or indentured labor under penal sanction (30 ILCS 583).

(q)      **Illinois Use Tax.** Grantee certifies in accordance with 30 ILCS 500/50-12 that it is not barred from receiving an Award under this Paragraph. Grantee acknowledges that this Agreement may be declared void if this certification is false.

(r)      **Environmental Protection Act Violations.** Grantee certifies in accordance with 30 ILCS 500/50-14 that it is not barred from receiving an Award under this Paragraph. Grantee acknowledges that this Agreement may be declared void if this certification is false.

(s)      **Goods from Child Labor Act.** Grantee certifies that no foreign-made equipment, materials, or supplies furnished to the State under this Agreement have been produced in whole or in part by the labor of any child under the age of twelve (12) (30 ILCS 584).

(t)      **Federal Funding Accountability and Transparency Act of 2006.** Grantee certifies that it is in compliance with the terms and requirements of 31 USC 6101.

**ARTICLE IX  
CRIMINAL DISCLOSURE**



9.1. **Mandatory Criminal Disclosures.** Grantee shall continue to disclose to Grantor all violations of criminal law involving fraud, bribery or gratuity violations potentially affecting this Award. See 30 ILCS 708/40. Additionally, if Grantee receives over \$10 million in total Grant Funds, funded by either State or Federal funds, during the period of this Award, Grantee must maintain the currency of information reported to SAM regarding civil, criminal or administrative proceedings as required by 2 CFR 200.113 and Appendix II of 2 CFR Part 200, and 30 ILCS 708/40.

**ARTICLE X  
UNLAWFUL DISCRIMINATION**

10.1. **Compliance with Nondiscrimination Laws.** Grantee, its employees and subcontractors under subcontract made pursuant to this Agreement, shall comply with all applicable provisions of State and Federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to, the following laws and regulations and all subsequent amendments thereto:

- (a) The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), including, without limitation, 44 Ill. Admin. Code Part 750, which is incorporated herein;
- (b) The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*);
- (c) The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a- and 2000h-6). (See also guidelines to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons [Federal Register: February 18, 2002 (Volume 67, Number 13, Pages 2671-2685)]);
- (d) Section 504 of the Rehabilitation Act of 1973 (29 USC 794);
- (e) The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*); and
- (f) The Age Discrimination Act (42 USC 6101 *et seq.*).

**ARTICLE XI  
LOBBYING**

11.1. **Improper Influence.** Grantee certifies that no Grant Funds have been paid or will be paid by or on behalf of Grantee to any person for influencing or attempting to influence an officer or employee of any government agency, a member of Congress or Illinois General Assembly, an officer or employee of Congress or Illinois General Assembly, or an employee of a member of Congress or Illinois General Assembly in connection with the awarding of any agreement, the making of any grant, the making of any loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative agreement. 31 USC 1352. Additionally, Grantee certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.

11.2. **Federal Form LLL.** If any funds, other than Federally-appropriated funds, were paid or will be paid to any person for influencing or attempting to influence any of the above persons in connection with this Agreement, the undersigned must also complete and submit Federal Form LLL, Disclosure of Lobbying Activities

Form, in accordance with its instructions.

11.3. Lobbying Costs. Grantee certifies that it is in compliance with the restrictions on lobbying set forth in 2 CFR Part 200.450. For any Indirect Costs associated with this Agreement, total lobbying costs shall be separately identified in the Program Budget, and thereafter treated as other Unallowable Costs.

11.4. Procurement Lobbying. Grantee warrants and certifies that it and, to the best of its knowledge, its sub-grantees have complied and will comply with Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits Grantees and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments, if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.

11.5. Subawards. Grantee must include the language of this ARTICLE XI in the award documents for any subawards made pursuant to this Award at all tiers. All sub-awardees are also subject to certification and disclosure. Pursuant to Appendix II(I) to 2 CFR Part 200, Grantee shall forward all disclosures by contractors regarding this certification to Grantor.

11.6. Certification. This certification is a material representation of fact upon which reliance was placed to enter into this transaction and is a prerequisite for this transaction, pursuant to 31 USC 1352. Any person who fails to file the required certifications shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

## ARTICLE XII

### MAINTENANCE AND ACCESSIBILITY OF RECORDS; MONITORING

12.1. Records Retention. Grantee shall maintain for three (3) years from the date of submission of the final expenditure report, adequate books, all financial records and, supporting documents, statistical records, and all other records pertinent to this Award, adequate to comply with 2 CFR 200.333, unless a different retention period is specified in 2 CFR 200.333. If any litigation, claim or audit is started before the expiration of the retention period, the records must be retained until all litigation, claims or audit exceptions involving the records have been resolved and final action taken.

12.2. Accessibility of Records. Grantee, in compliance with 2 CFR 200.336, shall make books, records, related papers, supporting documentation and personnel relevant to this Agreement available to authorized Grantor representatives, the Illinois Auditor General, Illinois Attorney General, any Executive Inspector General, the Grantor's Inspector General, Federal authorities, any person identified in 2 CFR 200.336, and any other person as may be authorized by Grantor (including auditors), by the State of Illinois or by Federal statute. Grantee shall cooperate fully in any such audit or inquiry.

12.3. Failure to Maintain Books and Records. Failure to maintain books, records and supporting documentation, as described in this ARTICLE XII, shall establish a presumption in favor of the State for the recovery of any funds paid by the State under this Agreement for which adequate books, records and supporting documentation are not available to support disbursement.

12.4. Monitoring and Access to Information. Grantee must monitor its activities to assure compliance with applicable State and Federal requirements and to assure its performance expectations are being achieved.

Grantor shall monitor the activities of Grantee to assure compliance with all requirements and performance expectations of the award. Grantee shall timely submit all financial and performance reports, and shall supply, upon Grantor's request, documents and information relevant to the Award. Grantor may make site visits as warranted by program needs. See 2 CFR 200.328 and 200.331. Additional monitoring requirements may be in PART TWO or PART THREE.

**ARTICLE XIII  
FINANCIAL REPORTING REQUIREMENTS**

13.1. Required Periodic Financial Reports. Grantee agrees to submit financial reports as requested and in the format required by Grantor. Grantee shall file quarterly reports with Grantor describing the expenditure(s) of the funds related thereto, unless more frequent reporting is required by the Grantee pursuant to specific award conditions. 2 CFR 200.207. The first of such reports shall cover the first three months after the Award begins. Quarterly reports must be submitted no later than 30 calendar days following the three month period covered by the report. Additional information regarding required financial reports may be set forth in **Exhibit G**. Failure to submit the required financial reports may cause a delay or suspension of funding. 30 ILCS 705/1 *et seq.*; 2 CFR 207(b)(3) and 200.327.

13.2. Close-out Reports.

(a) Grantee shall submit a Close-out Report within 60 calendar days following the end of the period of performance for this Agreement. In the event that this Agreement is terminated prior to the end of the Term, Grantee shall submit a Close-out Report within 60 calendar days of such termination. The format of this Close-out Report shall follow a format prescribed by Grantor. 2 CFR 200.343.

(b) If an audit or review of Grantee occurs and results in adjustments after Grantee submits a Close-out Report, Grantee will submit a new Close-out Report based on audit adjustments, and immediately submit a refund to Grantor, if applicable. 2 CFR 200.344.

13.3. Annual Financial Reports.

(a) This Paragraph 13.3 applies to all Grantees, unless exempted by PART TWO or PART THREE.

(b) Grantees shall submit Annual Financial Reports within 180 days after the Grantee's fiscal year ending on or after June 30. This deadline may be extended at the discretion of the Grantor.

(c) The Annual Financial Report must cover the same period the Audited Financial Statements cover. If no Audited Financial Statements are required, however, then the Annual Financial Report must cover the same period as the Grantee's tax return.

(d) Annual Financial Reports must include an in relation to opinion from the report issuer on the Cost and Revenue schedules included in the Annual Financial Report.

(e) Annual Financial Reports shall follow a format prescribed by Grantor.

13.4. Effect of Failure to Comply. Failure to comply with reporting requirements shall result in the withholding of funds, the return of improper payments or Unallowable Costs, will be considered a material breach

of this Agreement and may be the basis to recover Grant Funds. Grantee's failure to comply with this ARTICLE XIII, ARTICLE XIV, or ARTICLE XV shall be considered prima facie evidence of a breach and may be admitted as such, without further proof, into evidence in an administrative proceeding before Grantor, or in any other legal proceeding.

**ARTICLE XIV  
PERFORMANCE REPORTING REQUIREMENTS**

14.1. Required Periodic Performance Reports. Grantee agrees to submit Performance Reports as requested and in the format required by Grantor. Performance Measures listed in Exhibit E must be reported quarterly, unless otherwise specified in PART TWO or PART THREE. Unless so specified, the first of such reports shall cover the first three months after the Award begins. If Grantee is not required to report performance quarterly, then Grantee must submit a Performance Report at least annually. In unusual circumstances where more frequent reporting is necessary some Grantees may be required to submit monthly Performance Reports; in such cases, Grantor shall notify Grantee of same in PART TWO or PART THREE. Pursuant to 2 CFR 200.328, periodic Performance Reports shall be submitted no later than 30 calendar days following the period covered by the report. For certain construction-related Awards, such reports may be exempted as identified in PART TWO or PART THREE. 2 CFR 200.328. Failure to submit such required Performance Reports may cause a delay or suspension of funding. 30 ILCS 705/1 et seq.

14.2. Close-out Performance Reports. Grantee agrees to submit a Close-out Performance Report, in the format required by Grantor, within 60 calendar days following the end of the period of performance. See 2 CFR 200.343.

14.3. Content of Performance Reports. Pursuant to 2 CFR 200.328(h)(2) all Performance Reports must include Program qualitative and quantitative information, including a comparison of actual accomplishments to the objectives of the award established for the period; where the accomplishments can be quantified, a computation of the cost if required; performance trend data and analysis if required; and reasons why established goals were not met, if appropriate. Appendices may be used to include additional supportive documentation. Additional content and format guidelines for the Performance Reports will be determined by Grantor contingent on the Award's statutory, regulatory and administrative requirements, and are included in PART TWO or PART THREE of this Agreement.

14.4. Performance Standards. Grantee shall perform in accordance with the Performance Standards set forth in Exhibit F. See 2 CFR 200.301 and 200.210.

**ARTICLE XV  
AUDIT REQUIREMENTS**

15.1. Audits. Grantee shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507) and Subpart F of 2 CFR Part 200, and the audit rules set forth by the Governor's Office of Management and Budget. See 30 ILCS 708/65(c).

15.2. Entities That Are Not "For-Profit".

(a) This Paragraph applies to Grantees that are not "for-profit" entities.

(b) Single and Program-Specific Audits. If, during its fiscal year, Grantee expends \$750,000 or more in Federal Awards (direct federal and federal pass-through awards combined), Grantee must have a single audit or program-specific audit conducted for that year as required by 2 CFR 200.501 and other applicable sections of Subpart F of 2 CFR Part 200. The audit and reporting package (including data collection form and management letters) must be completed as described in 2 CFR 200.512 (single audit) or 2 CFR 200.507 (program-specific audit). The audit (and package) must be submitted to Grantor within the earlier of (i) 30 calendar days after receipt of the auditor's report(s) or (ii) nine (9) months after the end of the audit period.

(c) Financial Statement Audit. If, during its fiscal year, Grantee expends less than \$750,000 in Federal Awards, Grantee is subject to the following audit requirements:

(i) If, during its fiscal year, Grantee expends more than \$300,000 in Federal and State Awards, singularly or in any combination, Grantee must have a financial statement audit conducted in accordance with the Generally Accepted Government Auditing Standards (GAGAS).

(ii) If, during its fiscal year, Grantee expends less than \$300,000 in Federal and State Awards, but the total revenue it receives is in excess of \$300,000, Grantee must have a financial statement audit conducted in accordance with the Generally Accepted Auditing Standards (GAAS).

(iii) Grantee must submit its financial statement audit report(s) and any management letters issued by the auditor within the earlier of (i) 30 calendar days after receipt of the auditor's report(s) or (ii) 180 days after the end of the audit period.

15.3. "For-Profit" Entities.

(a) This Paragraph applies to Grantees that are "for-profit" entities.

(b) Program-Specific Audit. If, during its fiscal year, Grantee expends \$750,000 or more in Federal Awards (direct federal and federal pass-through awards) and State Awards, singularly or in any combination, Grantee is required to have a program-specific audit conducted in accordance with 2 CFR 200.507. The audit and reporting package (including data collection form and management letters) must be submitted to Grantor within the earlier of (i) 30 calendar days after receipt of the auditor's report(s) or (ii) nine (9) months after the end of the audit period.

(c) Financial Statement Audit. If, during its fiscal year, Grantee expends less than \$750,000 in Federal Awards and State Awards combined, Grantee must follow all of the audit requirements in Paragraphs 15.2(c)(i)-(iii), above.

15.4. Performance of Audits. For those organizations required to submit an independent audit report, the audit is to be conducted by a Certified Public Accountant or Certified Public Accounting Firm licensed in the State of Illinois. For audits required to be performed subject to Generally Accepted Government Auditing Standards, Grantee shall request and maintain on file a copy of the auditor's most recent peer review report and acceptance letter.

**ARTICLE XVI  
TERMINATION; SUSPENSION; NON-COMPLIANCE**

16.1. Termination.

(a) This Agreement may be terminated, in whole or in part, by either Party for any or no reason upon thirty (30) calendar days' prior written notice to the other Party. If terminated by the Grantee, Grantee must include the reasons for such termination, the effective date, and, in the case of a partial termination, the portion to be terminated. If Grantor determines in the case of a partial termination that the reduced or modified portion of the Award will not accomplish the purposes for which the Award was made, Grantor may terminate the Agreement in its entirety. 2 CFR 200.339(a)(4).

(b) This Agreement may be terminated, in whole or in part, by Grantor without advance notice:

(i) Pursuant to a funding failure under Paragraph 4.1;

(ii) If Grantee fails to comply with the terms and conditions of this or any Award, application or proposal, including any applicable rules or regulations, or has made a false representation in connection with the receipt of this or any Grant;

(iii) For cause, which may render the Grantee ineligible for consideration for future grants from the Grantor or other State agencies; or

(iv) If Grantee breaches this Agreement and either (1) fails to cure such breach within 15 calendar days' written notice thereof, or (2) if such cure would require longer than 15 calendar days and the Grantee has failed to commence such cure within 15 calendar days' written notice thereof. In the event that Grantor terminates this Agreement as a result of the breach of the Agreement by Grantee, Grantee shall be paid for work satisfactorily performed prior to the date of termination.

16.2. Suspension. Grantor may suspend this Agreement, in whole or in part, pursuant to a funding failure under Paragraph 4.1 or if the Grantee fails to comply with terms and conditions of this or any Award. If suspension is due to Grantee's failure to comply, Grantor may withhold further payment and prohibit Grantee from incurring additional obligations pending corrective action by Grantee or a decision to terminate this Agreement by Grantor. Grantor may determine to allow necessary and proper costs that Grantee could not reasonably avoid during the period of suspension.

16.3. Non-compliance. If Grantee fails to comply with applicable statutes, regulations or the terms and conditions of this or any Award, Grantor may impose additional conditions on Grantee, as described in 2 CFR 200.207. If Grantor determines that non-compliance cannot be remedied by imposing additional conditions, Grantor may take one or more of the actions described in 2 CFR 200.338. The Parties shall follow all Grantor policies and procedures regarding non-compliance, including, but not limited to, the procedures set forth in the State of Illinois Grantee Compliance Enforcement System.

16.4. Objection. If Grantor suspends or terminates this Agreement, in whole or in part, for cause, or takes any other action in response to Grantee's non-compliance, Grantee may avail itself of any opportunities to object and challenge such suspension, termination or other action by Grantor in accordance with any applicable processes and procedures, including, but not limited to, the procedures set forth in the State of Illinois Grantee Compliance Enforcement System. 2 CFR 200.341.

16.5. Effects of Suspension and Termination.



(a) Grantor may credit Grantee for expenditures incurred in the performance of authorized services under this Agreement prior to the effective date of a suspension or termination.

(b) Grantee shall not incur any costs or obligations that require the use of these Grant Funds after the effective date of a suspension or termination, and shall cancel as many outstanding obligations as possible.

(c) Costs to Grantee resulting from obligations incurred by Grantee during a suspension or after termination of the Agreement are not allowable unless:

(i) Grantor expressly authorizes them in the notice of suspension or termination; and

(ii) The costs result from obligations properly incurred before the effective date of suspension or termination, are not in anticipation of the suspension or termination, and the costs would be allowable if the Agreement was not suspended or terminated. 2 CFR 200.342.

16.6. Close-out of Terminated Agreements. If this Agreement is terminated, in whole or in part, the Parties shall comply with all close-out and post-termination requirements of this Agreement. 2 CFR 200.339(c).

#### **ARTICLE XVII SUBCONTRACTS/SUB-GRANTS**

17.1. Sub-recipients/Delegation. Grantee may not subcontract nor sub-grant any portion of this Agreement nor delegate any duties hereunder without Prior Approval of Grantor. The requirement for Prior Approval is satisfied if the subcontractor or sub-grantee has been identified in the Uniform Grant Application, such as, without limitation, a Project Description, and Grantor has approved.

17.2. Application of Terms. Grantee shall advise any sub-grantee of funds awarded through this Agreement of the requirements imposed on them by Federal and State laws and regulations, and the provisions of this Agreement.

#### **ARTICLE XVIII NOTICE OF CHANGE**

18.1. Notice of Change. Grantee shall notify the Grantor if there is a change in Grantee's legal status, Federal employer identification number (FEIN), DUNS number, SAM registration status, Related Parties, senior management or address. *See 30 ILCS 708/60(a).* If the change is anticipated, Grantee shall give thirty (30) days' prior written notice to Grantor. If the change is unanticipated, Grantee shall give notice as soon as practicable thereafter. Grantor reserves the right to take any and all appropriate action as a result of such change(s).

18.2. Failure to Provide Notification. Grantee shall hold harmless Grantor for any acts or omissions of Grantor resulting from Grantee's failure to notify Grantor of these changes.

18.3. Notice of Impact. Grantee shall immediately notify Grantor of any event that may have a material impact on Grantee's ability to perform this Agreement.

18.4. Circumstances Affecting Performance; Notice. In the event Grantee becomes a party to any litigation, investigation or transaction that may reasonably be considered to have a material impact on Grantee's ability to perform under this Agreement, Grantee shall notify Grantor, in writing, within five (5) calendar days of determining such litigation or transaction may reasonably be considered to have a material impact on the Grantee's ability to perform under this Agreement.

18.5. Effect of Failure to Provide Notice. Failure to provide the notice described in Paragraph 18.4 shall be grounds for immediate termination of this Agreement and any costs incurred after notice should have been given shall be disallowed.

**ARTICLE XIX**

**STRUCTURAL REORGANIZATION AND RECONSTITUTION OF BOARD MEMBERSHIP**

19.1. Effect of Reorganization. Grantee acknowledges that this Agreement is made by and between Grantor and Grantee, as Grantee is currently organized and constituted. No promise or undertaking made hereunder is an assurance that Grantor agrees to continue this Agreement, or any license related thereto, should Grantee significantly reorganize or otherwise substantially change the character of its corporate structure, business structure or governance structure. Grantee agrees that it will give Grantor prior notice of any such action or changes significantly affecting its overall structure or management makeup (for example, a merger or a corporate restructuring), and will provide any and all reasonable documentation necessary for Grantor to review the proposed transaction including financial records and corporate and shareholder minutes of any corporation which may be involved. This ARTICLE XIX does not require Grantee to report on minor changes in the makeup of its board membership. Nevertheless, **PART TWO** or **PART THREE** may impose further restrictions. Failure to comply with this ARTICLE XIX shall constitute a material breach of this Agreement.

**ARTICLE XX**

**AGREEMENTS WITH OTHER STATE AGENCIES**

20.1. Copies upon Request. Grantee shall, upon request by Grantor, provide Grantor with copies of contracts or other agreements to which Grantee is a party with any other State agency.

**ARTICLE XXI**

**CONFLICT OF INTEREST**

21.1. Required Disclosures. Grantee must immediately disclose in writing any potential or actual Conflict of Interest to the Grantor. 2 CFR 200.112 and 44 Ill. Admin. Code 7000.40(b)(3).

21.2. Prohibited Payments. Grantee agrees that payments made by Grantor under this Agreement will not be used to compensate, directly or indirectly, any person: (1) currently holding an elective office in this State including, but not limited to, a seat in the General Assembly, or (2) employed by an office or agency of the State of Illinois whose annual compensation is in excess of sixty percent (60%) of the Governor's annual salary, or \$106,447.20 (30 ILCS 500/50-13).

21.3. Request for Exemption. Grantee may request written approval from Grantor for an exemption from Paragraph 21.2. Grantee acknowledges that Grantor is under no obligation to provide such exemption and that Grantor may, if an exemption is granted, grant such exemption subject to such additional terms and

conditions as Grantor may require.

**ARTICLE XXII  
EQUIPMENT OR PROPERTY**

22.1. Transfer of Equipment. Grantor shall have the right to require that Grantee transfer to Grantor any equipment, including title thereto, purchased in whole with Grantor funds, if Grantor determines that Grantee has not met the conditions of 2 CFR 200.439(a). Grantor shall notify Grantee in writing should Grantor require the transfer of such equipment. Upon such notification by Grantor, and upon receipt or delivery of such equipment by Grantor, Grantee will be deemed to have transferred the equipment to Grantor as if Grantee had executed a bill of sale therefor.

22.2. Prohibition against Disposition/Encumbrance. The Grantee is prohibited from, and may not sell, transfer, encumber (other than original financing) or otherwise dispose of said equipment, material, or real property during the Grant Term without Prior Approval of Grantor. Any real property acquired using Grant Funds must comply with the requirements of 2 CFR 200.311.

22.3. Equipment and Procurement. Grantee must comply with the uniform standards set forth in 2 CFR 200.310–200.316 governing the management and disposition of property which cost was supported by Grant Funds. Any waiver from such compliance must be granted by either the President’s Office of Management and Budget, the Governor’s Office of Management and Budget, or both, depending on the source of the Grant Funds used. Additionally, Grantee must comply with the standards set forth in 2 CFR 200.317-200.326 for use in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and other services with Grant Funds. These standards are furnished to ensure that such materials and services are obtained in an effective manner and in compliance with the provisions of applicable Federal and State statutes and executive orders.

**ARTICLE XXIII  
PROMOTIONAL MATERIALS; PRIOR NOTIFICATION**

23.1. Publications, Announcements, etc. Use of Grant Funds for promotions is subject to the prohibitions for advertising or public relations costs in 2 CFR 200.421(e). In the event that Grantor funds are used in whole or in part to produce any written publications, announcements, reports, flyers, brochures or other written materials, Grantee agrees to include in these publications, announcements, reports, flyers, brochures and all other such material, the phrase “Funding provided in whole or in part by the [Grantor].” Exceptions to this requirement must be requested, in writing, from Grantor and will be considered authorized only upon written notice thereof to Grantee.

23.2. Prior Notification/Release of Information. Grantee agrees to notify Grantor ten (10) days prior to issuing public announcements or press releases concerning work performed pursuant to this Agreement, or funded in whole or in part by this Agreement, and to cooperate with Grantor in joint or coordinated releases of information.

**ARTICLE XXIV  
INSURANCE**

24.1. Purchase and Maintenance of insurance. Grantee shall maintain in full force and effect during the Term of this Agreement casualty and bodily injury insurance, as well as insurance sufficient to cover the replacement cost of any and all real or personal property, or both, purchased or, otherwise acquired, or improved in whole or in part, with funds disbursed pursuant to this Agreement. 2 CFR 200.310. Additional insurance requirements may be detailed in PART TWO or PART THREE.

24.2. Claims. If a claim is submitted for real or personal property, or both, purchased in whole with funds from this Agreement and such claim results in the recovery of money, such money recovered shall be surrendered to Grantor.

**ARTICLE XXV  
LAWSUITS AND INDEMNIFICATION**

25.1. Independent Contractor. Grantee is an independent contractor under this Agreement and neither Grantee nor any employee or agent of Grantee is an employee of Grantor and do not acquire any employment rights with Grantor or the State of Illinois by virtue of this Agreement. Grantee will provide the agreed services and achieve the specified results free from the direction or control of Grantor as to the means and methods of performance. Grantee will be required to provide its own equipment and supplies necessary to conduct its business; provided, however, that in the event, for its convenience or otherwise, Grantor makes any such equipment or supplies available to Grantee, Grantee's use of such equipment or supplies provided by Grantor pursuant to this Agreement shall be strictly limited to official Grantor or State of Illinois business and not for any other purpose, including any personal benefit or gain.

25.2. Indemnification. To the extent permitted by law, Grantee agrees to hold harmless Grantor against any and all liability, loss, damage, cost or expenses, including attorneys' fees, arising from the intentional torts, negligence or breach of contract of Grantee, with the exception of acts performed in conformance with an explicit, written directive of Grantor. Indemnification by Grantor will be governed by the State Employee Indemnification Act (5 ILCS 350/1 *et seq.*) as interpreted by the Illinois Attorney General. Grantor makes no representation that Grantee, an independent contractor, will qualify or be eligible for indemnification under said Act.

**ARTICLE XXVI  
MISCELLANEOUS**

26.1. Gift Ban. Grantee is prohibited from giving gifts to State employees pursuant to the State Officials and Employees Ethics Act (5 ILCS 430/10-10) and Executive Order 15-09.

26.2. Access to Internet. Grantee must have Internet access. Internet access may be either dial-up or high-speed. Grantee must maintain, at a minimum, one business e-mail address that will be the primary receiving point for all e-mail correspondence from Grantor. Grantee may list additional e-mail addresses at any time during the Term of this Agreement. The additional addresses may be for a specific department or division of Grantee or for specific employees of Grantee. Grantee must notify Grantor of any e-mail address changes within five (5) business days from the effective date of the change.

26.3. Exhibits and Attachments. Exhibits A through G, PART TWO, PART THREE, if applicable, and all other exhibits and attachments hereto are incorporated herein in their entirety.

26.4. Assignment Prohibited. Grantee acknowledges that this Agreement may not be sold, assigned, or transferred in any manner by Grantee, to include an assignment of Grantee's rights to receive payment hereunder, and that any actual or attempted sale, assignment, or transfer by Grantee without the Prior Approval of Grantor in writing shall render this Agreement null, void and of no further effect.

26.5. Amendments. This Agreement may be modified or amended at any time during its Term by mutual consent of the Parties, expressed in writing and signed by the Parties.

26.6. Severability. If any provision of this Agreement is declared invalid, its other provisions shall not be affected thereby.

26.7. No Waiver. No failure of Grantor to assert any right or remedy hereunder will act as a waiver of its right to assert such right or remedy at a later time or constitute a course of business upon which Grantee may rely for the purpose of denial of such a right or remedy to Grantor.

26.8. Applicable Law; Claims. This Agreement and all subsequent amendments thereto, if any, shall be governed and construed in accordance with the laws of the State of Illinois. Any claim against Grantor arising out of this Agreement must be filed exclusively with the Illinois Court of Claims. 705 ILCS 505/1 *et seq.* Grantor does not waive sovereign immunity by entering into this Agreement.

26.9. Compliance with Law. This Agreement and Grantee's obligations and services hereunder are hereby made and must be performed in compliance with all applicable Federal and State laws, including, without limitation, Federal regulations, State administrative rules, including 44 Ill. Admin. Code 7000, and any and all license requirements or professional certification provisions.

26.10. Compliance with Confidentiality Laws. If applicable, Grantee shall comply with applicable State and Federal statutes, Federal regulations and Grantor administrative rules regarding confidential records or other information obtained by Grantee concerning persons served under this Agreement. The records and information shall be protected by Grantee from unauthorized disclosure.

26.11. Compliance with Freedom of Information Act. Upon request, Grantee shall make available to Grantor all documents in its possession that Grantor deems necessary to comply with requests made under the Freedom of Information Act. (5 ILCS 140/7(2)).

26.12. Precedence. In the event there is a conflict between this Agreement and any of the exhibits or attachments hereto, this Agreement shall control. In the event there is a conflict between **PART ONE** and **PART TWO** or **PART THREE** of this Agreement, **PART ONE** shall control. In the event there is a conflict between **PART TWO** and **PART THREE** of this Agreement, **PART TWO** shall control. In the event there is a conflict between this Agreement and relevant statute(s) or Administrative Rule(s), the relevant statute(s) or rule(s) shall control.

26.13. Headings. Article and other headings contained in this Agreement are for reference purposes only and are not intended to define or limit the scope, extent or intent of this Agreement or any provision hereof.

26.14. Entire Agreement. Grantee and Grantor acknowledge that this Agreement constitutes the entire agreement between them and that no promises, terms, or conditions not recited, incorporated or referenced herein, including prior agreements or oral discussions, shall be binding upon either Grantee or Grantor.

26.15. Counterparts. This Agreement may be executed in one or more counterparts, each of which shall

be considered to be one and the same agreement, binding on all Parties hereto, notwithstanding that all Parties are not signatories to the same counterpart. Duplicated signatures, signatures transmitted via facsimile, or signatures contained in a Portable Document Format (PDF) document shall be deemed original for all purposes.

26.16. Attorney Fees and Costs. If Grantor prevails in any proceeding to enforce the terms of this Agreement, including any administrative hearing pursuant to the Grant Funds Recovery Act or the Grant Accountability and Transparency Act, the Grantor has the right to recover reasonable attorneys' fees, costs and expenses associated with such proceedings.

**THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.**



**EXHIBIT A  
PROJECT DESCRIPTION**

FEDERAL PROGRAM NAME: CHILD CARE & DEV BLOCK GRNT/CHILD CARE DEV FUND MANDATORY & MATCHING  
STATE PROGRAM NAME: CHILD CARE-SITE ADMINISTERED  
PURPOSE OF GRANT

CSFA Number: 444-80-1223  
Appropriation FY: 2018  
Appropriation Code: 01001490B  
Appropriation Desc: CHILD CARE SERVICES  
Appropriation Amount: \$20,000,000.00  
Use by DHS as Maintenance of Effort (MOE): No  
Use by DHS as Matching Funds: No  
CFDA: N/A - CFDA Name: N/A  
FAIN Number: N/A - FAIN Award Agency: N/A  
FAIN Award Date: N/A

CSFA Number: 444-80-1223  
Appropriation FY: 2018  
Appropriation Code: 01001490B  
Appropriation Desc: CHILD CARE SERVICES  
Appropriation Amount: \$3,000,000.00  
Use by DHS as Maintenance of Effort (MOE): No  
Use by DHS as Matching Funds: No  
CFDA: N/A - CFDA Name: N/A  
FAIN Number: N/A - FAIN Award Agency: N/A  
FAIN Award Date: N/A

CSFA Number: 444-80-1223  
Appropriation FY: 2018  
Appropriation Code: 01001490B  
Appropriation Desc: CHILD CARE SERVICES  
Appropriation Amount: \$3,000,000.00  
Use by DHS as Maintenance of Effort (MOE): No  
Use by DHS as Matching Funds: No  
CFDA: N/A - CFDA Name: N/A  
FAIN Number: N/A - FAIN Award Agency: N/A  
FAIN Award Date: N/A

Determine eligibility for the Child Care Assistance Program in accordance with the policies and procedures set forth in the Bureau of Child Care & Development Child Care Assistance Program (CCAP) Policy Manual and provide child care services to a negotiated number of children.

EXHIBIT A

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----

## EXHIBIT B DELIVERABLES OR MILESTONES

All contractors must have a community outreach plan which includes a detailed description for notifying the community of the program, hours of operation, and admittance/eligibility requirements into the program(s) they administer for IDHS. Each contractor must have available for inspection linkage agreements or memorandums of understanding with other community service agencies, IDHS Family and Community Resource Centers, and other outreach entities. IDHS must approve any publication and distribution of flyers, printed materials and brochures that are part of the IDHS funded program. All contractors must have a referral process that assists program participants with enrollment into public benefit programs such as TANF, Food Stamps, All Kids medical and disability assistance, as well as other resources that address the needs of the population targeted for service.

All Child Care providers will review their contract exhibits for specific deliverables and requirements.

1. All required staff at Site Administered Child Care Centers must complete the IDHS CCAP September 30, 2017 training requirements and subsequently, the September 30, 2018 requirements, in order to be in compliance with the Child Care Assistance Program, CCAP Provider Health, Safety and Child Development Training Requirements. Required staff at facilities must complete all annual or ongoing CCAP training requirements in a timely fashion. Please note, for the CCAP Program, all Directors and Teachers at the centers MUST be registered in the Gateways to Opportunity Registry.
2. Provide child care services at daily/weekly times that are consistent with the parental/child needs.
3. Recruit eligible families and children to their child care service.
4. Determine and redetermine client eligibility as instructed in the Bureau of Child Care and Development Child Care Assistance Program (CCAP) Policy Manual. Providers will use the Child Care Application and supporting documentation to determine eligibility. If the supporting documentation is missing, Site Administered Child Care providers must issue a written Request for Additional information as outlined in Policy Section 02.02.02 to the applicant/client for all missing information before making a determination of eligibility within 10 working days of receiving the application or redetermination. Supporting documentation includes, but is not limited to: the two most recent and consecutive pay stubs for all employed family members (other than the applicant and/or the second parent) age 21 and older, verification of enrollment in a training/education program, and the client's TANF Responsibility and Service Plan. In addition, Site Providers must use other electronic data bases provided by IDHS to verify eligibility information from the child care application and/or redetermination including, but not limited to, family composition, earned and unearned income and employment or education/training schedules according to the processes listed in the IPACS Training Manual.
5. Charge the Department the standard daily rate based on geographic area the provider is located in and age of child served. Site Administered Child Care Providers may charge the Child Care Assistance Program (CCAP) families up to these maximums provided they do not charge more for subsidized children than they do for private pay families, nor can Site Providers charge the Child Care Assistance Program (CCAP) families higher than the child

**EXHIBIT B**

maximum rate for regular care services (excluding fees).

Site Administered Child Care Providers are required to provide a listing of the child care rates charged to IDHS subsidized clients vs. the rates charged to private pay families, via a Child Care Rate Certification Form. This form is to be completed and submitted annually with the Site Administered Child Care contract packets.

Site Administered Child Care contracts will not be processed unless this certification is received.

The number of children served under the contract will be negotiated with each Site Administered Child Care Provider. Additionally Site Administered Child Care Providers will:

a. Charge no more than \$2.00 per contracted child, per day, to offset the cost of eligibility determination services. For example: 35 children at \$2.00 per day for 250 eligible days would be \$17,500.

b. Family Child Care Networks will also be paid \$5.00 per contracted child, per day, to provide for additional training, resources and professional supports to licensed homes in the network.

6. Sites that have data entry access to CCMS must enter all application and redetermination information into the system within 10 working days of receipt. For Sites that do not have entry access into CCMS, the application/redetermination, along with all Request for Additional Information forms and notices of approval, denial or cancelation, must be sent electronically to IDHS BCCD CCELIIG within 10 working days after the eligibility decision has been made. This decision must be made within the first 30 working days of receiving the Application/Redetermination

7. All Site Administered Child Care programs must provide either a Notice of Approval, Notice of Denial or Notice of Cancelation within 30 working days from the received date of the application, redetermination or change of information form.

8. Calculate and collect parent fees (co-payments) per Child Care Assistance Program (CCAP) Policy Manual Section 04.02.01.

9. Develop a written agreement regarding parent fees that includes the case name, case number, amount and frequency of payments(s) and the consequences for failure to pay. This agreement is to be discussed with the parent(s) and signed by both the provider and the parent(s). A copy will be given to the parent(s) and a copy will be retained in the case file.

10. Collect a minimum of 85% of parent fees (co-payments) during each year.

11. Submit accurate monthly billing form(s), Monthly Enrollment Report (MER), to IDHS, Bureau of Child Care and Development, within 15 calendar days of the end of the month of service. Notations must be made to explain any changes to eligible days being billed for.

12. Maintain appropriate fiscal records for review by IDHS or its designee.

13. Provide services that are developmentally appropriate, culturally sensitive, linguistically appropriate and consistent with individual child needs.

14. Seek parents' involvement in decisions affecting their children's care.

15. Involve a Board of Directors and/or Advisory Council Committee in the operations of

**EXHIBIT B**

the program. If there are no parents on the Board of Directors, include them in an Advisory Committee or provide another mechanism for parental input to the agency's decision making process.

16. Maintain licensed status with the Department of Children and Family Services (DCFS), meeting license standards during the entire contract period (licensed facilities). IDHS must be informed of any changes to the Sites licensing.

17. Agencies operating networks of licensed family child care homes must assure that the chief program administrator and program coordinator are persons who meet the requirements for supervising a child care center under the Child Care Act of 1969 225 ILCS 10/1 et seq.

18. Cooperate with and coordinate information with caseworkers at the IDHS Family and Community Resource Center (FCRC, formerly known as Local Office), including but not limited to, posting the name and phone number of an IDHS contact person and notifying the FCRC whenever there are contracted slots available.

19. List their agency on the referral database of the appropriate child care resource and referral agency serving their area.

20. Make available to parents a list of the appropriate Child Care Resource and Referral (CCR&R) agencies serving the area.

21. Refer parents to community agencies, as needed. These would include, but are not limited to, mental health agencies, health and medical agencies, social service agencies, local school districts and early intervention agencies, e.g. Child and Family Connections (CFCs).

22. Have access to, and actively use, current technological capabilities, such as computer, internet access, long distance phone services, and fax and copying capabilities.

23. Sign-in and sign-out sheets are required in order to document the use of care. Site Providers must ensure that parents or authorized guardians have easy daily access to Sign-in and sign-out sheets. Provider participation in the Child Care Assistance Program may be terminated if the provider interferes with a parent or guardians ability to complete the Sign-in and sign-out Sheet. This includes but is not limited to entering the times for the parent or guardian, signing the parent or guardians name, or directing the parent or guardian to write in times other than what has actually occurred. Providers cannot sign the parent or guardians initials or full signature on Sign-in and sign-out Sheets

24. Maintain case records for each eligible family receiving Child Care Assistance for at least five (5) years. These records may be reviewed by IDHS staff for a number of purposes

25. Assure job descriptions on file include the roles and responsibilities for administering the Child Care Assistance Program (CCAP).

26. Designate staff responsible for the IDHS contract are appropriately trained. Assure that designated staff responsible for the IDHS contract attends all scheduled IDHS training regarding the Site Administered Child Care Program.

27. Distribute personnel policies upon employment and within 30 days of approved revisions.

28. In addition, all Site Administered contractors operating child care centers will:

## EXHIBIT B

- a. Have procedures in place to contact a parent when a child is absent without notice for more than two (2) consecutive days and to make any needed adjustments to the families CCAP case based on changes in schedules and/or activities.
- b. Assure that each on-site manager is familiar with publicly funded professional development opportunities available to staff, e.g., CCR&R training, StarNet, Gateways, et al.
- c. Assure that at least 10% of the teaching staff (staff in positions to be left alone with a group of children) will meet Great Start education requirements.
- d. Assure the child care director and the child care staff will all participate in a minimum of 15 clock hours of professional development/in-service training annually.
- e. Assure the child care director and all required child care staff have received training on all 12 required child development and health and safety topics required, including First Aid and CPR for CCDF providers.
- f. Assure that at least 10% of child care staff will be trained in blood borne pathogen and universal precautions g. Have health policies and procedures reviewed by a qualified health professional, e.g., CCR&R nurse consultant.
- h. Have a health professional visit the center monthly if the center serves infants and toddlers.
- i. Encourage family involvement in children's programs using a variety of alternatives.
- j. Be accessible to parents during all hours of operation, by phone or in person.
- k. Assure that automated phone systems contain the option of being connected to a live person.
- l. Demonstrate that they have a QRIS/ExceleRate rating above licensing (a copy of the current QRIS Award certificate must be submitted to IDHS) OR must submit an action plan detailing steps that will be implemented and result in application to the QRIS.
29. Family Child Care Networks (FCCN) will:
- a. The FCCN chief program administrator and program coordinator, whether this is one or two actual positions, must meet the requirements for supervising a child care center under the DCFS Licensing Standards, Part 407.
- b. FCCN staff will participate in fifteen (15) clock hours of professional development/in-service training in support of quality improvements in homes. These clock hours are in addition to the clock hours required by DCFS Licensing Standards.
- c. Assure that network providers are licensed by DCFS and have at least the minimum insurance required by licensing. Provide licensing and renewal process support to contracted homes.
- d. Provide a current one-year contract to each licensed child care home in the FCCN. The family child care home providers are independent contractors and not employees of the FCCN. The contract will delineate the respective responsibilities of the agency and the family child care home (FCCH) provider. A copy of the contract boilerplate must be submitted to the Bureau of Child Care and Development. FCCH provider contract agreements must be on file and available for review by IDHS.
- e. Work with local CCR&R to recruit license exempt FCCHs to become licensed and join



**EXHIBIT B**

networks.

f. Make, at minimum, monthly visits to all network FCCH's to support their continuous quality improvement, using an appropriate rating scale tool. Develop a quality improvement plan with each FCCH and provide technical assistance and monitoring of the plan on future visits. Maintain records of provider visits and contacts. Work with each FCCH provider and other monitoring entities, e.g. licensing, to schedule visits so that they minimize disruptions to children's care.

g. Make ten (10) clock hours of professional development available annually, in addition to the fifteen (15) clock hours required by DCFS licensing, by linking with professional development entities, like CCR&Rs, and coordinating professional development opportunities. Require FCCN family child care home providers to participate in the professional development.

h. Pay FCCH providers their published rate, up to the IDHS daily rate, for child care services that have been determined eligible for the CCAP within 10 calendar days of payment to the Network from IDHS.

i. Assure that family child care home providers maintain accurate Sign-in and sign-out daily records, including parent sign in/sign out signatures in ink for five (5) years. Sign-in and sign-out sheets are required in order to document the use of care. FCH Providers must ensure that parents or authorized guardians have easy daily access to attendance sheets. FCH Provider participation in the Child Care Assistance Program may be terminated if the provider interferes with a parent or guardians ability to complete the Sign-in and sign-out Sheet. This includes but is not limited to entering the times for the parent or guardian, signing the parent or guardians name, or directing the parent or guardian to write in times other than what has actually occurred. Providers cannot sign the parent or guardians initials or full signature on Sign-in and sign-out Sheets

j. Maintain a regular communication system with network homes that includes routine communication, resource distribution, and at least quarterly group meetings with FCCHs.

k. Support FCCHs in obtaining information about the ISBE Child and Adult Care Food Program, health insurance coverage, community resources, and other benefits to improve operations.

l. Plan and engage in collaborative activities so that FCCN children can access Early/Head Start and PreK/Preschool for All programming.

m. A minimum of one staff person at each Family Child Care Network shall attend the QRIS Orientation required for licensed family child care home providers to participate in ExceleRate Illinois. Other QRIS trainings should be attended as necessary to provide technical assistance to providers. Attendance certificates must be on file and available for review by IDHS.

n. Technical assistance and referrals related to QRS shall be available to all members of the FCCN.

o. Ensure that all of the necessary requirements for the health, safety and child development trainings have been completed by each Family Child Care Network provider by the established due dates listed above.

## EXHIBIT B

Ensure that all CCAP paperwork and case actions are processed for families using home providers within the network.

## A. Eligibility

Request in writing and obtain all missing information and documentation from CCAP clients prior to making a determination of eligibility within 10 working days of receiving the application, redetermination or change of information.

Use all computerized systems as outlined by BCCD to assist with the determination of client eligibility. Sites that have data entry access to CCMS must Review and enter into CCMS all initial and redetermination application no more than ten (10) working days from the date of receipt to determine if additional documentation is needed from the applicant or their provider

For Sites that do not have entry access into CCMS, the application/redetermination, along with all Request for Additional Information forms, current case notes and notices of approval, denial or cancelation, must be sent to IDHS BCCD CCCLIG within 10 working days after the eligibility decision has been made. This decision must be made within the first 30 working days of receiving the Application/Redetermination

All Site Administered Child Care programs must provide a Notice of Approval, Notice of Denial or Notice of Cancelation within 30 working days from the received date of the application, redetermination or change of information form.

Submit accurate monthly billing form(s) (Monthly Enrollment Report) to the Bureau of Child Care and Development, IDHS, within 15 calendar days of the end of the month of service.

Report to the Bureau of Child Care and Development, IDHS, monthly the number of IDHS and non-IDHS funded children that have been served. -

Report to the Bureau of Child Care and Development, IDHS, the number of families, if any, referred to other community service agencies each month and to which agencies referrals were made.

Maintain an average of 80% enrollment of contracted slots as identified via routine monitoring of the Provider. Failure to maintain 80% enrollment may result in loss of contracted slots.

Assist clients as they complete an initial Child Care Application for the Child Care Assistance Program (CCAP). The application must be completed according to the directions which accompany the IL444 3455 form, and/or given in the Bureau of Child Care & Development CCAP Policy Manual. Ensure all documentation to support income and service eligibility is obtained.

If it is discovered that a client is utilizing another provider that is being paid through a Child Care Resource and Referral (CCR&R) agency, either by communicating with the client or by a search on the CCMS, forward the application to the CCR&R to manage the entire case. These cases will be managed by the CCR&R and payment to the Site will be made through the Certificate program.

Date stamp a client's application, according to Policy 02.01.01 of the Bureau of Child Care & Development CCAP Policy Manual, using the date the application was

**EXHIBIT B**

received/completed. All additional documentation, whether submitted with the application/redetermination, in response to a Request for Additional Information or in any other way obtained by Site staff must also be date stamped to reflect the date the form/documentation was received.

Follow the instructions given in the Bureau of Child Care & Development Child Care CCAP Policy Manual to determine eligibility and assess the co-payment.

A Request for Redetermination is generated by the CCMS during the next to last month of the client's eligibility period. Completion of this document and submission of all required documentation is required in order to continue eligibility. The Site is required to ensure the client completes this form within the guidelines in Policy 02.03.01 of the Bureau of Child Care & Development CCAP Policy Manual and the Child Care Program Plan in the Site Administered Contract.

Assist clients in the completion of a Change of Information form, if information regarding an approved client or others counted in the family size changes at any time during an eligibility period and ensures all appropriate documentation is provided. Sites are to use the submitted information to determine if the family is still eligible and/or if the parent co-payment should be adjusted. Sites that have data entry access to CCMS must Review and enter into CCMS all Change of Information data no more than ten (10) working days from the date of receipt to determine if additional documentation is needed from the applicant or their provider. The Site must generate an approval or cancellation within 30 working days of the receipt of the Change of Information form.

For Sites that do not have entry access into CCMS, the Change of Information form, along with all Request for Additional Information forms and notices of approval or cancellation, must be sent to IDHS BCCD CCELIG within 10 working days after the eligibility decision has been made. This decision must be made within the first 30 working days of receiving the Change of Information form.

Issue a Notice of Cancellation, according to the directions in Policy 02.07.01 of the Bureau of Child Care & Development CCAP Policy Manual, if at any time an approved client becomes ineligible. The cancellation effective date must be at least 10 calendar days after the date the notice is generated. Ensure that the notice is submitted to BCCD (or entered into the CCMS if the Site has that access) within 10 working days. In situations where the family stops using care, the effective date of cancellation can be the same as the date of notice. In all situations, the proper Cancellation Reason Code and language must be used as stated in the CCAP Policy Manual Section 02.07.01

Issue a Notice of Denial, as instructed in Policy 02.02.03 of the Bureau of Child Care & Development CCAP Policy Manual, if at the time of application, a client is determined to be ineligible for the Child Care Assistance Program (CCAP) services. Ensure that the notice is submitted to BCCD (or entered into the CCMS if the Site has that access) within 10 working days. In all situations, the proper Denial Reason Code and language must be used as stated in the CCAP Policy Manual Section 02.02.03

If it becomes necessary to for BCCD staff to request additional or missing information

**EXHIBIT B**

from the Site Provider and client in order to either confirm eligibility or to complete the CCMS data entry, a Request for Additional Information (RAI) form will be forwarded to the Site as outlined in Policy 02.02.02 of the Bureau of Child Care & Development CCAP Policy Manual.

**B. Payments**

Providers will review all Monthly Enrollment Reports (MERs) forms for accuracy and completeness and ensure that billing information matches data which has been entered into the CCMS as demonstrated on the pre-printed Site Administered Monthly Enrollment Report (SAMER).

Providers will enter actual attendance information for all children, using the proper coding and documentation as described on the MER instruction sheet.

Providers will ensure that any cases not pre-printed on the SAMER, for whom care was provided during the month, will upload all necessary documentation into CCMS and DHS.CCELIG. Providers may then include the children on the MER for the month. Providers will note and document explanations for any adjustments and/or unusual situations as warranted.

If a provider receives a SAMER for both Site and Collaboration, the attendance percentage at the bottom of the MER should include days for both MERs.

Providers will submit the completed MER to BCC&D at DHS.CCMER@illinois.gov on, or before, the 15th of the month following the month of service.

Providers will receive and review the paid MER.

Providers will submit a Supplemental Payment Request for any case(s) believed to have been paid in error, e.g. incorrect daily rate, attended vs. eligible days, etc.

Providers will adjust/correct and resubmit any problem cases, as noted by the coding the paid MER, and wait to receive the corrected approval form from BCC&D.

Providers will promptly submit a Supplemental Payment Request for past services upon receipt of an approval form for the client(s) or revision of previously billed requests for payment based on prior approved eligibility. Some cases may be ineligible for supplemental payment for a particular service period due to the time frames imposed under eligibility determination. Cases that fall into this type of situation should not be re-billed.

**C. Appeals**

Provider will explain to the person appealing how they came to the decision being questioned.

Provider will explain to the person appealing how to appeal the decision.

If the client states that they will be filing an appeal, the Site Administered Provider will send everything that they have regarding the decision IMMEDIATELY to Springfield BCC&D Appeals staff at 100 South Grand Ave. East, Harris II, 2nd Floor. ATTN: Appeals, Springfield, IL 62762. The Site will work with BCCD staff to complete the Statement of Facts form required for all appeal hearings.

The Site Administered Provider will plan to attend the Appeal Hearing by phone, if at all possible. For extremely controversial cases and decisions, attendance (in person or by

**EXHIBIT B**

phone) is required.

**D. Case File Information**

Providers must maintain case files for each family. Each case file must include the following:

The original Child Care Application.

The original of any and all subsequent Redetermination Forms.

Copies of all required documentation:

2 most current and consecutive paystubs per eligibility period;

Income verification letters/forms for new jobs or cash employment; Income tax returns, income tax quarterly filing, statement from employers, and a monthly statement of earnings for self-employment;

Client grades, class schedules or letters confirming enrollment, if applicable; these documents must contain the client's name as part of the official document.

oA copy of the Responsibility and Service Plan, etc., if applicable;

oLetters from a certified professional (treating physician) supporting medical conditions, if applicable;

oBus or train schedules supporting travel time, if one way exceeds one hour.

oCopayment Calculation Worksheet

Case notes - The site will complete a narrative of case action as well as notations made on all conversations, relevant to eligibility, between each parent/legal guardian and the site provider or the site provider and BCC&D, FCRC and/or the CCR&R. These notations are entered on the Child Care Management System (CCMS).

Copies of all Approval, Denial and Cancellation letters as well as Requests for Additional Information forms for each case.

Copies of any correspondence on each case from a parent/legal guardian, IDHS, etc.

Applicable screen prints (IPACS, IES and any others deemed necessary for determination of eligibility).

**E. Additional Documentation/Information**

Contracted agencies are required to obtain and maintain authorized access to all computerized systems as outlined by the Bureau of Child Care & Development (BCCD). Access to computerized systems provided by the Illinois Department of Human Services (IDHS) to verify eligibility information, enter payments, monitor training, and licensing status are mandatory to successful contract fulfillment. Contracted agencies must have high speed Internet access to work with IDHS web-based computerized systems. Minimum hardware requirements include computers, printers, scanners and copiers. Software requirements include Adobe Acrobat and Microsoft Office Professional. Although various computer Operating Systems may work with IDHS systems, agencies must have an operating system that can interface with Internet Explorer 8 or above (IE8). IDHS only approves access using Internet Explorer. Other browsers that IDHS does not support may have technical

**EXHIBIT B**

difficulties. Agencies must secure an approval from the Department of Innovation and Technology (DoIT) on their Security and Privacy Controls Questionnaire (SPCQ) prior to obtaining eligibility systems access.

All forms for security/access must be completed and submitted within 30 days of signing the contract.

Each Site provider will be responsible for returning the Child Care Rate Certification located at the following link,

<http://intranet.dhs.illinois.gov/onenetlibrary/12/documents/Forms/IL444-4469.pdf>, with the contract signature page. Site providers will also provide a copy of the current Department of Children and Family Services license. Site administered providers will also provide the following information:

Name, address and contact person, including e-mail address and phone number for each site location.

Total number of days opened for the contract year

Hours serving children each day

Vacation and illness policy

Days closed per contract year

For Home Network Providers, a list of home day care providers with their license number and capacity, hours open, age range, and days of week open.

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----



**EXHIBIT C**  
**PAYMENT**

Grantee shall receive \$26,000,000.00 under this Agreement.

Enter specific terms of payment here:

Site Contract Providers shall submit the Monthly Enrollment Form to DHS.CCMER@illinois.gov by the 15th of the month following the month of service. Payment will be made on the approved billing.

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----

Estimated Annual Contract Amount: \$26,000,000.00

NOTE: The estimated figures are merely an objective means of computing the contract amount and should not be construed as a guaranteed amount that will be spent on the contract during the fiscal year.

**EXHIBIT D  
CONTACT INFORMATION**

**CONTACT FOR NOTIFICATION:**

Unless specified elsewhere, all notices required or desired to be sent by either Party shall be sent to the persons listed below.

**GRANTOR CONTACT**

Name: lesa Boston

Title: Manager

Address: 100 South Grand Ave East, 2nd Floor  
Springfield, IL 62769

Phone: 217-785-9160

TTY #: \_\_\_\_\_

Fax #: 217-785-9334

E-mail Address: lesa.boston@illinois.gov

**GRANTEE CONTACT**

Name: Jennifer Welch

Title: Deputy Commissioner

Address: 1615 W Chicago Ave  
Chicago, IL 60622-5127

Phone: 312-746-7448

TTY #: \_\_\_\_\_

Fax #: 312-746-7783

E-mail Address: jenniter.welch@cityofchicago.org

Additional Information: \_\_\_\_\_

**EXHIBIT E**  
**PERFORMANCE MEASURES**

The Program Integrity and Quality Assurance Unit (PIQA) of the DHS Bureau of Child Care and Development (BCCD) monitors the DHS Child Care Program contractors. This includes all Child Care Resource and Referral (CCR&R) agencies and child care organizations that contract with DHS to provide Child Care Program services. Contracts include administrative services and direct services.

Child Care Program compliance reviews are accomplished mainly through on-site visits to the contractors and can include: review of the administrative service provision to providers and clients, client record review for program eligibility compliance, parent sign in and out sheets, internal controls, fiscal compliance to generally accepted accounting procedures of financial record keeping, and compliance with licensing standards promulgated by the Illinois Department of Children and Family Services.

The Performance Measures for this Exhibit under this contractual agreement will be collected by the DHS BCCD monitors and not by the contracted providers. The metrics DHS monitors collect include:

- ☐ # of client records reviewed
  - ☐ # of client records in compliance with BCCD Policies/Procedures
  - ☐ # of applications and redeterminations processed within specified timeframes
  - ☐ # of services billed within specified timeframes
  - ☐ # of program components with which contractors complied
  - ☐ # of financial components with which contractors complied
- To be in compliance with their DHS BCCD monitoring reviews, contractors will:
- ☐ Provide 100% of client records and family case files requested by BCCD monitor on reviews, including applications and redeterminations processed, case cancellation and denial documentation.
  - ☐ Provide 100% of attendance records requested by BCCD monitor.
  - ☐ Demonstrate compliance or progress toward compliance for 100% of the 18 program components in the monitoring process, as applicable.
  - ☐ Demonstrate compliance or progress toward compliance for 100% of the 12 financial components of the monitoring process, as applicable.
  - ☐ Comply with 100% of the timelines specified by BCCD monitoring in the report response process.
  - ☐ Submit a program improvement/corrective action plan to BCCD.
  - ☐ Submit to BCCD monitors evidence of annual program self-assessment/audit and corrective actions taken to demonstrate improvement.

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----

**EXHIBIT F**  
**PERFORMANCE STANDARDS**

The objectives in Exhibit F apply to the BCCD PIQA monitoring reviews of contractors.

Contractors will ensure that:

- 90% of all CCAP applications and redeterminations are processed according to contract and program policy timeframes.
- 90% of all CCAP applications and redeterminations are processed accurately.
- 90% of all CCAP billings are submitted within 10 days of the end of the month and/or service completion.
- Billings comply with an 85% accuracy rate related to eligibility for reimbursement (need for care, schedule of care, etc.) and co-payment calculation.
- Agency has and implements a system of ongoing staff training and training of new staff.
- 90% of CCAP billings comply with procedures around the 80% rule. Billings are supported by legible attendance/sign in sheets.

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----

**EXHIBIT G  
SPECIFIC CONDITIONS**

**Grantor may remove (or reduce) a Specific Condition included in this Exhibit G by providing notice in writing to the Grantee.**

ICQ Section: 02-Quality of Management System (2 CFR 200.302)

Conditions: Requires more detailed reporting;

Risk Explanation: Medium to high risk increases the likelihood that grant revenues and expenditures will be inaccurate that could result in misreporting, and an abusive environment.

How to Fix: Implementation of new or enhanced system, mitigating controls or a combination of both.

Timeframe: One year.

----- END OF PROGRAM: CHILD CARE-SITE ADMINISTERED -----

**PART TWO – THE GRANTOR-SPECIFIC TERMS**

In addition to the uniform requirements in PART ONE of the Grant Agreement, the Grantor has the following additional requirements for its Grantee:

**ARTICLE XXVII  
ADDITIONAL CERTIFICATIONS**

27.1 Certifications. Grantee shall be responsible for compliance with the enumerated certifications to the extent that the certifications legally apply to Grantee:

(a) **Abuse of Adults with Disabilities Intervention Act.** Grantee certifies that it is in compliance with the Abuse of Adults with Disabilities Intervention Act to protect people with disabilities who are abused, neglected or financially exploited and who, because of their disability, cannot seek assistance on their own behalf. Anyone who believes a person with a disability living in a domestic setting is being abused, neglected or financially exploited must file a complaint with the Office of Inspector General, Department of Human Services. Grantee has an obligation to report suspected fraud or irregularities committed by individuals or other entities with whom it interacts on Grantor's behalf and should make a report to the appropriate program office (20 ILCS 2435/1 *et seq.*).

(b) **Grant Award Requirements.** Grantee certifies that it is in compliance with 45 CFR Part 93 and 45 CFR Part 94.

(c) **Business Entity Registration.** Grantee certifies that it is not required to register as a business entity with the State Board of Elections pursuant to the Procurement Code (30 ILCS 500/20-160 and 30 ILCS 500/50-37). Further, Grantee acknowledges that all contracts between State agencies and a business entity that do not comply with this Paragraph shall be voidable under Section 50-60 of the Procurement Code (30 ILCS 500/50-60).

**ARTICLE XXVIII  
ADDITIONAL TERMS**

28.1 Renewal. This Agreement may be renewed for additional periods by mutual consent of the Parties, expressed in writing and signed by the Parties. Grantee acknowledges that this Agreement does not create any expectation of renewal.

28.2 Multiple Locations. In the event that Grantee has more than one location, Grantee shall include in EXHIBIT D either (1) the address, phone number and hours of operation of each location, or (2) the address, phone number and hours of operation of Grantee's primary location.

28.3 Changes in Key Grant Personnel. When it is specifically required as a condition of an Award, the replacement of the Program director or a key person or a substantial reduction in the level of their effort, e.g., their unanticipated absence for more than three (3) months, or a twenty-five percent (25%) reduction in the time devoted to the Award purposes, requires Prior Approval from Grantor. When it is specifically required as a condition of an Award, Prior Approval will be required for the replacement or the substantial reduction in the level of effort of other personnel whose work is deemed by Grantor to be critical to the Award's successful completion. All requests for approval of changes in key Grant personnel shall be signed by Grantee's authorized representative and submitted to the appropriate Grantor program personnel. Evidence of the qualifications for replacement



personnel (such as a résumé) shall be included. 2 CFR 200.308.

28.4 Grant Funds Recovery. The provisions of 89 Ill. Adm. Code 511 shall apply to any funds awarded that are subject to the Illinois Grant Funds Recovery Act.

28.5 Employee and Subcontractor Background Checks. Grantee certifies that neither Grantee, nor any employee or subcontractor who works on Grantor's premises, has a felony conviction. Any request for an exception to this rule must be made in writing, listing the name of the individual, home address, type of conviction and date of conviction. Grantee will also supply Grantor with a list of individuals assigned to work on DHS' premises at least ten (10) working days prior to the start of their employment, unless circumstances prevent Grantee from giving a list within that time. If Grantee cannot provide a list, or the name of an individual, at least ten (10) working days prior to his/her employment, it shall do so as soon as possible. Grantor may conduct, at its expense, criminal background checks on Grantee's employees and subcontractors assigned to work on Grantor's premises. Grantee agrees to indemnify and hold harmless Grantor and its employees for any liability accruing from said background checks.

28.6 Gifts. In addition to the Gift ban described in Paragraph 26.1, Grantee will provide Grantor with advance notice of Grantee's provision of gifts, excluding charitable donations, given as incentives to community-based organizations in Illinois and clients in Illinois to assist Grantee in carrying out its responsibilities under this Agreement.

**ARTICLE XXIX  
MONITORING AND INFORMATION**

29.1 Monitoring of Conduct. In addition to Article XII of **PART ONE**, Grantor shall monitor Grantee's conduct under this Agreement which may include, but shall not be limited to, reviewing records of performance in accordance with administrative rules, license status review, fiscal and audit review, Agreement compliance and compliance with the affirmative action requirements of this Agreement. Grantor shall have the authority to conduct announced and unannounced monitoring visits and Grantee shall cooperate with Grantor in connection with all such monitoring visits. Failure of Grantee to cooperate with Grantor in connection with announced and unannounced monitoring visits is grounds for Grantor's termination of this Agreement.

29.2 Requests for Information. Grantor may request, and Grantee shall supply, upon request, necessary information and documentation regarding transactions constituting contractual (whether a written contract exists or not) or other relationships, paid for with funds received hereunder. Documentation may include, but is not limited to, information regarding Grantee's contractual agreements, identity of employees, shareholders and directors of Grantee and any party providing services which will or may be paid for with funds received hereunder, including, but not limited to, management and consulting services rendered to Grantee.

29.3 Rights of Review. This ARTICLE XXIX does not give Grantor the right to review a license that is not directly related to the Award being audited nor does it allow Grantor to unilaterally revoke a license without complying with all due process rights to which Grantee is entitled under Federal, State or local law or applicable rules promulgated by Grantor.

**ARTICLE XXX  
WORK PRODUCT**

30.1 Assignment of Work Product. "Work Product" means all the tangible materials, regardless of format, delivered by Provider to DHS under this Agreement. Grantee assigns to Grantor all right, title and interest in and to Work Product. However, nothing in this Agreement shall be interpreted to grant Grantor any right, title or interest in Grantee's intellectual property that has been or will later be developed outside this Award.

30.2 License to Grantor. To the extent Grantee-owned works are incorporated into Work Product, Grantee grants to Grantor a perpetual, non-exclusive, paid-up, world-wide license in the use, reproduction, publication and distribution of such Grantee-owned works when included within the Work Product. Grantee shall not copyright Work Product without Grantor's prior written consent.

30.3 License to Grantee; Objections. Grantor grants to Grantee a perpetual, non-exclusive, paid-up license to publish academic and scholarly articles based upon the services rendered under this Agreement. All materials to be published shall first be submitted to Grantor at least forty-five (45) days prior to publication or other disclosure. Upon written objection from Grantor, Grantee shall excise any confidential information, as that term is defined in applicable State and Federal statutes, federal regulations and Grantor administrative rules, from materials before publication. Grantor may also object to the publication on grounds other than confidentiality. As to the latter objections, Grantee and Grantor will attempt to resolve Grantor's concerns within the forty-five (45) day review period, or as otherwise agreed between the Parties. Grantor waives any objections not made to Grantee in writing before expiration of the review period.

30.4 Unresolved Objections; Disclaimer. If Grantor's objections on grounds other than confidentiality are not resolved within the review period or other such time as agreed by the Parties, then Grantee may publish the materials but shall include therein the following disclaimer: "Although the research or services underlying this article were funded in whole or in part by the [Grantor], the [Grantor] does not endorse or adopt the opinions or conclusions presented in the article." Notwithstanding the above, Grantor shall not have the right to control or censor the contents of Grantee publications.

**ARTICLE XXXI  
POST-TERMINATION/NON-RENEWAL**

31.1 Duties. Upon notice by Grantor to Grantee of the termination of this Agreement or notice that Grantor will not renew, extend or exercise any options to extend the term of this Agreement, or that Grantor will not be contracting with Grantee beyond the term of this Agreement, Grantee shall, upon demand:

(a) Cooperate with Grantor in assuring the transition of recipients of services hereunder for whom Grantee will no longer be providing the same or similar services or who choose to receive services through another Grantee.

(b) To the extent permitted by law, provide copies of all records related to recipient services funded by Grantor under this Agreement.

(c) Grant reasonable access to Grantor to any and all Program sites serving recipients hereunder to facilitate interviews of recipients to assure a choice process by which recipients may indicate provider preference.

(d) Provide detailed accounting of all service recipients' funds held in trust by Grantee, as well as the identity of any recipients for whom Grantee is acting as a representative payee of last resort.

31.2 Survival. The promises and covenants of this Article shall survive the Term of this Agreement for the purposes of the necessary transition of recipients of services hereunder.

**ARTICLE XXXII**  
**LINGUISTIC AND CULTURAL COMPETENCY GUIDELINES AND ASSURANCE**

32.1. Plan Creation. For Grantees that do not have a Linguistic and Cultural Competency (LCC) Plan, the Grantee shall create its LCC Plan within one year following execution of this Agreement. The LCC Plan, including creation guidelines, is described on the Internet at <http://www.dhs.state.il.us/page.aspx?item=66602>.

32.2. Plan Implementation. For Grantees that have an LCC Plan, the Grantee certifies that it is updated annually to identify all goals met and to describe any efforts made toward meeting additional goals still in progress.

32.3. Plan Submission. Upon request, Grantee shall submit to the Grantor its LCC Plan, including any updates.

**PART THREE – THE PROJECT-SPECIFIC TERMS**

In addition to the uniform requirements in **PART ONE** and the Grantor-Specific Terms in **PART TWO**, the Grantor has the following additional requirements for this Project:

**ARTICLE XXXIII  
ADDITIONAL REQUIREMENTS**

33.1 Program Manual. The related Program Manual, if applicable, can be found via the following DHS website: <http://www.dhs.state.il.us/page.aspx?item=29741> and is hereby incorporated into this Agreement.

33.2 Program Attachment. The related Program Attachment, if applicable, is 1 . It can be found via the following DHS website: <http://www.dhs.state.il.us/page.aspx?item=29741> and is hereby incorporated into this Agreement.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Head Start	<b>2. ASSISTANCE TYPE:</b> Discretionary Grant	<b>3. AWARD NO.:</b> 05HP0001-04-00	<b>4. AMEND. NO.:</b> 0
<b>5. TYPE OF AWARD:</b> Service	<b>6. TYPE OF ACTION:</b> Non-Competing Continuation	<b>7. AWARD AUTHORITY:</b> 42 USC 9801 ET SEQ	
<b>8. BUDGET PERIOD:</b> 07/01/2018 THRU 06/30/2019	<b>9. PROJECT PERIOD:</b> 01/01/2015 THRU 06/30/2019	<b>10. CAT NO.:</b> 93.600	

<b>11. RECIPIENT ORGANIZATION:</b> CHICAGO, CITY OF 1615 W Chicago Ave Chicago, IL 60622-5127 Grantee Authorizing Official: Sylvia Ewing , Board Chair	<b>12. PROJECT / PROGRAM TITLE:</b> Early Head Start - Child Care Partnership
--	--

<b>13. COUNTY:</b> Cook	<b>14. CONGR. DIST.:</b> 05	<b>15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR:</b> Lisa Morrison Butler Commissioner
----------------------------	--------------------------------	--

<b>16. APPROVED BUDGET:</b>		<b>17. AWARD COMPUTATION:</b>	
Personnel.....	\$ 614,368.00	A. NON-FEDERAL SHARE.....	\$ 3,820,590.00 20%
Fringe Benefits.....	\$ 262,827.00	B. FEDERAL SHARE.....	\$ 15,282,360.00 80%
Travel.....	\$ 4,000.00	<b>18. FEDERAL SHARE COMPUTATION:</b>	
Equipment.....	\$ 0.00	A. TOTAL FEDERAL SHARE.....	\$ 15,282,360.00
Supplies.....	\$ 39,250.00	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$ 0.00
Contractual.....	\$ 13,242,549.00	C. FED. SHARE AWARDED THIS BUDGET PERIOD...	\$ 0.00
Facilities/Construction.....	\$ 0.00	<b>19. AMOUNT AWARDED THIS ACTION:</b>	\$ 15,282,360.00
Other.....	\$ 335,024.00	<b>20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:</b>	\$ 74,555,880.00
Direct Costs.....	\$ 14,498,018.00	<b>21. AUTHORIZED TREATMENT OF PROGRAM INCOME:</b>	
Indirect Costs.....	\$ 784,342.00	Additional Costs	
At % of \$		<b>22. APPLICANT EIN:</b>	<b>23. PAYEE EIN:</b>
In Kind Contributions.....	\$ 0.00	366005820	1366005820B6
<b>Total Approved Budget.....</b>	<b>\$ 15,282,360.00</b>	<b>24. OBJECT CLASS:</b>	41.51

<b>25. FINANCIAL INFORMATION:</b>					DUNS	167217822
<b>ORGN</b>	<b>DOCUMENT NO.</b>	<b>APPROPRIATION</b>	<b>CAN NO.</b>	<b>NEW AMT.</b>	<b>UNOBLIG.</b>	<b>NONFED %</b>
	05HP000104	75-1819-1536	8-G058128	\$14,919,349.00		
	05HP000104	75-1819-1536	8-G058121	\$363,011.00		

**26. REMARKS:** (Continued on separate sheets)

<b>27. SIGNATURE - ACF GRANTS OFFICER</b> Mr. George Barnwell	<b>DATE:</b> 07/01/2018	<b>28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY</b> Ms. TaWanda Goodman	<b>DATE:</b> 06/29/2018
<b>29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S)</b> Ms. Heather L Wanderski - Regional Program Manager	<b>DATE:</b> 06/29/2018		

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 NOTICE OF AWARD

S.A.I NUMBER:

PMS DOCUMENT NUMBER:

1. AWARDING OFFICE: Office of Head Start		2. ASSISTANCE TYPE: Discretionary Grant	3. AWARD NO.: 05HP0001-04-00	4. AMEND. NO. 0
5. TYPE OF AWARD: Service		6. TYPE OF ACTION: Non-Competing Continuation		7. AWARD AUTHORITY: 42 USC 9801 ET SEQ
8. BUDGET PERIOD: 07/01/2018 THRU 06/30/2019		9. PROJECT PERIOD: 01/01/2015 THRU 06/30/2019		10. CAT NO.: 93.600
11. RECIPIENT ORGANIZATION: City of Chicago				

STANDARD TERMS

1. Paid by DHHS Payment Management System (PMS). see attached for payment information. This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award.

This includes requirements in Parts I and II (available at <http://www.hhs.gov/grants/grants/policies-regulations/index.html>) of the HHS GPS. Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 75, directly apply to this award apart from any coverage in the HHS GPS. This award is subject to requirements or limitations in any applicable Appropriations Act. This award is subject to the requirements of Section 106 (g) of the trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

This award is subject to the Federal Financial Accountability and Transparency Act (FFATA or Transparency) of 2006 subaward and executive compensation reporting requirements. For the full text of the award term, go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>. This award is subject to requirements as set forth in 2 CFR 25.110 Central Contractor Registration (CCR) and DATA Universal Number System (DUNS). For full text go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

The Administration for Children and Families U.S. Department of Health and Human Services Office of Grants Management ATTN: Grants Management Specialist 330 C Street, SW., Switzer Building Corridor 3200 Washington, DC 20201 AND U.S. Department of Health and Human Services Office of Inspector General ATTN: Mandatory Grant Disclosures, Intake Coordinator 330 Independence Avenue, SW, Cohen Building Room 5527 Washington, DC 20201 Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov) Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180& 376 and 31 U.S.C. 3321).

This award is subject to the requirements as set forth in 45 CFR Part 87. This award is subject to HHS regulations codified at 45 CFR Chapter XIII, Parts 1301, 1302, 1303, 1304 and 1305. Attached are terms and conditions, reporting requirements, and payment instructions. Initial expenditure of funds by the grantee constitutes acceptance of this award.



# AWARD ATTACHMENTS

City of Chicago

05HP0001-04-00

---

1. Remarks

**26. REMARKS (Continued from previous page)**

This grant action awards \$14,919,349 for Early Head Start operations and \$363,011 for training and technical assistance for the 07/01/2018-06/30/2019 budget period.

Early Head Start population: 1,100 infants and toddlers.

Designated Early Head Start service area: The City of Chicago within Cook County.

Approved program options: Center-based, Family Child Care

This grant is subject to the requirements for contribution of the non-federal match and approval of key staff, the limitations on development and administrative costs and employee compensation, and prior written approval for the purchase of equipment and other capital expenditures and the purchase, construction and major renovation of facilities as specified in Attachment 1.

Early Head Start delegate agencies: Ada S. McKinley Community Services, Carole Robertson Center for Learning, Centers for New Horizons, Inc., Chicago Commons Association, Chicago Youth Centers, Christopher House, Easter Seals Metropolitan Chicago, Inc., El Valor Corporation, Erie Neighborhood House, Gads Hill Center, Hana Center, Henry Booth House, It Takes a Village, Lutheran Social Services of Illinois, Salvation Army, SGA Youth and Family Services, Shining Star Youth and Community Services, Trinity United Church of Christ Child Care Centers, Inc. and YMCA of Metropolitan Chicago.

Early Head Start - Child Care Partnership population: 1,100 infants and toddlers.

## **Attachment 1**

**Award Number: 05HP0001/04**

**Recipient Organization: CHICAGO, CITY OF**

This grant is subject to Section 640(b) of the Head Start Act and 45 C.F.R. § 1303.4 requiring a non-federal match of 20 percent of the total cost of the program. This grant is also subject to the requirements in Section 644(b) of the Head Start Act and 45 C.F.R. § 1303.5 limiting development and administrative costs to a maximum of 15 percent of the total costs of the program, including the non-federal match contribution of such costs. The requirements for a non-federal match of 20 percent and the limitation of 15 percent for development and administrative costs apply to the 07/01/2018-06/30/2019 budget period unless a waiver is approved. Any request for a waiver of the non-federal match, or a portion thereof, that meets the conditions under Section 640(b)(1)-(5) of the Head Start Act and 45 C.F.R. § 1303.4 or a waiver of the limitation on development and administrative costs that meets the conditions under 45 C.F.R. § 1303.5 must be submitted in advance of the end of the budget period. Any waiver request submitted after the expiration of the project period will not be considered.

The HHS Uniform Administrative Requirements (see 45 C.F.R. § 75.308(c)(1)(ii)) provide the authority to ACF to approve key staff of Head Start grantees. For the purposes of this grant, key staff is defined as the Head Start Director or person carrying out the duties of the Head Start Director if not under that title and the Chief Fiscal Officer if any of those positions is funded, either directly or through indirect cost recovery, more than 50 percent with Head Start funds.

Section 653 of the Head Start Act prohibits the use of any federal funds, including Head Start grant funds, to pay any portion of the compensation of an individual employed by a Head Start agency if that individual's compensation exceeds the rate payable for Level II of the Executive Schedule.

Prior written approval must be obtained for the purchase of equipment and other capital expenditures as described in 45 C.F.R. § 75.439(a). Prior written approval must also be obtained under 45 C.F.R. § 75.439(b)(3) and 45 C.F.R. Part 1303 Subpart E – Facilities to use Head Start grant funds for the initial or ongoing purchase, construction and major renovation of facilities. No Head Start grant funds may be used toward the payment of one-time expenses, principal and interest for the acquisition, construction or major renovation of a facility without prior written approval of the Administration for Children and Families.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Head Start		<b>2. ASSISTANCE TYPE:</b> Discretionary Grant		<b>3. AWARD NO.:</b> 05CH8460-04-01		<b>4. AMEND. NO.:</b> 1		
<b>5. TYPE OF AWARD:</b> Service			<b>6. TYPE OF ACTION:</b> Balance of Funds			<b>7. AWARD AUTHORITY:</b> 42 U.S.C. 9801		
<b>8. BUDGET PERIOD:</b> 12/01/2017 THRU 11/30/2018			<b>9. PROJECT PERIOD:</b> 12/01/2014 THRU 11/30/2019			<b>10. CAT NO.:</b> 93.600		
<b>11. RECIPIENT ORGANIZATION:</b> City of Chicago 1615 W Chicago Ave Chicago, IL 60622-5127 Grantee Authorizing Official: Sylvia Ewing , Board Chair						<b>12. PROJECT / PROGRAM TITLE:</b> Head Start and Early Head Start		

<b>13. COUNTY:</b> Cook		<b>14. CONGR. DIST.:</b> 05		<b>15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR:</b> Lisa Morrison Butler Commissioner			
----------------------------	--	--------------------------------	--	--	--	--	--

<b>16. APPROVED BUDGET:</b>		<b>17. AWARD COMPUTATION:</b>			
Personnel.....	\$ 5,979,554.00	A. NON-FEDERAL SHARE.....	\$ 33,222,554.00	20%	
Fringe Benefits.....	\$ 2,301,530.00	B. FEDERAL SHARE.....	\$ 132,890,216.00	80%	
Travel.....	\$ 13,000.00	<b>18. FEDERAL SHARE COMPUTATION:</b>			
Equipment.....	\$ 0.00	A. TOTAL FEDERAL SHARE.....	\$ 132,890,216.00		
Supplies.....	\$ 545,000.00	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$ 0.00		
Contractual.....	\$ 112,913,922.00	C. FED. SHARE AWARDED THIS BUDGET PERIOD...\$	66,445,109.00		
Facilities/Construction.....	\$ 0.00	<b>19. AMOUNT AWARDED THIS ACTION:</b>		\$ 66,445,107.00	
Other.....	\$ 4,316,831.00	<b>20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:</b>		\$ 518,432,205.00	
Direct Costs.....	\$ 126,069,837.00	<b>21. AUTHORIZED TREATMENT OF PROGRAM INCOME:</b>			
Indirect Costs.....	\$ 6,820,379.00	Additional Costs			
At % of \$		<b>22. APPLICANT EIN:</b>		<b>23. PAYEE EIN:</b>	
In Kind Contributions.....	\$ 0.00	366005820		1366005820B6	
<b>Total Approved Budget.....</b>	<b>\$ 132,890,216.00</b>	<b>24. OBJECT CLASS:</b>		41.51	

<b>25. FINANCIAL INFORMATION:</b>					DUNS 167217822	
<b>ORGN</b>	<b>DOCUMENT NO.</b>	<b>APPROPRIATION</b>	<b>CAN NO.</b>	<b>NEW AMT.</b>	<b>UNOBLIG.</b>	<b>NONFED %</b>
	05CH846004	75-18-1536	8-G054122	\$56,428,066.00		
	05CH846004	75-18-1536	8-G054120	\$560,785.00		
	05CH846004	75-18-1536	8-G054125	\$9,317,178.00		

**26. REMARKS:** (Continued on separate sheets)

<b>27. SIGNATURE - ACF GRANTS OFFICER</b>		<b>DATE:</b>	<b>28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY</b>	
Mr. George Barnwell		05/15/2018	Ms. TaWanda Goodman	
<b>29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S)</b>		<b>DATE:</b>		
Ms. Heather L Wanderski - Regional Program Manager		05/14/2018		

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES  
 NOTICE OF AWARD

SAI NUMBER:

PMS DOCUMENT NUMBER:

1. AWARDING OFFICE: Office of Head Start		2. ASSISTANCE TYPE: Discretionary Grant		3. AWARD NO.: 05CH8460-04-01		4. AMEND. NO. 1		
5. TYPE OF AWARD: Service			6. TYPE OF ACTION: Balance of Funds			7. AWARD AUTHORITY: 42 U.S.C. 9801		
8. BUDGET PERIOD: 12/01/2017 THRU 11/30/2018			9. PROJECT PERIOD: 12/01/2014 THRU 11/30/2019			10. CAT NO.: 93.600		
11. RECIPIENT ORGANIZATION: City of Chicago								

ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED%
	05CH846004	75-18-1536	8-G054121	\$139,078.00		

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES  
NOTICE OF AWARD**

SAI NUMBER:

PMS DOCUMENT NUMBER:

<b>1. AWARDING OFFICE:</b> Office of Head Start		<b>2. ASSISTANCE TYPE:</b> Discretionary Grant	<b>3. AWARD NO.:</b> 05CH8460-04-01	<b>4. AMEND. NO.</b> 1
<b>5. TYPE OF AWARD:</b> Service		<b>6. TYPE OF ACTION:</b> Balance of Funds	<b>7. AWARD AUTHORITY:</b> 42 U.S.C. 9801	
<b>8. BUDGET PERIOD:</b> 12/01/2017 THRU 11/30/2018		<b>9. PROJECT PERIOD:</b> 12/01/2014 THRU 11/30/2019		<b>10. CAT NO.:</b> 93.600

**11. RECIPIENT ORGANIZATION:**

City of Chicago

**STANDARD TERMS**

1. Paid by DHHS Payment Management System (PMS), see attached for payment information. This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award.

This includes requirements in Parts I and II (available at <http://www.hhs.gov/grants/grants/policies-regulations/index.html>) of the HHS GPS. Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 75, directly apply to this award apart from any coverage in the HHS GPS. This award is subject to requirements or limitations in any applicable Appropriations Act. This award is subject to the requirements of Section 106 (g) of the trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

This award is subject to the Federal Financial Accountability and Transparency Act (FFATA or Transparency) of 2006 subaward and executive compensation reporting requirements. For the full text of the award term, go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>. This award is subject to requirements as set forth in 2 CFR 25.110 Central Contractor Registration (CCR) and DATA Universal Number System (DUNS). For full text go to <http://www.acf.hhs.gov/discretionary-post-award-requirements>.

Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

The Administration for Children and Families  
U.S. Department of Health and Human Services  
Office of Grants Management  
ATTN: Grants Management Specialist  
330 C Street, SW.,  
Switzer Building Corridor 3200  
Washington, DC 20201  
AND  
U.S. Department of Health and Human Services  
Office of Inspector General  
ATTN: Mandatory Grant Disclosures  
Intake Coordinator  
330 Independence Avenue, SW,  
Cohen Building Room 5527  
Washington, DC 20201  
Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)  
Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180& 376 and 31 U.S.C. 3321).

This award is subject to the requirements as set forth in 45 CFR Part 87. This award is subject to HHS regulations codified at 45 CFR Chapter XIII, Parts 1301, 1302, 1303, 1304 and 1305. Attached are terms and conditions, reporting requirements, and payment instructions. Initial expenditure of funds by the grantee constitutes acceptance of this award.



# AWARD ATTACHMENTS

City of Chicago

05CH8460-04-01

1. Remarks

---

---

---

**26. REMARKS (Continued from previous page)**

This grant action awards the balance of funds for Head Start operations, Head Start training and technical assistance, Early Head Start operations and Early Head Start training and technical assistance based on the initial application submitted for the 12/01/2017-11/30/2018 budget period.



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**Section A: State of Illinois Funds**

REVENUES	Total
State of Illinois Requested:	\$26,000,000.00
<b>Budget Expenditure Categories</b>	
1. Personnel (200.430)	\$1,585,004.72
2. Fringe Benefits (200.431)	\$663,109.98
3. Travel (200.474)	N/A
4. Equipment (200.439)	N/A
5. Supplies (200.94)	\$10,614.31
6. Contractual Services/Subawards (200.318 and 200.92)	\$23,085,926.00
7. Consultant (200.459)	N/A
8. Construction	N/A
9. Occupancy - Rent and Utilities (200.465)	N/A
10. Research and Development (R & D) (200.87)	N/A
11. Telecommunications	\$18,425.00
12. Training and Education (200.472)	N/A
13. Direct Administrative Costs (200.413)	N/A
14. Other or Miscellaneous Costs	N/A
15. Grant Exclusive Line Item(s)	N/A
16. Total Direct Costs (add lines 1-15) (200.413)	\$25,363,080.01
17. Indirect Cost (200.414)	\$636,919.99
Rate %: 48.82	
Base: \$1,304,629.24	
18. Total Costs State Grant Funds Lines 16 and 17	\$26,000,000.00
<b>MUST EQUAL REVENUE TOTALS ABOVE</b>	



State Agency Illinois Department of Human Services

Grantee CHICAGO CITY OF

Data Universal Number System (DUNS) Number 956049399

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

Catalog of Federal Domestic Assistance (CFDA) Number N/A

FY. 2018

Notice of Funding Opportunity (NOFO) Number. N/A

FEIN 366005829

CSFA Short Description. Child Care Mandatory and Match

CFDA Short Description. N/A

SECTION A - (Continued) - Indirect Cost Rate Information

If your organization is requesting reimbursement for indirect costs on line 17 of the Budget Summary, please select one of the following options.

- 1. Our Organization receives direct Federal funding and currently has a Negotiated Indirect Cost Rate Agreement (NICRA) with our federal Cognizant Agency. A copy of this agreement will be provided to the State of Illinois' Indirect Cost Unit for review and documentation before reimbursement is allowed. This NICRA will be accepted by all State of Illinois agencies up to any statutory, rule-based or programmatic restrictions or limitations.

NOTE: (If this option is selected, please provide basic Negotiated Indirect Cost Rate Agreement information in area designated below)

Your organization may not have a Federally Negotiated Cost Rate Agreement. Therefore, in order for your organization to be reimbursed for the Indirect Costs from the State of Illinois your organization must either:

- A. Negotiate an Indirect Cost Rate with the State of Illinois' Indirect Cost Unit with guidance from your State Cognizant Agency on an annual basis;
- B. Elect to use the de minimis rate of 10% modified for total direct costs (MTDC) which may be used indefinitely on State of Illinois awards; or
- C. Use a Restricted Rate designated by programmatic or statutory policy (see Notice of Funding Opportunity for Restricted Rate Programs).

- 2a) Our Organizations currently has a Negotiated Indirect Cost Rate Agreement (NICRA) with the State of Illinois that will be accepted by all State of Illinois agencies up to any statutory, rule-based or programmatic restrictions or limitations. Our Organization is required to submit a new Indirect Cost Rate Proposal to the Indirect Cost Unit within six (6) months after the close of each fiscal year (2 CFR 200 Appendix IV (C)(2)(c)).

NOTE: (If this option is selected, please provide basic Indirect Cost Rate Agreement information in area designated below)

- 2b) Our Organization currently does not have a Negotiated Indirect Cost Rate Agreement (NICRA) with the State of Illinois. Our organization will submit our initial Indirect Cost Rate Proposal (ICRP) immediately after our Organization is advised that the State award will be made and, in no event, later than three (3) months after the effective date of the State award (2 CFR 200 Appendix IV (C)(2)(b)). The initial ICRP will be sent to the State of Illinois' Indirect Cost unit.

NOTE: (Check with your State of Illinois Agency for information regarding reimbursement of indirect costs while your proposal is being negotiated)

- 3) Our Organization has never received a Negotiated Indirect Cost Rate Agreement from either the federal government or the State or Illinois and elects to charge the de minimis rate of 10% modified total direct cost (MTDC) which may be used indefinitely on State of Illinois awards (2 CFR 200.414 (c)(4)(f) & (200.58) )

NOTE: (Your Organization must be eligible, see 2 CFR 200.414 (f), and submit documentation on the calculation of MTDC within your Budget + Narrative under Indirect Costs)

- 4) For Restricted Rate Programs, our Organization is using a restricted indirect cost rate that:
  - Is included as a "Special Indirect Cost Rate" in our NICRA (2 CFR 200 Appendix IV(5) ); Or
  - Complies with other statutory policies (please specify in the Narrative section of the Indirect Cost Category Page).
 The Restricted Indirect Cost Rate is: N/A %
- 5) No reimbursement of Indirect Cost is being requested. (Please consult your program office regarding possible match requirements)



State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**Basic Negotiated Indirect Cost Rate Agreement information if Option (1) or (2a) is selected**

Period Covered by NICRA: From: 01/01/2016 To: 12/31/2016 (mm/dd/yyyy)

Approving Federal/State agency (please specify): US HHS

The Indirect Cost Rate is 48.82 %

**The Distribution Base is:**

Total Direct Costs excluding capital expenditures (buildings, individual items of equipment; alterations and renovations), subawards and flow-through funds.





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 556049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**Section B: Non-State of Illinois Funds**

REVENUES	Grantee Match Requirement %: N/A	Total
b) Cash		N/A
c) Non-Cash		N/A
d) other Funding and Contributions		N/A
Total Non-State Funds (lined b through d)		N/A
<b>Budget Expenditure Categories</b>		
1. Personnel (200.430)		N/A
2. Fringe Benefits (200.431)		N/A
3. Travel (200.474)		N/A
4. Equipment (200.439)		N/A
5. Supplies (200.94)		N/A
6. Contractual Services/Subawards (200.318 and 200.92)		N/A
7. Consultant (200.459)		N/A
8. Construction		N/A
9. Occupancy - Rent and Utilities (200.465)		N/A
10. Research and Development (R & D) (200.87)		N/A
11. Telecommunications		N/A
12. Training and Education (200.472)		N/A
13. Direct Administrative Costs (200.413)		N/A
14. Other or Miscellaneous Costs		N/A
15. Grant Exclusive Line Item(s)		N/A
16. Total Direct Costs (add lines 1-15) (200.413)		N/A
17. Indirect Cost (200.414)		N/A
Rate %: N/A		
Base: N/A		
18. Total Costs Non-State Grant Funds Lines 16 and 17		N/A
<b>MUST EQUAL REVENUE TOTALS ABOVE</b>		





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

**Agreement Numbers.** N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

**Notice of Funding Opportunity (NOFO) Number.** N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

By Signing this report, I certify to the best of my knowledge and belief that the report is true, complete and accurate and that any false, fictitious or fraudulent information or the omission of any material fact could result in the immediate termination of my grant award(s).

**Note: The State Awarding Agency may change required signers based on the grantee's organizational structure. The required signers must have the authority to enter onto contractual agreements on the behalf of the organization.**

**Grantee Approval:**

Budget version: 1.0 - Signed off as Executive Director by LISA MORRISON BUTLER Commissioner on 08/10/2017 01:19:39

Budget version: 1.0 - Signed off as CFO or Equivalent by JONATHAN ERNST Managing Deputy Commissioner on 08/10/2017 01:17:47

UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers: N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

FFATA Data Collection Form (if needed by agency)

Under FFATA, all sub-recipients who receive \$30,000 or more must provide the following information for federal reporting. Please fill out the following form accurately and completely.

4-digit extension if applicable:

9560-9399

Sub-recipient Parent Company DUNS:

Sub-recipient Name: CHICAGO CITY OF

Sub-recipient DBA Name: CHICAGO CITY OF

Sub-recipient Address: 333 S State St

State: IL

Zip-Code: 60604-3900

Congressional District: 7

City: Chicago

Sub-recipient Principal Place of Performance: Chicago Department of Family and Support Services

Sub-recipient Principal Place of Performance Street Address: 1615 West Chicago Avenue, 5th Floor

City: Chicago

Zip-Code: 60622

Congressional District: 5

Contract Number (if known): N/A

Award Amount: N/A

Project Period: From: N/A

To: N/A

State of Illinois Awarding Agency and Project Detail Description:

N/A

Under certain circumstances, sub-recipient must provide names and total compensation of its top 5 highly compensated officials. Please answer the following questions and follow the instructions.

Q1. In your business or organization's previous fiscal year, did your business or organization (including parent organization, all branches and affiliates worldwide) receive (1) 30% or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants and/or cooperative agreements and (2) \$25,000,000 or more in annual gross revenue from U.S. federal contracts, subcontracts, loans, grants, subgrants and/or cooperative agreements?

Yes  If Yes, must answer Q2 below.

No

If No, you are not required to provide data.

Q2. Does the public have access to information about the compensation of the senior executives in your business or organization (including parent organization, all branches and all affiliates worldwide) through periodic reports filed under section 13(e) or 15(d) of the Securities Exchange Act of 1934 (5 U.S.C. 78o(d)) or section 6104 of the Internal Revenue code of 1936 (i.e., on IRS Form 990)?

Yes

No

If No, you must provide the data. Please fill out the rest of this form.

Please provide names and total compensation of the top five officials:

N/A



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

Grantee CHICAGO CITY OF

Data Universal Number System (DUNS) Number 956049399

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

Catalog of Federal Domestic Assistance (CFDA) Number N/A

FY. 2018

Notice of Funding Opportunity (NOFO) Number. N/A

FEIN 366005820

CSFA Short Description. Child Care Mandatory and Match

CFDA Short Description. N/A

**1). Personnel (2 CFR 200.430)**

List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project and length of time working on the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization. Include a description of the responsibilities and duties of each position in relationship to fulfilling the project goals and objectives in the narrative space provided below. Also, provide a justification and description of each position (including vacant positions). Relate each position specifically to program objectives. Personnel cannot exceed 100% of their time on all active projects.

Name	Position	Salary Or Wage	Basis (Yr./Mo./Hr.)	% of Time	Length of Time	Personnel Cost
Bailey, Jessica	Support Services Coordinator	\$59,864.64	Yearly	100.00	1.00	\$59,864.64
Correa, Maribel	Programmer/Analyst	\$66,696.96	Yearly	100.00	1.00	\$66,696.96
Butts, Zenobia, A	Support Services Coordinator	\$67,700.16	Yearly	100.00	1.00	\$67,700.16
Craft, Nicole J	Supvr of Children Services Programs	\$55,281.60	Yearly	100.00	1.00	\$55,281.60
Evans, Karen	Support Services Coordinator	\$59,864.64	Yearly	100.00	1.00	\$59,864.64
Forbes, Jaqueline Y	Clerk III	\$46,706.88	Yearly	100.00	1.00	\$46,706.88
Jennings Squalls, L'il L	Support Services Coordinator	\$65,714.88	Yearly	100.00	1.00	\$65,714.88
Jones, Mary L	Support Services Coordinator	\$67,700.16	Yearly	100.00	1.00	\$67,700.16
Jordan, Margaret G	Supvr of Children Services Programs	\$62,145.60	Yearly	100.00	1.00	\$62,145.60
King, Keysha S	Clerk IV	\$51,258.24	Yearly	100.00	1.00	\$51,258.24
Vacant (formerly Mardirosian, Janet F)	Clerk IV	\$49,758.72	Yearly	100.00	1.00	\$49,758.72
Mitchell, Eleanor N	Support Services Coordinator	\$61,680.96	Yearly	100.00	1.00	\$61,680.96
Pacheco, Marifany	Clerk IV	\$53,655.36	Yearly	100.00	1.00	\$53,655.36
Robinson, Cecilia L	Support Services Coordinator	\$61,680.96	Yearly	100.00	1.00	\$61,680.96
Ruan, Salina N	Accountant IV	\$88,682.88	Yearly	100.00	1.00	\$88,682.88
Sampson, Carl V	Clerk III	\$51,258.24	Yearly	100.00	1.00	\$51,258.24
Vacant (formerly Walls, Emmett L)	Support Services Coordinator	\$79,094.40	Yearly	100.00	1.00	\$79,094.40
Vacant (Clark, Carrie)	Support Services Coordinator	\$43,285.44	Yearly	100.00	1.00	\$43,285.44
Vacant (NT)	Director of Program Operations	\$73,349.76	Yearly	100.00	1.00	\$73,349.76
White, La Tasha	Senior Data Base Analyst	\$96,856.32	Yearly	70.00	1.00	\$67,799.42





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

FY: 2018

State Agency Illinois Department of Human Services

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

FEIN 366005820

Data Universal Number System (DUNS) Number 956049399

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

Director of Information Systems							
Lam, Jonathan	Director of Information Systems	\$75,546.24	N/A	Yearly	24.00	1.00	\$18,131.10
Tripole/Williams, Vanessa M	Senior Programmer/Analyst	\$79,453.44		Yearly	20.00	1.00	\$15,990.69
Del Campo, David M	Senior Data Base Analyst	\$96,856.32		Yearly	16.00	1.00	\$15,497.01
Anderson, Rhonda F	Project Coordinator	\$68,185.92		Yearly	5.00	1.00	\$3,409.30
Berry, Latrice R	Supvr of Children Services Programs	\$62,145.60		Yearly	5.00	1.00	\$3,107.28
Davila, Isolda	Project Coordinator	\$74,807.04		Yearly	5.00	1.00	\$3,740.35
Jordan, Denise	Coordinator of Community Services	\$71,448.96		Yearly	5.00	1.00	\$3,572.45
Maiden, Angela F	Supervising Audio-Vision Tester	\$48,565.44		Yearly	5.00	1.00	\$2,428.27
Vacant (formerly Mercurius, Paulette J)	Asst Director of Children Services	\$64,426.56		Yearly	5.00	1.00	\$3,221.33
New	Assistant Director of Children Services/BX 18	\$64,426.56		Yearly	5.00	1.00	\$3,221.33
New	Assistant Director of Children Services/BX 18	\$64,426.56		Yearly	5.00	1.00	\$3,221.33
Millsap Parker, Elaine	Supvr of Children Services Programs	\$74,807.04		Yearly	5.00	1.00	\$3,740.35
New	Supervisor of Children Services/BX15	\$50,381.76		Yearly	5.00	1.00	\$2,519.09
New	Supervisor of Children Services/BX15	\$50,381.76		Yearly	5.00	1.00	\$2,519.09
New	Supervisor of Children Services/BX15	\$50,381.76		Yearly	5.00	1.00	\$2,519.09
Nichols, Beatrice L	Assistant Director of Children Services	\$70,730.88		Yearly	5.00	1.00	\$3,536.54
Stover, Elizabeth	Assistant Director of Children Services	\$82,104.00		Yearly	5.00	1.00	\$4,105.20
Vacant	Supervisor of Children Services	\$50,381.76		Yearly	5.00	1.00	\$2,519.09
Vacant	Supervisor of Children Services	\$50,381.76		Yearly	5.00	1.00	\$2,519.09
Webb, Sharita J	Coordinator of Special Projects	\$74,807.04		Yearly	5.00	1.00	\$3,740.35
Zemke, Craig M	Supvr of Children Services Programs	\$62,145.60		Yearly	5.00	1.00	\$3,107.28
Anderson, Jody M	Support Services Coordinator	\$61,680.96		Yearly	5.00	1.00	\$3,084.05



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services      **FY. 2018**  
 Grantee CHICAGO CITY OF      **Notice of Funding Opportunity (NOFO) Number. N/A**  
 Data Universal Number System (DUNS) Number 956049399      **FEIN 366005820**  
 Catalog of State Financial Assistance (CSFA) Number 444-80-1223      **CSFA Short Description. Child Care Mandatory and Match**  
 Catalog of Federal Domestic Assistance (CFDA) Number N/A      **CFDA Short Description. N/A**

Chavez, Griselda	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Gonzalez, Maria (on leave)	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Gonzalez, Sandra E	Support Services Coordinator	\$67,700.16	Yearly	5.00	1.00				\$3,385.01
Robinson, Anya S	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Robinson, Twyana (formerly vacant)	Support Services Coordinator	\$44,594.88	Yearly	5.00	1.00				\$2,229.74
Herrera, Juana M	Support Services Coordinator	\$81,480.96	Yearly	5.00	1.00				\$4,074.05
Powell, Kamaria	Support Services Coordinator	\$67,700.16	Yearly	5.00	1.00				\$3,385.01
Vacant	Deputy Commissioner	\$110,278.08	Yearly	5.00	1.00				\$5,513.90
Hanieh, Madeline	Director of Children Services	\$94,353.60	Yearly	5.00	1.00				\$4,717.68
New	Director of Children Services/B19	\$86,011.20	Yearly	5.00	1.00				\$4,300.56
New	Director of Children Services/B19	\$86,011.20	Yearly	5.00	1.00				\$4,300.56
New	Manager of Family Support Programs	\$96,877.44	Yearly	5.00	1.00				\$4,843.87
Vacant	Manager of Family Support Programs (formerly Director of Children Services)	\$96,877.44	Yearly	5.00	1.00				\$4,843.87
Santiago, Victor M	Coordinator of Special Projects	\$68,185.92	Yearly	5.00	1.00				\$3,409.30
Schwab, David	Project Manager	\$80,984.64	Yearly	5.00	1.00				\$4,049.23
New	Staff Assistant/B13 (B)	\$44,594.88	Yearly	5.00	1.00				\$2,229.74
New	Administrative Assistant II/B10	\$33,770.88	Yearly	5.00	1.00				\$1,688.54
New	Administrative Assistant II/B10	\$33,770.88	Yearly	5.00	1.00				\$1,688.54
Balthazar, Darlene F	Executive Secretary II	\$62,145.60	Yearly	5.00	1.00				\$3,107.28
Vacant	Auditor III	\$86,074.56	Yearly	5.00	1.00				\$4,303.73
Vacant	Auditor III	\$86,074.56	Yearly	5.00	1.00				\$4,303.73
Guan, Qi	Supervisor of Accounting	\$70,371.84	Yearly	5.00	1.00				\$3,518.59
Lezon, Glenn-F	Director of Accounting	\$80,245.44	Yearly	5.00	1.00				\$4,012.27
New	Accountant III	\$53,074.56	Yearly	5.00	1.00				\$2,653.73





UNIFORM GRANT BUDGET TEMPLATE

State Agency Illinois Department of Human Services

FY. 2013

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

New	Account Tech II	\$37,655.04			Yearly	5.00		1.00			\$1,852.75	
New	Chief Contracts Expeditor	\$50,381.76			Yearly	5.00		1.00			\$2,519.09	
New	Program Auditor II	\$44,594.88			Yearly	5.00		1.00			\$2,229.74	
New	Program Auditor II	\$44,594.88			Yearly	5.00		1.00			\$2,229.74	
Brown, Jeffrey M	Licensing Coordinator	\$70,899.84			Yearly	5.00		1.00			\$3,544.99	
Carranza, Fredy E	Support Services Coordinator - PDM	\$81,480.96			Yearly	5.00		1.00			\$4,074.05	
Guzman, Ana Lilia	Support Services Coordinator - PDM	\$67,700.16			Yearly	5.00		1.00			\$3,385.01	
Passament, Jacinta	Support Services Coordinator - DATA	\$61,680.96			Yearly	5.00		1.00			\$3,084.05	
Rosa-Rodriguez, Marisol	Support Services Coordinator - Program Governance	\$61,680.96			Yearly	5.00		1.00			\$3,084.05	
Miranda, Zoraya (formerly Vacant/McClure, Joanne)	Support Services Coordinator - PDM	\$44,594.88			Yearly	5.00		1.00			\$2,229.74	
Cook, Angela (formerly Vacant)	Support Services Coordinator - PDM	\$44,594.88			Yearly	5.00		1.00			\$2,229.74	
Hall, Charles (formerly Vacant)	Support Services Coordinator - PDM	\$44,594.88			Yearly	5.00		1.00			\$2,229.74	
Payne, Sandra J	Support Services Coordinator - PDM	\$74,289.60			Yearly	5.00		1.00			\$3,714.48	
Rios, Edelmiro	Support Services Coordinator - PDM	\$67,700.16			Yearly	5.00		1.00			\$3,385.01	
Vacant (formerly Barrera, Victor)	Support Services Coordinator - PDM	\$67,700.16			Yearly	5.00		1.00			\$3,385.01	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	
New	Program Development Coordinator/BX14	\$45,914.88			Yearly	5.00		1.00			\$2,295.74	





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
New	Program Development Coordinator/BX14	\$45,914.88	Yearly	5.00	1.00	\$2,295.74			
Santana, Jennifer D	Support Services Coordinator - DATA	\$61,680.96	Yearly	5.00	1.00	\$3,084.05			
Dean, Reginald	Program Analyst	\$66,696.96	Yearly	5.00	1.00	\$3,334.85			
Williams, Denise R	Support Services Coordinator - PG	\$61,680.96	Yearly	5.00	1.00	\$3,084.05			



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers: N/A

State Agency Illinois Department of Human Services

FY: 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number: N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description: Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description: N/A

Linyard, Cynthia M	Support Services Coordinator	\$67,700.16	Yearly	5.00	1.00				\$3,385.01
Maldonado, Jamie	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Millsap, Denma L	Support Services Coordinator	\$67,700.16	Yearly	5.00	1.00				\$3,385.01
Ross, Angela D	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Starks, Ernestine	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Wiggins, Catherine E	Support Services Coordinator	\$64,627.20	Yearly	5.00	1.00				\$3,231.36
Head, Daphyne	Support Services Coordinator	\$61,680.96	Yearly	5.00	1.00				\$3,084.05
Hartray, James J	Accountant II	\$74,374.08	Yearly	3.10	1.00				\$2,305.60
Vacant (Boyd, Angela)	Unit Assistant	\$30,303.52	Yearly	3.00	1.00				\$924.11
Vacant	Staff Assistant	\$44,594.88	Yearly	3.00	1.00				\$1,337.85
Vacant	Staff Assistant	\$44,594.88	Yearly	3.00	1.00				\$1,337.85
Vacant	Chief Planning Analyst	\$53,877.12	Yearly	3.00	1.00				\$1,616.31
Jones-Lewis, Darlene	Grants Research Specialist	\$86,940.48	Yearly	3.00	1.00				\$2,608.21
Mathews, Elsie J	Support Services Coordinator - Transportation	\$67,700.16	Yearly	3.00	1.00				\$2,031.00
Berry, Tracie L	Auditor II	\$81,301.44	Yearly	2.00	1.00				\$1,626.03
Jackson, Quinzanda	Auditor III	\$88,682.88	Yearly	2.00	1.00				\$1,773.66
Campbell, Harold	Program Director	\$98,809.92	Yearly	2.00	1.00				\$1,976.20
Gardner, Dorothy	Staff Assistant	\$69,505.92	Yearly	2.00	1.00				\$1,390.12
Frank, Simeon C	Auditor II	\$81,301.44	Yearly	1.00	1.00				\$813.01
Stafford, David	Auditor IV	\$103,794.24	Yearly	1.00	1.00				\$1,037.94
Bolton, Diana	Supervisor of Account	\$74,807.04	Yearly	1.00	1.00				\$748.07
Vacant (formerly Buckner, Muriel Y)	Clerk IV	\$52,081.92	Yearly	1.00	1.00				\$520.82
Frazier, Sandra	Staff Assistant	\$79,886.40	Yearly	1.00	1.00				\$798.86
Thema, Jacqueline	Dir. of Planning, Research & Development	\$89,464.32	Yearly	1.00	1.00				\$894.64
Isom, Valorie E	Clerk IV	\$51,258.24	Yearly	1.00	1.00				\$512.58
								State Total	\$1,585,004.72
								Non-State Total	

Non-State: Item data NOT entered for this category



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

FY. 2018

State Agency Illinois Department of Human Services

Grantee CHICAGO CITY OF Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399 FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223 CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A CFDA Short Description. N/A

Total Personnel \$1,585,004.72

**Personnel Narrative (State):**

The above listed staff work directly on the re-determination of the child care cases that are supported by this grant. The Clerk III and Clerk IV positions act as the initial reviewer of the child care cases, working with our child care provider agencies to ensure that we have a complete application and preparing that application for review. The cases are then transferred to the assigned Support Service Coordinator (SSC) to perform the re-determination of the case including working with the provider agency to obtain additional information regarding the case and using the various State data bases to confirm the provided information. The two Supervisor of Children Services Programs act as the direct supervisors of the Clerks and SSC, splitting the staff into two teams. These supervisors are the first point of escalation of any client or agency issues and ensure that State policies and procedures are properly carried out during the re-determination process. The Director of Program Operations oversees the team as a whole and acts as the main point of contact with the State and well as the primary driver of internal policies and procedures. With this position currently vacant, the two Supervisor of CSPs are handling the duties of the role. The Clerk and SSC vacancies are vital in ensuring that DFSS is able to meet the deadlines of case processing. The City plans on moving forward with the hiring process for these vacancies as soon as the FY 18 notice of award is received. The Accounting positions are not a part of this team directly but works closely with them and our agencies to generate the correct billing for each case in the system and then verifies the agencies' monthly billings and generates the monthly billings to the State. The remaining positions listed as partially charged to the Child Care Grant are programming positions. These staff spend a portion of their time working with our child care agencies on their programming and operations associated with the Child Care Grant or work in support of the Child Care grant activities internally at DFSS. None of these employees are included in DFSS's indirect cost rate as that rate only includes employees in other City of Chicago departments that help support DFSS. The staff and % listed for staff not 100% charged to the grant is based off of DFSS's Personal Activity Report (PAR) data tracking time and effort across grants. Actual personnel and % charge to the grant may vary based off of actual PAR data tracked during the grant period. The positions listed as "NEW" are for staff that will be hired as part of the consolidation of childcare services formerly administered by The Chicago Public Schools that will now be under DFSS. These positions will be working to support the entire Children Services Division as a whole. Their projected allocation of time spent working on Child Care is included in the above allocation. In addition, a personnel turnover factor has been included in recognition of the new positions and the impact of the timing of their hiring and the impact on existing position turnover.

**Personnel Narrative (Non-State): (i.e. "Match" or "Other Funding")**





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**2). Fringe Benefits (2 CFR 200.431)**

Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in category (1) direct salaries and wages and only for the percentage of time devoted to the project. Provide the fringe benefit rate used and a clear description of how the computation of fringe benefits was done. Provide both the annual (for multiyear awards) and total. If a fringe benefit rate is not used, show how the fringe benefits were computed for each position. The budget justification should be reflected in the budget description. Elements that comprise fringe benefits should be indicated.

Name	Position(s)	Base	Rate (%)	Fringe Benefit Cost
Bailey, Jessica	Support Services Coordinator	\$26,098.70	100.00	\$26,098.70
Correa, Maribel	Programmer/Analyst	\$26,346.03	100.00	\$26,346.03
Burts, Zenobia, A	Support Services Coordinator	\$26,382.35	100.00	\$26,382.35
Craft, Nicole J	Supvr of Children Services Programs	\$25,932.79	100.00	\$25,932.79
Evans, Karen	Support Services Coordinator	\$26,098.70	100.00	\$26,098.70
Forbes, Jaqueline Y	Clerk III	\$25,622.39	100.00	\$25,622.39
Jennings Squalls, Lil L	Support Services Coordinator	\$26,310.48	100.00	\$26,310.48
Jones, Mary L	Support Services Coordinator	\$26,382.35	100.00	\$26,382.35
Jordan, Margaret G	Supvr of Children Services Programs	\$26,181.27	100.00	\$26,181.27
King, Keysha S	Clerk IV	\$25,787.15	100.00	\$25,787.15
Vacant (formerly Mardrosian, Janet F)	Clerk IV	\$25,732.87	100.00	\$25,732.87
Mitchell, Eleanor N	Support Services Coordinator	\$26,164.45	100.00	\$26,164.45
Pacheco, Marifany	Clerk IV	\$25,373.92	100.00	\$25,373.92
Robinson, Cecilia L	Support Services Coordinator	\$26,164.45	100.00	\$26,164.45
Ruan, Salina N	Accountant IV	\$27,141.92	100.00	\$27,141.92
Sampson, Carl V	Clerk III	\$25,787.15	100.00	\$25,787.15
Vacant (formerly Walls, Emmett L)	Support Services Coordinator	\$26,794.82	100.00	\$26,794.82
Vacant (Clark, Carrie)	Support Services Coordinator	\$25,498.53	100.00	\$25,498.53
Vacant (NT)	Director of Program Operations	\$26,586.86	100.00	\$26,586.86
White, La Tasha	Senior Data Base Analyst	\$19,206.46	100.00	\$19,206.46
Lam, Jonathan	Director of Information Systems	\$6,399.93	100.00	\$6,399.93
Triplettwilliams, Vanessa M	Senior Programmer/Analyst	\$5,361.56	100.00	\$5,361.56
Del Campo, David M	Senior Data Base Analyst	\$4,390.05	100.00	\$4,390.05
Anderson, Rhonda F	Project Coordinator	\$1,320.00	100.00	\$1,320.00
Berry, Latrice R	Supvr of Children Services Programs	\$1,509.06	100.00	\$1,309.06
Davila, Isolda	Project Coordinator	\$1,531.98	100.00	\$1,331.98
Jordan, Denise	Coordinator of Community Services	\$1,525.90	100.00	\$1,325.90
Malden, Angela F	Supervising Audio-Visual Tester	\$1,284.48	100.00	\$1,284.48
Vacant (formerly Mercurius, Paulette J)	Asst Director of Children Services	\$1,111.19	100.00	\$1,113.19



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

New	Assistant Director of Children Services/BX 18	\$1,313.19	100.00			\$1,313.19	
New	Assistant Director of Children Services/BX 18	\$1,313.19	100.00			\$1,313.19	
Millsap Parker, Elaine	Supvr of Children Services Programs	\$1,331.98	100.00			\$1,331.98	
New	Supervisor of Children Services/BX15	\$1,287.77	100.00			\$1,287.77	
New	Supervisor of Children Services/BX15	\$1,287.77	100.00			\$1,287.77	
New	Supervisor of Children Services/BX15	\$1,287.77	100.00			\$1,287.77	
Nichols, Beatrice L	Assistant Director of Children Services	\$1,324.60	100.00			\$1,324.60	
Stover, Elizabeth	Assistant Director of Children Services	\$1,345.19	100.00			\$1,345.19	
Vacant	Supervisor of Children Services	\$1,287.77	100.00			\$1,287.77	
Vacant	Supervisor of Children Services	\$1,287.77	100.00			\$1,287.77	
Webb, Sharita J	Coordinator of Special Projects	\$1,331.98	100.00			\$1,331.98	
Zemke, Craig M	Supvr of Children Services Programs	\$1,309.06	100.00			\$1,309.06	
Anderson, Jody M	Support Services Coordinator	\$1,308.22	100.00			\$1,308.22	
Chavez, Griselda	Support Services Coordinator	\$1,308.22	100.00			\$1,308.22	
Gonzalez, Maria (on leave)	Support Services Coordinator	\$1,308.22	100.00			\$1,308.22	
Gonzalez, Sandra E	Support Services Coordinator	\$1,319.12	100.00			\$1,319.12	
Robinson, Anya S	Support Services Coordinator	\$1,308.22	100.00			\$1,308.22	
Robinson, Twjuana (formerly vacant)	Support Services Coordinator	\$1,277.30	100.00			\$1,277.30	
Herrera, Juana M	Support Services Coordinator	\$1,344.06	100.00			\$1,344.06	
Powell, Kamaria	Support Services Coordinator	\$1,319.12	100.00			\$1,319.12	
Vacant	Deputy Commissioner	\$1,396.18	100.00			\$1,396.18	
Hanteh, Madeline	Director of Children Services	\$1,367.36	100.00			\$1,367.36	
New	Director of Children Services/B19	\$1,352.26	100.00			\$1,352.26	
New	Director of Children Services/B19	\$1,352.26	100.00			\$1,352.26	
New	Manager of Family Support Programs	\$1,371.93	100.00			\$1,371.93	
Vacant	Manager of Family Support Programs (formerly Director of Children Services)	\$1,371.93	100.00			\$1,371.93	
Santiago, Victor M	Coordinator of Special Projects	\$1,320.00	100.00			\$1,320.00	
Schwab, David	Project Manager	\$1,343.16	100.00			\$1,343.16	
New	Staff Assistant/B13 (B)	\$1,277.30	100.00			\$1,277.30	
New	Administrative Assistant II/B10	\$1,257.71	100.00			\$1,257.71	
New	Administrative Assistant II/B10	\$1,257.71	100.00			\$1,257.71	
Balthazar, Darlene F	Executive Secretary II	\$1,309.06	100.00			\$1,309.06	
Vacant	Auditor III	\$1,352.37	100.00			\$1,352.37	





State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers: N/A

State Agency Illinois Department of Human Services FY. 2018  
 Grantee CHICAGO CITY OF Notice of Funding Opportunity (NOFO) Number. N/A  
 Data Universal Number System (DUNS) Number 956049399 FEIN 366005820  
 Catalog of State Financial Assistance (CSFA) Number 444-80-1223 CSFA Short Description. Child Care Mandatory and Match  
 Catalog of Federal Domestic Assistance (CFDA) Number N/A CFDA Short Description. N/A

Agency/Grantee	Position	Salary	Rate	Amount
Vacant	Auditor III	\$1,352.37	100.00	\$1,352.37
Guan, Qi	Supervisor of Accounting	\$1,323.95	100.00	\$1,323.95
Lezon, Glenn F	Director of Accounting	\$1,341.82	100.00	\$1,341.82
New	Accountant III	\$1,292.64	100.00	\$1,292.64
New	Account Tech II	\$1,263.65	100.00	\$1,263.65
New	Chief Contracts Expeditor	\$1,287.77	100.00	\$1,287.77
New	Program Auditor II	\$1,277.30	100.00	\$1,277.30
New	Program Auditor II	\$1,277.30	100.00	\$1,277.30
Brown, Jeffrey M	Licensing Coordinator	\$1,324.91	100.00	\$1,324.91
Carranza, Fredy E	Support Services Coordinator - PDM	\$1,344.06	100.00	\$1,344.06
Guzman, Ana Lilia	Support Services Coordinator - PDM	\$1,319.12	100.00	\$1,319.12
Passament, Jacinta	Support Services Coordinator - DATA	\$1,308.22	100.00	\$1,308.22
Rosa-Rodriguez, Marrisol	Support Services Coordinator - Program Governance	\$1,308.22	100.00	\$1,308.22
Miranda, Zoraya (formerly Vacant/McClure, Joanne)	Support Services Coordinator - PDM	\$1,277.30	100.00	\$1,277.30
Cook, Angela (formerly VACANT)	Support Services Coordinator - PDM	\$1,277.30	100.00	\$1,277.30
Hall, Charles (formerly Vacant)	Support Services Coordinator - PDM	\$1,277.30	100.00	\$1,277.30
Payne, Sandra J	Support Services Coordinator - PDM	\$1,331.04	100.00	\$1,331.04
Rios, Edelmiro	Support Services Coordinator - PDM	\$1,319.12	100.00	\$1,319.12
Vacant (formerly Barrera, Victor)	Support Services Coordinator - PDM	\$1,319.12	100.00	\$1,319.12
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00	\$1,279.69





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
New	Program Development Coordinator/BX14	\$1,279.69	100.00		\$1,279.69
Santana, Jennifer D	Support Services Coordinator - DATA	\$1,308.22	100.00		\$1,308.22
Dean, Reginald	Program Analyst	\$1,317.30	100.00		\$1,317.30
Williams, Denise R	Support Services Coordinator - PG	\$1,308.22	100.00		\$1,308.22
Linyard, Cynthia M	Support Services Coordinator	\$1,319.12	100.00		\$1,319.12
Maldonado, Janie	Support Services Coordinator	\$1,308.22	100.00		\$1,308.22
Millsap, Denna L	Support Services Coordinator	\$1,319.12	100.00		\$1,319.12
Ross, Angela D	Support Services Coordinator	\$1,308.22	100.00		\$1,308.22
Starks, Ernestine	Support Services Coordinator	\$1,308.22	100.00		\$1,308.22



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

Wiggins, Catherine E	Support Services Coordinator	\$1,313.56	100.00			\$1,313.56
Head, Daphne	Support Services Coordinator	\$1,308.22	100.00			\$1,308.22
Hartray, James J	Accountant II	\$825.34	100.00			\$825.34
Vacant (formerly Boyd, Angela)	Unit Assistant	\$751.40	100.00			\$751.40
Vacant	Staff Assistant	\$766.38	100.00			\$766.38
Vacant	Staff Assistant	\$766.38	100.00			\$766.38
Vacant	Chief Planning Analyst	\$776.46	100.00			\$776.46
Jones-Lewis, Darlene	Grants Research Specialist	\$812.37	100.00			\$812.37
Mathews, Elsie J	Support Services Coordinator - Transportation	\$791.47	100.00			\$791.47
Berry, Tracie L	Auditor II	\$537.49	100.00			\$537.49
Jackson, Quisanda	Auditor III	\$542.84	100.00			\$542.84
Campbell, Harold	Program Director	\$550.17	100.00			\$550.17
Gardner, Dorothy	Staff Assistant	\$528.95	100.00			\$528.95
Frank, Simeon C	Auditor II	\$268.75	100.00			\$268.75
Stafford, David	Auditor IV	\$276.89	100.00			\$276.89
Bolton, Diana	Supervisor of Account	\$266.40	100.00			\$266.40
Vacant (formerly Buckner, Muriel Y)	Clerk IV	\$258.17	100.00			\$258.17
Frazier, Sandra	Staff Assistant	\$268.23	100.00			\$268.23
Tiema, Jacqueline	Dir. of Planning, Research & Development	\$271.70	100.00			\$271.70
Isom, Valerie E	Clerk IV	\$257.87	100.00			\$257.87
State Total						\$663,109.98
Non-State Total						
Total Fringe Benefits						\$663,109.98

Non-State: Item data NOT entered for this category

**Fringe Benefits Narrative (State):**

The City of Chicago's fringe benefits and their associated costs per employee include the following: health insurance (\$13,926), pension (\$13,100), unemployment (\$169), worker's compensation (2.17% of salary), and Medicare (1.45% of salary). These rates, \$27,195 flat rate charge and 3.62% of the salary, have been applied above to the portion of each employee's salary that is being charged to the Child Care grant. Additionally, as discussed in the Personnel budget section, a turnover factor has been applied against the calculated fringe benefits.

**Fringe Benefits Narrative (Non-State): (i.e. "Match" or "Other Funding")**



UNIFORM GRANT BUDGET TEMPLATE

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

3). Travel (2 CFR 200.474)

Travel should include: origin and destination, estimated costs and type of transportation, number of travelers, related lodging and per diem costs, brief description of the travel involved, its purpose, and explanation of how the proposed travel is necessary for successful completion of the project. In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit cost involved. Identify the location of travel, if known; or if unknown, indicate "location to be determined." Indicate source of Travel Policies applied, Applicant or State of Illinois Travel Regulations. NOTE: Dollars requested in the travel category should be for staff travel only. Travel for consultants should be shown in the consultant category along with the consultants fee. Travel for training participants, advisory committees, review panels and etc., should be itemized the same way as indicated above and placed in the "Miscellaneous" category

Name	Position	Cost Rate	Basis	Quantity	Number of Trips	Travel Cost
State: Item data NOT entered for this category						
						State Total
						N/A
Non-State: Item data NOT entered for this category						
						Non-State Total
						N/A
						Total Travel
						N/A

Travel Narrative (State):

N/A

Travel Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A





State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

4. Equipment (2 CFR 200.439)

Provide justification for the use of each item and relate them to specific program objectives. Provide both the annual (for multiyear awards) and total for equipment. Equipment is defined as an article of tangible personal property that has a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. An applicant organization may classify equipment at a lower dollar value but cannot classify it higher than \$5,000. (Note: Organization's own capitalization policy for classification of equipment can be used). Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Quantity	Cost Per Item	Equipment Cost
State: Item data NOT entered for this category			
		State Total	N/A
Non-State: Item data NOT entered for this category			
		Non-State Total	N/A
		Total Equipment	N/A

Equipment Narrative (State):

N/A

Equipment Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers, N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number, N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description, Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description, N/A

**5). Supplies (2 CFR 200.94)**

List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Item	Quantity/Duration	Cost Per Item	Supplies Cost
Mail Express Shipping	12.00	\$25.00	\$300.00
Mail-Standard Postage	4.00	\$525.00	\$2,100.00
Scanners	12.00	\$225.00	\$2,700.00
Dell Computer Purchases for Staff	1.00	\$4,113.00	\$4,113.00
Office Supplies and Copy Paper	1.00	\$1,401.31	\$1,401.31
State Total			\$10,614.31
<b>Non-State: Item data NOT entered for this category</b>			
Non-State Total			
Total Supplies			\$10,614.31

**Supplies Narrative (State):**

The above requests are necessary to carry out the operations of the program. This will provide funding for the office supplies and postage needed associated with the Child Care program. The scanners are provided to agencies so they can digitize the case documents in order to send them to DFSS for review. They will be provided to new agencies and agencies that need replacement equipment.

**Supplies Narrative (Non-State): (i.e. "Match" or "Other Funding")**



State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

6). Contractual Services (2 CFR 200.318) & Subawards (200.92)

provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole contracts in excess of \$150,000 (See 2 CFR 200.88). NOTE : this budget category may include subawards. Provide separate budgets for each subaward or contract, regardless of the dollar value and indicate the basis for the cost estimates in the narrative. Describe products or services to be obtained and indicate the applicability or necessity of each to the project.

Please also note the differences between subaward, contract, and contractor (vendor):

- 1) Subaward (200.92) means an award provided by a pass-through entity to a sub-recipient for the subrecipient to carry out part of a Federal/State award, including a portion of the scope of work or objectives it does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal/State program.
- 2) Contract (200.22) means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward.
- 3) "Vendor" or "Contractor" is generally a dealer, distributor or other seller that provides supplies, expendable materials, or data processing services in support of the project activities.

Item	Contractual Services Cost
Ada S. McKinley Community Services Inc.	\$44,641.00
Albany Park Community Center Inc.	\$900,013.00
Appeal for Charities	\$0.00
Better Boys Foundation	\$0.00
Board of Trustees of Community College	\$105,121.00
Carole Robertson Center for Learning	\$407,526.00
Centers for New Horizons 01	\$1,392,499.00
Chicago Child Care Society	\$97,921.00
Chicago Commons Association	\$2,975,081.00
Catholic Charities of Chicago	\$1,126,096.00
Chinese American Service League	\$1,018,094.00
Christopher House 02	\$3,761,332.00
Church of God Comm. Day Care	\$0.00
Easter Seals Society of Chicago	\$120,962.00
El Hogar del Nino 02	\$1,650,263.00
El Valor Corp. 01	\$1,735,224.00
Firman Community Services 02	\$0.00
Gads Hill Center 01	\$66,242.00
McDemott Center DBA Haymarket	\$82,081.00
Henry Booth House 01	\$119,522.00
Howard Area Community Center 01	\$24,480.00
Judah International Outreach Ministries	\$144,002.00
Korean American Community Services	\$172,802.00
Lutheran Social Services of Illinois	\$0.00
Mary Crane League	\$70,561.00





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

Metropolitan Family Services 01	\$2,005,948.00
Missionary P.A. Oseibonsu's Committee	\$0.00
North Avenue Day Nursery	\$0.00
Northwestern University Settlement House	\$493,927.00
Onward Neighborhood House 01	\$806,411.00
Salvation Army	\$230,403.00
Southeast Asia Center	\$347,045.00
South Shore United Methodist	\$77,761.00
Trinity Resource Unlimited Inc.	\$100,801.00
Trinity United Church	\$1,025,294.00
YMCA of Metropolitan Chicago	\$1,897,946.00
Nulinx International	\$79,060.00
Citrix Online	\$480.00
Caspio Inc.	\$947.00
Sage Software	\$400.00
Canon Solutions America	\$5,040.00
State Total	\$23,085,926.00
<b>Non-State: Item data NOT entered for this category</b>	
Non-State Total	
Total Contractual Services	\$23,085,926.00

**Contractual Services & Subawards Narrative (State):**

As in past years, DFSS will earmark \$23,000,000 towards the above community-based child care agencies that receive subawards that house the cases we re-determine. The individual awards are based off of the current caseload each agency has with DFSS or in the case of a few agencies, case that will be transferred over to DFSS prior to the start of this grant period. Estimated cost per enrolled child per month is \$588. DFSS will pay the agencies based off of the rates determined for each of the cases they have with us.

All other contractual expenses listed are for system services the department utilizes, with expense pro-rated to reflect the Child Care portion of the services. These are:

Nulinx International: Child Care's cost allocated portion of the monthly service fee for case management system (\$6,588.34/month)

Citrix Online: Child Care's cost allocated portion of the webinar service fee used for informational sessions with the delegate agencies (\$40/month)

Caspio Inc.: Child Care's cost allocated portion of the contract management services system utilized by the department



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

Sage Software: Child Care's cost allocated portion of the asset inventory management system utilized by the department

Canon Solutions America: Child Care's cost allocated portion of the department copy machine expenses (approximately \$420.00 per month.)

**Contractual Services & Subawards Narrative (Non-State): (i.e. "Match" or "Other Funding")**



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services  
 Grantee CHICAGO CITY OF  
 Data Universal Number System (DUNS) Number 956049399  
 Catalog of State Financial Assistance (CSFA) Number 444-80-1223  
 Catalog of Federal Domestic Assistance (CFDA) Number N/A  
 FY. 2018  
 Notice of Funding Opportunity (NOFO) Number. N/A  
 FEIN 366005820  
 CSFA Short Description. Child Care Mandatory and Match  
 CFDA Short Description. N/A

7). Consultant Services and Expenses (2 CFR 200.459)				
Consultant Services (Fees): For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project.				
Consultant Services (Fees)	Services Provided	Fee	Basis	Quantity
State: Item data NOT entered for this category				
				State Total
Non-State: Item data NOT entered for this category				
				Non-State Total
				Total Consultant Services (Fees)
				N/A
				N/A
				N/A

Consultant Services and Expenses Narrative (State):

N/A

Consultant Services and Expenses Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number, N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

7). Consultant Services and Expenses (2 CFR 200.459)						
Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.) Consultant-- Indicate whether applicant's format, written Procurement Policy or the Federal Acquisitions Policy is used.						
Consultant Expenses - Items	Location	Cost Rate	Basis	Quantity	Number of Trips	Consultant Expenses Cost
State: Item data NOT entered for this category						
Non-State: Item data NOT entered for this category						
					State Total	N/A
					Non-State Total	N/A
					Total Consultant Expenses	N/A

Consultant Service and Expenses Narrative (State):

N/A

Consultant Service and Expenses Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

8). Construction

Provide a description of the construction project and an estimate of the costs. As a rule, construction costs are not allowable unless with prior written approval. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category. Estimated construction costs must be supported by documentation including drawings and estimates, formal bids, etc. As with all other costs, follow the specific requirements of the program, the terms and conditions of the award, and applicable regulations.

Purpose	Description of Work	Construction Cost
State: Item data NOT entered for this category		
		State Total
		N/A
Non-State: Item data NOT entered for this category		
		Non-State Total
		N/A
		Total Construction
		N/A

Construction Narrative (State):

N/A

Construction Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEMN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**9). Occupancy - Rent and Utilities (2 CFR 200.465)**

List items and descriptions by major type and the basis of the computation. Explain how rental and utility expenses are allocated for distribution as an expense to the program/service. For example, provide the square footage and the cost per square foot rent and utility, and provide a monthly rental and utility cost and how many months to rent. NOTE: This budgetary line item is to be used for direct program rent and utilities, all other indirect or administrative occupancy costs should be listed in the indirect expense section of the Budget worksheet and narrative. Maintenance and repair costs may be included here if directly allocated to program.

Description	Quantity	Basis	Cost	Length of Time	Occupancy Cost
State: Item data NOT entered for this category					
					State Total
Non-State: Item data NOT entered for this category					
					Non-State Total
					Total Occupancy - Rent and Utilities
					N/A
					N/A

Occupancy Narrative (State):

N/A

Occupancy Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A





State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers. N/A

State Agency Illinois Department of Human Services      FY. 2018  
 Grantee CHICAGO CITY OF      Notice of Funding Opportunity (NOFO) Number. N/A  
 Data Universal Number System (DUNS) Number 956049399      FEIN 366005820  
 Catalog of State Financial Assistance (CSFA) Number 444-80-1223      CSFA Short Description. Child Care Mandatory and Match  
 Catalog of Federal Domestic Assistance (CFDA) Number N/A      CFDA Short Description. N/A

Purpose	Description of Work	Research and Development Cost
<b>10). Research and Development (R &amp; D) (2 CFR 200.87)</b>		
Definition: All research activities, both basic and applied, and all development activities that are performed by non-Federal entities directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. Provide a description of the research and development project and an estimate of the costs. Consult with the program office before budgeting funds in this category.		
State: Item data NOT entered for this category		N/A
Non-State: Item data NOT entered for this category		N/A
Total Research and Development:		N/A

Research and Development Narrative (State):

N/A

Research and Development Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**11. Telecommunications**

List items and descriptions by major type and the basis of the computation. Explain how telecommunication expenses are allocated for distribution as an expense to the program/service. NOTE: This budgetary line item is to be used for direct program telecommunications. All other indirect or administrative telecommunication costs should be listed in the indirect expense section of the Budget worksheet and narrative.

Description	Quantity	Basis	Cost	Length of Time	Telecommunications Cost
Telephone Lines	1.00	18,425.00	\$18,425.00	1.00	\$18,425.00
State Total					\$18,425.00
Non-State Total					
Total Telecommunications					\$18,425.00

Non-State: Item data NOT entered for this category

**Telecommunications Narrative (State):**

The cost of DFSS's phone lines are cost allocated across the grants received based off of the number of FTEs working on each grant. The approximate portion allocated to Child Care is 18.0%. With the estimated telephone expenses for the department estimated at \$335,000 annually, the Child Care grant is responsible for \$60,300.

**Telecommunications Narrative (Non-State): (i.e. "Match" or "Other Funding")**



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**12). Training and Education (2 CFR 200.472)**

Describe the training and education cost associated with employee development. Include rental space for training (if required), training materials, speaker fees, substitute teacher fees, and any other applicable expenses related to the training. When training materials (pamphlets, notebooks, videos, and other various handouts) are ordered for specific training activities, these items should be itemized below.

Description	Quantity	Basis	Cost	Length of Time	Training and Education Cost
State: Item data NOT entered for this category					
					State Total
Non-State: Item data NOT entered for this category					
					Non-State Total
					Total Training and Education
					N/A
					N/A
					N/A

Training and Education Narrative (State):

N/A

Training and Education Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

13) Direct Administrative Costs (2 CFR 200.413)

The salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs. Direct charging of these costs may be appropriate only if all of the following conditions are met: (1) Administrative or clerical services are integral to a project or activity; (2) Individuals involved can be specifically identified with the project or activity; (3) Such costs are explicitly included in the budget or have the prior written approval of the State awarding agency; and (4) The costs are not also recovered as indirect costs.

Name	Position	Salary Or Wage	Basis (Yr./Mo./Hr.)	% of Time	Length of Time	Direct Administrative Cost
State: Item data NOT entered for this category						
State Total						N/A
Non-State: Item data NOT entered for this category						
Non-State Total						N/A
Total Direct Administrative Costs						N/A

Direct Administrative Costs Narrative (State):

N/A

Direct Administrative Costs Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSEA) Number 444-80-1223

CSEA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**14). Other or Miscellaneous Costs**

This category contains items not included in the previous categories. List items by type of material or nature of expense, break down costs by quantity and cost per unit if applicable, state the necessity of other costs for successful completion of the project and exclude unallowable costs (eg. Printing, Memberships & subscriptions, recruiting costs, etc.)

Description	Quantity	Basis	Cost	Length of Time	Other or Miscellaneous Cost
State: Item data NOT entered for this category					
					State Total
Non-State: Item data NOT entered for this category					
					Non-State Total
					Total Other or Miscellaneous Costs
					N/A
					N/A
					N/A

Other or Miscellaneous Costs Narrative (State):

N/A

Other or Miscellaneous Costs Narrative (Non-State): (i.e. "Match" or "Other Funding")

N/A





**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**Budget Narrative Summary**

When you have completed the budget Category pages, the totals for each category should appear in the corresponding rows below. Additionally, the amount of State requested funds and non-State funds that will support the project are also listed. Verify the amounts and the Total Project Costs.

Budget Category	State	Non-State	Total
1. Personnel	\$1,585,004.72	N/A	\$1,585,004.72
2. Fringe Benefits	\$663,109.98	N/A	\$663,109.98
3. Travel	N/A	N/A	N/A
4. Equipment	N/A	N/A	N/A
5. Supplies	\$10,614.31	N/A	\$10,614.31
6. Contractual Services	\$23,085,926.00	N/A	\$23,085,926.00
7. Consultant (Professional Services)	N/A	N/A	N/A
8. Construction	N/A	N/A	N/A
9. Occupancy (Rent and Utilities)	N/A	N/A	N/A
10. Research and Development (R & D)	N/A	N/A	N/A
11. Telecommunications	\$18,425.00	N/A	\$18,425.00
12. Training and Education	N/A	N/A	N/A
13. Direct Administrative Costs	N/A	N/A	N/A
14. Other or Miscellaneous Costs	N/A	N/A	N/A
15. GRANT EXCLUSIVE LINE ITEM(S)	N/A	N/A	N/A
16. Total Direct Costs (add lines 1-15) (200.413)	\$25,363,030.01	N/A	\$25,363,030.01
17. Indirect Cost	\$536,919.99	N/A	\$636,919.99
	State Request		
	Non-State Amount	N/A	
<b>TOTAL PROJECT COSTS</b>			\$26,000,000.00



**State of Illinois  
UNIFORM GRANT BUDGET TEMPLATE**

Agreement Numbers. N/A

State Agency Illinois Department of Human Services

FY. 2018

Grantee CHICAGO CITY OF

Notice of Funding Opportunity (NOFO) Number. N/A

Data Universal Number System (DUNS) Number 956049399

FEIN 366005820

Catalog of State Financial Assistance (CSFA) Number 444-80-1223

CSFA Short Description. Child Care Mandatory and Match

Catalog of Federal Domestic Assistance (CFDA) Number N/A

CFDA Short Description. N/A

**For STATE Use Only:**

Initial Budget Request Amount: \$26,000,000.00

Prior Written Approval for Expense Line Item: N/A

Statutory Limits or Restrictions: N/A

Checklist: N/A

Final Budget Amount Approved: \$26,000,000.00

**Program Approval:**

Budget version: 1.2 - Signed off as Program by Lesa Boston on 08/25/2017 10:17:12

**Fiscal & Administrative Approval:**

Budget version: 1.1 - Signed off as Fiscal Admin by Jerry Wiley on 08/24/2017 04:38:58

**Budget Revision Approved:**

**Program Approval:**

**Fiscal & Administrative Approval:**

200.308 Revision of budget and program plans

(e) The Federal/State awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities for Federal/State awards in which the Federal/State share of the project exceeds the Simplified Acquisition Threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent or \$1,000 per detail line item, whichever is greater of the total budget as last approved by the Federal/State awarding agency. The Federal/State awarding agency cannot permit a transfer that would cause any Federal/State appropriation to be used for purposes other than those consistent with the appropriation.



# CHICAGO Early Learning

## COPA Enhancements Requests 2019 – 2020

*Last Update: 7.11.2018*

	ere may
--	---------

# Table of Contents

Overview .....	4
Purpose of this Document .....	6
<b>System Enhancements</b> .....	7
<b>Tier 1: Most Urgent Items</b> .....	7
1. PIR Mapping Enhancement.....	7
2. Screening.....	7
3. Next Year vs. This Year Enrollment .....	8
4. Age Cycle 2 (formerly Under 3 Enrollment):.....	8
<b>Tier 2: Medium Urgency</b> .....	9
8. Create COPA User batch process .....	9
9. Returning Flag .....	9
10. Eligibility Points .....	9
<b>Tier 3: Lower Urgency</b> .....	11
11. Family-Facing Application Enhancements .....	11
12. Dynamic Text Message and Email Notifications for Families .....	11
13. On-Demand text and email notifications for families.....	11
14. Downloadable Notification Log.....	11
15. Label Changes .....	12
16. Gateways API .....	12
17. Excelerate.....	12
18. CLASS.....	12
19. Home Visiting.....	12
<b>Reporting Enhancements</b> .....	13
1. ISBE Report.....	13
2. Family Portal Users List Stats .....	13
2. Family Portal Submission List Stats .....	13
3. User List Report.....	13
4. User Access Restriction Report .....	13
6. New Report 976 – Chicago Early Learning Site Profile .....	13
7. Funding Source-- Add field to Reports .....	14
8. 230 and 230V .....	15
9. Tracking offer changes .....	15
<b>Projects Pending Further Internal Discussion</b> .....	16
1. Phase 2 COPA/IMPACT API .....	16

2. Integration of additional data systems .....	16
Training Support .....	17
<b>Procedural Enhancements</b> .....	<b>18</b>
Deployment Schedule: August 2018 – December 2018 .....	18
<b>Urgent and/or One-Off Requests Procedure</b> .....	<b>19</b>
Appendix .....	20
HR Module .....	21
User List Report.....	29
Label Changes .....	30
PIR Mapping.....	35
ISBE Report.....	36



## Overview

It will take the entire city of Chicago working together to reach Mayor Rahm Emanuel's goals and become an Early Learning City. Chicago Early Learning is the City's unified effort to get there. In the past six years, the City has invested more than \$75 million to make significant progress towards citywide goals of 1) Increasing quality of early childhood programs; 2) Ensuring universal family access to compare and apply to those programs; and 3) Supporting transparent data and communications systems.

The City depends on accurate, seamless, and dynamic data systems in order to achieve these goals. Now in its second year with COPA as Chicago Early Learning's data system of record, Chicago Public Schools (CPS), Department of Family Support Services (DFSS), and the Office of the Mayor have outlined next steps in data systems development to continue citywide improvements

### Goals

1. Quality
2. Access
3. Transparency

### Priorities and Strategies

These are priorities for our COPA data system, our online application system, and in general as a city regarding early childhood.

1. *We will streamline administrative alignment across city agencies and systems.*

#### Strategies:

- Build towards DFSS and CPS programs co-constructing a system, rather than ever competing for kids.
- Avoid under-enrollment. We are **not** serving all the kids we have slots for.
- Build better alignment between the k-12 system through initiatives such as the IMPACT API. This allows for partnership, using data to inform how we help people on the ground.
- We need consistent, timely data across all of our early learning programs.
- CPS: Charging students to appropriate streams, tracking enough demographic points of kids to be able to vary their funding stream.
- DFSS: we need to be able to have a count of students that accounts for children receiving multiple funding sources, never counting one child more than once.
- For ALL: Access for data has to be at the site level if we are going to have accurate, timely data.
- Avoid shadow data systems—we need the COPA system to meet our needs.

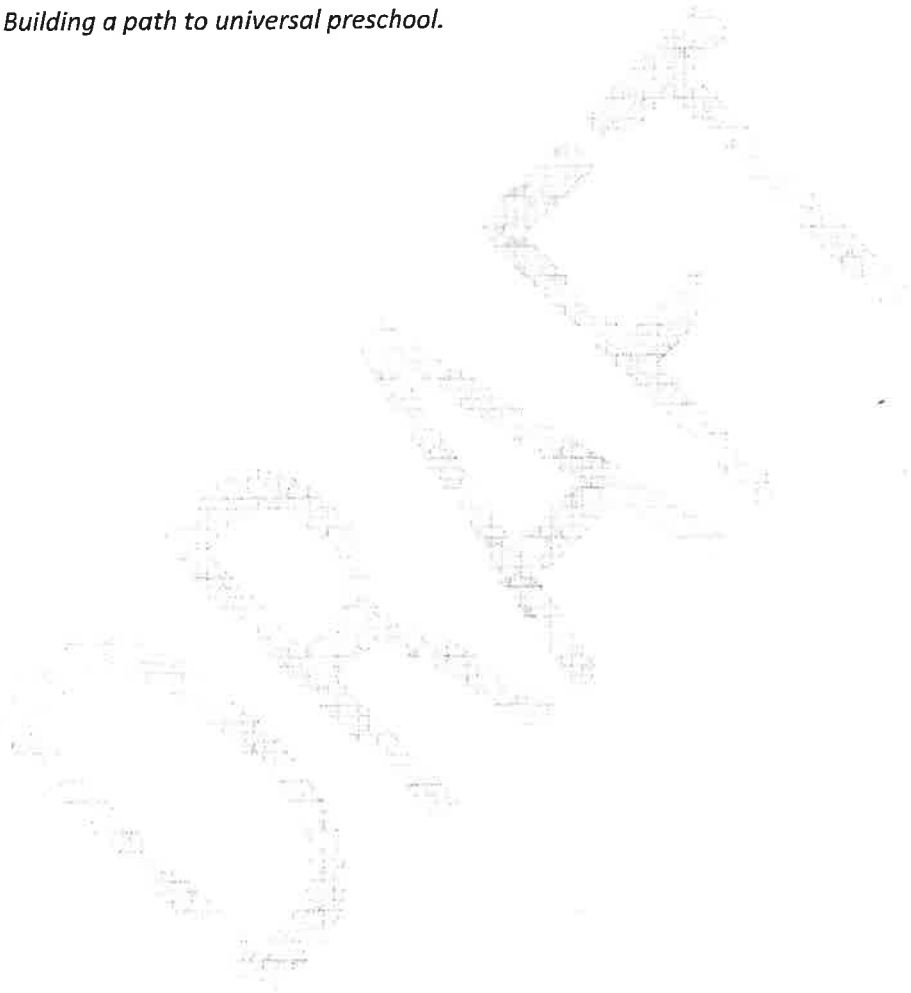
2. *We will reduce barriers for families to access early childhood education.*

#### Strategies:

- Targeted marketing effort
- Online application

- Aligned timelines for CPS/DFSS programs
- Translations in multiple languages
- An accessible early childhood website, [chicagoearlylearning.org](http://chicagoearlylearning.org) translation access, early learning website.
- Abilities for parents to find out programs they're eligible for. This is the website
- Further increase user ease of online application through design changes
- Ensure dynamic features of application nudges and follow-ups that are responsive to language and family site preferences

3. *Building a path to universal preschool.*



## Purpose of this Document

The rest of this document outlines the updates, improvements, and next steps requested by the City of Chicago to COPA. They fall into the following categories:

- **System Enhancements:** Broad or more specific enhancements urgently needed in the COPA system.
- **Reporting Enhancements:** Taking into account new enhancement requests, as well as ongoing concerns, these enhancements outline reporting needs that will better serve staff needs.
- **Projects Pending:** Ongoing projects that are dependent on external factors, such as data-sharing agreements.
- **Procedural Enhancements:** Methods for coordinating and communicating ongoing COPA updates and requests.

This document is not intended to provide **technical specifications for any of these requests**. Alternatively, they provide a general or **comprehensive overview of a specific ask of the COPA system**. **Additional requests can be added to the list of desired enhancements by the City of Chicago at any time.**

By presenting this list, our team is expecting the COPA team to **take** the following actions:

- Read the entire document
- Conduct feasibility analyses of Tier 1, Most Urgent, enhancement requests by August 31.
- Provide feedback to the City of Chicago team on **all** content of the manual by the end of the first week of August, the 20<sup>th</sup>.

# System Enhancements

## Tier 1: Most Urgent Items

### 1. PIR Mapping Enhancement

Replace PIR Program Model with Funding Source mapping. – The PIR will organize children, families, and staff by funding source rather than PIR Program Model, so that the Head Start PIR will report on staff funded by Head Start, and children enrolled with a Program Model tied to Head Start funding regardless of other funding sources. The EHS and EHS-CCP reports will function in the same way. A site director funded by HS, EHS, and EHS-CCP would appear on all three PIRs, while a teacher only funded by EHS-CCP would only appear on that PIR, and not the EHS PIR. A teacher funded by both EHS and EHS-CCP would appear on both reports. Putting any percentage, even “0” under a specified Funding Source would add the staff person to the appropriate PIR, and other reports filtered for that Funding Source

Funding sources will also be added to organizational reports such as the 970, 971, 972, 973 and 974 reports. Currently, for example, the 971 displays funded enrollment for PFA and PI, but not current enrollment. We ask that a count of enrolled children be displayed, like so:

- HS: #
- EHS: #
- EHS-CCP: #
- PFA: #
- PI Center: #
- PI Home: #
- CC: #
- LD: #
- Total: # (A total, unduplicated count, not a sum of the above numbers).

See Appendix page 35.

### 2. Screening

#### CURRENT ISSUE:

When entering Developmental Screenings, a program must be chosen. Programs that are not Head Start (HS) or Early Head Start (EHS) must choose Locally Designed because there are not program models that include all Chicago Early Learning. The locally designed option does not allow users to enter any data; as a work around, programs that are not HS or EHS have been told to select HS or EHS in order to enter data.

#### ASK:

- Change Developmental Screening categories from PIR PM to Funding Source
- ADD: drop down next to Funding Source with the below options:
- 0-3 yr. old
- 3-5 yr. old

### 3. Next Year vs. This Year Enrollment

A. COPA will allow a family to select to apply for current year (2018 – 2019), next year (2019 – 2020), or both years between the months of April and September, 2019. Slot allocations/matrices are able to be maintained by all sites for the current and upcoming school years.

- o Note: While A is our most preferred enhancement, it has been communicated that this ask is physically not possible given the way the COPA system currently structures and operates, and would not be able to establish them as such in production by April, 2019

o

#### *Expectations for 2019-2020*

- o COPA will accommodate preference A noted above.

#### *Potential Concerns*

- Creating an alternative tracking system will be difficult. Additionally, creating an online process for families to sign up for a current year slot will likely be a challenge. We are willing to work with COPA if this ask is absolutely impossible, and together will work to come up with solutions.

### 4. Age Cycle 2 (formerly Under 3 Enrollment):

CPS policies and procedures support special service evaluations for children under three and encouraging parent to apply one to two months in advance. Applications for children under the age of three will be submitted by staff and a new, specialized flag 'Speech/Itinerant' will be checked. The flag will only be available to users in the Grantee admin or CPS admin role. Staff should then force an offer. This is an exception to the current process.

- Ability to enter age cycle 2's in COPA with their accurate birthday and allow them to occupy a general education seat (at CPS, for Speech-Only and Itinerant IEPs)

### 5. Automatic Password Reset

The system should automatically force users to reset passwords every 90 days

### 6. User Define fields for ISBE moved to COPA

In an effort to meet state reporting requirements for the PFA and PI grant, DFSS created user defined fields. This information cannot be easily obtained by staff and can only be viewed via Smart Reports. A more efficient process is to move the user define fields into COPA and incorporate the information into existing COPA reports.

### 7. User Defined fields for HR moved to COPA

In an effort to meet state reporting requirements for multiple grants, DFSS created user defined fields. This information cannot be easily obtained by staff and can only be viewed via Smart Reports. A more efficient process is to move the user define fields into COPA and incorporate the information into existing COPA reports.



## Tier 2: Medium Urgency

### 8. Create COPA User batch process

CPS plans to create 800 user accounts for teachers and requires the ability to batch process the functionality. DFSS and Mayor's Office will be adding many additional users, as well. Without the creation of an additional system from COPA to create those new users quickly en masse, manual creation of users will be impossible.

The request of COPA is to create a process to implement batch processes of new COPA users. The procedure could include an upload an excel list of desired users to eDocs with the following fields:

- First Name
- Last Name
- Email
- Agency
- Site
- Customized profile name
- Gender
- Address
- Title
- Access restrictions
- Restriction triggers

The batch process would generate user IDs and temporary passwords that would be sent to the new user via email.

### 9. Returning Flag

- The returning flag is temporarily removed once a child terminates a program or is found ineligible. It is reinstated if the child is re-enrolled to the same site the same day otherwise it is permanently removed.
- A similar logic should apply to offers.
- The returning flag should not be based on how many years a child has been in a program. The current process is not considering for EHS to HS transition the child should not be considered 'consecutively enrolled'
- During eligibility update, returning points should not remain if the child is no longer flagged as returning.

### 10. Eligibility Points

Based on Community Needs Assessment Policy, eligibility points should be calculated based on the related point structure of the applying agency/program model. This should adjust if the child applies for an agency or site with a different point structure and risk factors. For example: Initial application for CPS is based on Agency Specific Points for CPS. If the child declines the offer and selects a CBO, the eligibility point calculation must be based on the CBOs point structure.

To clarify, if a child's offer is from Agency #2 (the second choice agency), the Family Record should become visible/available to Agency # 2 users – the family should not remain assigned to Agency #1. In addition, it is necessary to ensure that offers from Agency #2 are made using the eligibility point structure from Agency #2. Because of the differences in point structure between CPS and CBOs, it is crucial that children not be offered spots or waitlisted at a CBO site based on their CPS points.

Summarized Enhancement Request:

(CPS): Allow for each school to create additional points on top of required points.

(DFSS): Allow for each agency to create additional points on top of required points if this is not already a functional option.

## Tier 3: Lower Urgency

### 11. Family-Facing Application Enhancements

Enhancements to facilitate user interactions need to be made for the coming year. All enhancements are outlined in the Appendix on page 21.

#### *Potential Concerns*

- There may be some lift required for changing layouts and design. We can provide support through our marketing vendor.

### 12. Dynamic Text Message and Email Notifications for Families

Notifications for families must be able to automatically send out with pre-populated messages under the following circumstances:

- Upon application submission
- Upon any eligibility changes that occur on the waitlist, recruitment list, eligible list
- Change in placement through nightly run
- A user has an application that has been saved but not submitted for 2 weeks
- A CPS application has been submitted but not verified after 2 weeks
- A child has an offer but has not enrolled, and it is the end of week 1 of school
- **NOT upon receiving a forced offer – these offers may change multiple times, and we do not want a family receiving multiple, conflicting notifications**

For each of those occasions, an email AND text message can be sent to families. Those messages should be creatable by specific COPA users. Messages should feature the following criteria:

- Differentiate between Spanish and English: Group messages by primary caregiver language
- Differentiate between CPS vs non-CPS offer or waitlist status
- Customize subject lines, to/from names
- Incorporate images, headers into emails

### 13. On-Demand text and email notifications for families

A button is created to send the pre-populated, but dynamic, offer notification via text and email. Would be sent out in the case of a child receiving a forced offer, rather than receive multiple notifications, when an identified user is able to share immediately that a family has received an offer. They may receive a duplicate notification over the nightly run, which is acceptable.

### 14. Downloadable Notification Log

A notifications log of all emails and text message nudges should be available in a report that can be filtered by type of notification (upon application submission, change in placement on nightly run, etc), CPS/Non CPS child, language, and timing of message.

15. Label Changes

See Appendix page 21.

16. Gateways API

Gateways is the statewide professional dev. Tracking And credential system for the state. All licensed childcare programs must track prof dev and credentials in Gateways. What we want to do is align what the requirements (if a teacher has to get this kind of credential to get \_\_\_ kind of position, we want to check against Gateways) are in COPA to gateways and then use gateways as our credential mechanism.

17. Excelerate

This is the state's QRIS system. Both HS and the state education dollars require alignment between the QRIS system and our system. We are working with the state to have our monitoring to qualify for QRIS, but will need a mechanism to transfer information and verify.

18. CLASS

Teachstone is where we store our data. This is the national teacher child interaction assessment. We want to have an alignment in our database that captures CLASS information and our monitoring system.

19. Home Visiting

There are various funding streams in Illinois. They require alternative databases to be used in home visiting tracking and program monitoring. Many of our programs braid those funding streams, and/or are utilizing a HV model that has its own requirements. We want to align across those.

## Reporting Enhancements

These are reporting requests based on ongoing needs of the City. Each item includes an overview of what fields should be in the report, as well as the audience and user permissions for viewing that report (grantee super admin, grantee admin, or agency).

### 1. ISBE Report

See Appendix page 36.

### 2. Family Portal Users List Stats

- a. Total number by School Year
  - i. Total number
  - ii. Total number of Saved
  - iii. Total number of Submitted-Converted
  - iv. Total number of Submitted-Non -Converted
  - v. Total number of Deleted Recruitment
- b. Total number
- c. Total number by applicants for both school years

### 2. Family Portal Submission List Stats

- a. Total number of children
  - i. Total agencies first choice
    1. Total of CPS
    2. Total of Non-CBO
  - ii. Total agencies second choice
    1. Total of CPS
    2. Total of Non-CBO
- b. Total number of families

### 3. User List Report

Add Access Status – The user will be able to view the access status of users and filter in order to assist with user resets, audits and clean-up. See appendix page 29.

### 4. User Access Restriction Report

The above report should allow a user to select one of the user restrictions and view the users which have access by agency and site

### 5. Professional Development Statistical Report

List of stats based on professional development module.

### 6. New Report 976 – Chicago Early Learning Site Profile

Report available for all users to view Chicago Early Learning site profile information.



Customize

Agency, Site description (Spanish), Site Slot, CEL id, Site Last Updated, Site Offered Programs (Day Length), Neighborhood, Community

Filter

Agency, Site, Zip code, Neighborhood, Community

Download

Report 976 - Chicago Early Learning Site Profile														
Site Name	ASA Site Name	Description	Website	Early Start	Head Start	Home Visiting	Assists CPP	Programs	Language	Operable Ages	Quality Rating	Display on Parent Portal	Site Slot Allocation	
Cordia Marian	Catholic Charities - Cordia Marian Child Development Center	Cordia Marian provides support for working families through state-subsidized and private-pay early childhood education. We provide services to children ages 2-13 years-old, including pre-K for those who qualify. Our center is open year-round, including school holidays and throughout the summer. We are NAEYC accredited. Se habla español.	<a href="http://www.catholiccharities.org/our-services/child-development">http://www.catholiccharities.org/our-services/child-development</a>	No	No	No	Yes	Community Based	Spanish	2 years to 13 years	Gold	Yes	Active	

Customize fields: Agency, Site description (Spanish), Site Slot, CEL id, Site Last Updated, Site Offered Programs (Day Length)

### 7. Funding Source-- Add field to Reports

- Users should be able to filter reports by grouping program models and funding source. Adding Funding Source to all reports that currently allow PIR Program Model filters will accomplish the task.
- The ability to select one or more funding sources should be available in addition to selecting funding sources that are not combined with other sources

Current funding sources



#### Funding Source

- Action for Children-IDHS
- City of Chicago (RTL)
- Community Partnership Program (CPP)
- CPS
- DFSS-HHS
- DFSS-IDHS
- Non-DFSS HHS
- Parent

List of Reports to add Funding Source

Reports
Report 201 - Monthly Attendance Report
Report 201C - Monthly Attendance Report by Program Model
Report 201Y - Yearly Attendance & Meal Report 2017-18
Report 202 - Meal Count Statistics and Reimbursement Report
Report 300 - Demographics
Report 232 - Enrolled/Waiting/Terminated Listing Report
Report 239 - Current Enrollment Statistics Report
Report 234S - Enrollment by Program Model/Option/Age

8. 230 and 230V

- IMPACT ID fields

9. Tracking offer changes

Report shows who made changes and when to a child's offer

## Projects Pending Further Internal Discussion

These enhancements will be in the pipeline soon, but are not fully scoped out yet by the Chicago Early Learning team and the many stakeholders involved. We are noting them here to provide as much advanced notice that we can that they will be requested in the future.

### 1. Phase 2 COPA/IMPACT API

- New COPA Enrollment [COPA to IMPACT]
- Enrollment Discrepancy Report
- COPA will create a report showing enrollment discrepancies between IMPACT and COPA.
- Daily Attendance [IMPACT to COPA]
- Dental, Vision, Hearing, immunization [IMPACT to COPA]

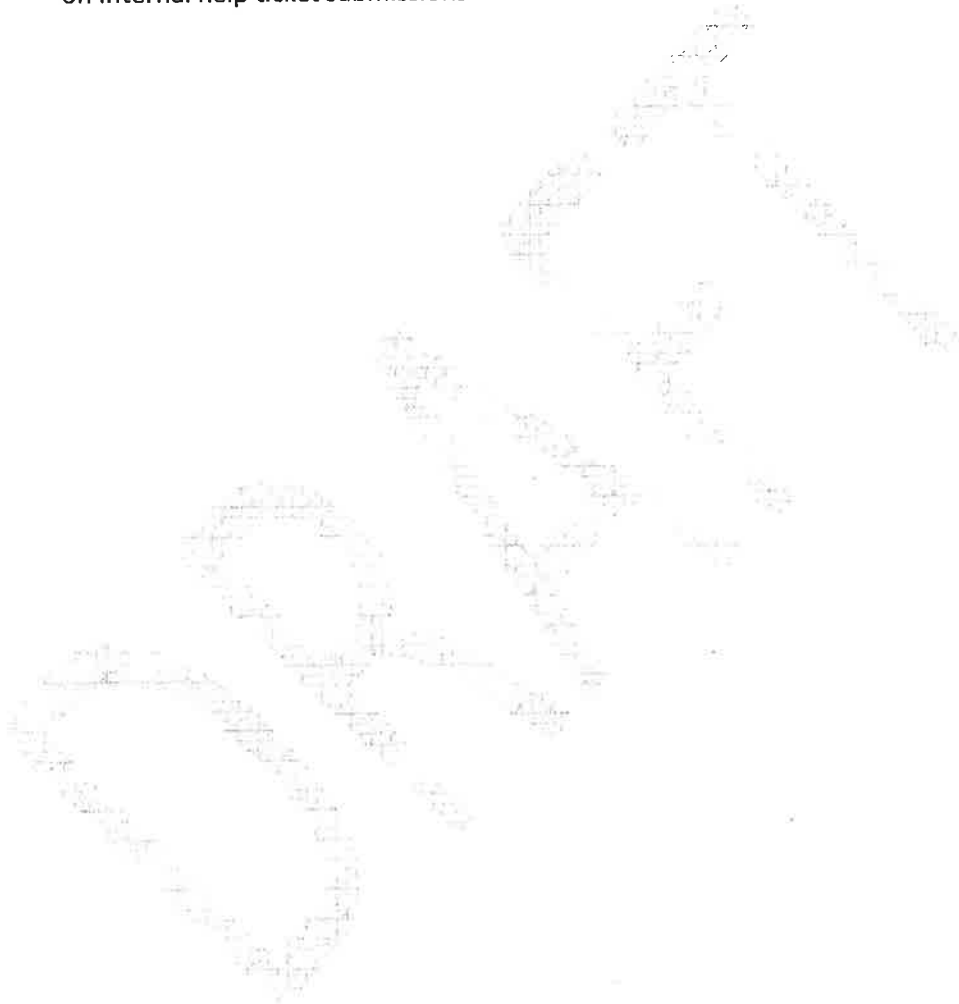
### 2. Integration of additional data systems

IMPACT will no longer be the system of record for CPS in the future. The new data system will be Aspen. COPA will need to fully integrate with Aspen.

## Training Support

With new structures and aspects of the COPA system in place, our users will need a variety of types of supports.

- DFSS, CPS, Mayor's Office staff training
- Citywide user trainings for site staff, administrators, and teachers, differentiated by CBO trainings and CPS trainings
- Available one-off trainings in response to ongoing needs requested by internal team based on internal help ticket submissions



## Procedural Enhancements

### Deployment Schedule: August 2018 – December 2018

This requested deployment schedule will ensure the City and COPA have the same understanding of time frames associated with ongoing updates. The agreed-upon dates allow for consistency in what is expected for updates to the COPA system, and create an opportunity for the City to coordinate its efforts for system-wide requests. This request asks that Beta Deployments take place regularly on the 1<sup>st</sup> and 3<sup>rd</sup> Wednesday of every month, and Live Updates take place the last Friday of the month.

#### *August*

Beta Deployments: 20<sup>th</sup>

Live Deployment: 29<sup>th</sup>

#### *September*

Beta Deployments: 3<sup>rd</sup> and 17<sup>th</sup>

Live Deployment: 26<sup>th</sup>

#### *October*

Beta Deployments: 7<sup>th</sup> and 21<sup>st</sup>

Live Deployment: 23<sup>rd</sup>

#### *November*

Beta Deployments: 7<sup>th</sup> and 21<sup>st</sup>

Live Deployment: 30<sup>th</sup>

#### *December*

Beta Deployments: 4<sup>th</sup> and 18<sup>th</sup>

Live Deployment: 27<sup>th</sup>



## Urgent and/or One-Off Requests Procedure

Any technology fix not included in this enhancements document will be made on a one-off basis following the following procedure:

- An urgent technology need is shared with internal City team member
- City team member determines whether the request moves forward
- If yes, City team member shares with COPA manager or COPA team member
- Specs are written into Sky Desktop by either City team member or COPA
- Fix is executed with feedback from City
- Fix is deployed in Beta according to schedule
- Beta is approved or given feedback by City
- Beta is copied to production according to live schedule

## Appendix

HR Module **22**

User List Report **29**

User Access Restriction Report **29**

Label Changes **30**

PIR Mapping **35**

ISBE Report **36**

## HR Module

Current Issue: Blank fields can't be removed because of backwards compatibility issues with some browsers, as well as old data in these fields.

### Updated Requests

This is being addressed through the Funding Source functionality, which will allow us to run the PIR and a number of other reports based on Funding Source rather than PIR Program Model. Phase I is live in COPA Beta at the moment, and multiple custom Funding Sources can be added to staff. These Funding Sources can be used to filter many reports, but not yet the PIR.

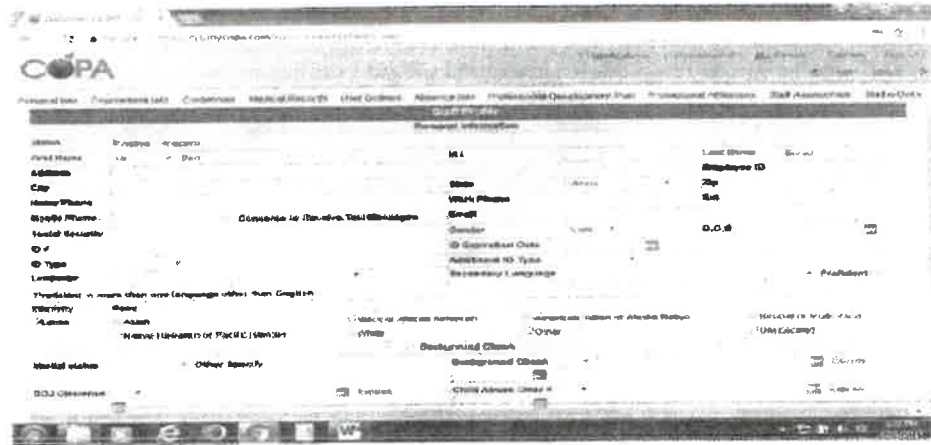
- We will need Phase II to be ready in Beta by mid-August. Phase II will consist of the ability to run the PIR and similar reports using Funding Source as a filter, enabling staff to be placed on multiple reports if they are mapped to multiple Funding Sources.
- COPA will institute "Dynamic Labels" for the Criminal Record Check fields, so that DFSS SuperAdmin will be able to modify the labels to reflect current and accurate CRC requirements.
- User Defined fields should be moved to the main body of COPA, but only as long as their reporting abilities remain intact. We need each credential to have its own column on the HR Smart Report, rather than including them under "credential 1" etc. This will allow DFSS staff to run reports filtered by funding source, and be able to see whether staff members have the appropriate credential required by that funding.
- Change to reflect multiple funding sources, which DFSS Super Admin will be able to add and modify. This feature is live in Beta.

## COPA HR Module

### Personal Information

<b>COPA CHANGE REQUESTS</b>	
<b>ADD:</b>	<b>REMOVE:</b>
Social Security numbers	

<b>COPA CHANGE REQUESTS</b>	
<b>ADD:</b>	<b>REMOVE:</b>
Job Interview Date Professional Reference Verification Date Initial Hire Date Initial Start Date - Head Start Funded	Any blank fields that allow you to type in the data - use calendar instead



## COPA HR Module



**COPA CHANGE REQUESTS**

<p><b>ADD PIR Programs listed below:</b></p> <ul style="list-style-type: none"> <li>CEL (city funded model)</li> <li>CC only 0-5 yr. olds</li> <li>EHS</li> <li>EHS-CCP</li> <li>EHS/EHS-CCP</li> <li>EHS/EHS-CCP/HS</li> <li>EHS/HS</li> <li>HS</li> <li>HS/PFA</li> <li>Non-DFSS EHS</li> <li>Non-DFSS HS</li> <li>PFA</li> <li>PI</li> <li>PI/EHS</li> <li>PI/EHS/EHS-CCP</li> <li>School Age</li> </ul>	<p><b>REMOVE:</b></p> <ul style="list-style-type: none"> <li>• Migrant PIR Program</li> <li>• Any other PIR Programs not listed under "ADD PIR Programs listed below" as the that list is comprehensive of all PIR Program Models required</li> </ul>
---	---





## COPA HR Module

### Background Check

Background Check  
 DOJ Clearance:  04-15-2015  
 FBI Clearance:  04-15-2015

Background Check  
 Child Abuse Clear:  04-15-2015  
 CANTS Check:  04-15-2015

<b>COPA CHANGE REQUESTS</b>	
<b>CURRENT LABEL NAME:</b>	<b>CHANGE TO:</b>
Background Check →	State Police Clearance Date
Child Abuse Clear # →	Sex Offender Registry Clearance Date
CANTS Check →	CANTS/SACWIS Clearance Date
DOJ Clearance →	State Police Criminal with Fingerprints Date
FBI Clearance →	FBI with Fingerprints Date

\* Create by 12/15/2014. State 5-year period for all background check data.  
 DFSS must continue to review before finalizing

### Employment Information

Position titles below to be revised by DFSS for CBOs & CPS:

COPA Position <small>use drop down menu &amp; select;</small>	COPA Classification <small>use drop down menu to select;</small>	Select COPA Employment Type
Teacher	Infant & Toddler Child Development Staff - works with ages 0-3 Child Development Staff - works with ages 3-5	Permanent Staff
Assistant Teacher	Infant & Toddler Child Development Staff - works with ages 0-3 Child Development Staff - works with ages 3-5	Permanent Staff
Teacher Aide	Infant & Toddler Child Development Staff - works with ages 0-3 Child Development Staff - works with ages 3-5	Permanent Staff
Site Director	Administrative Staff	Permanent Staff
Family Worker <small>w/ works directly w/ families</small>	Family & Comm. Part. Staff	Permanent Staff
Family Child Care Teacher <small>w/ works directly w/ families</small> Family Child Care Teacher Assistant <small>w/ works directly w/ families</small>	Infant & Toddler Child Development Staff- staff works with ages 0-3 Child Development Staff- staff works w/ ages 0-5	Permanent Staff
Home Based Visitor - <small>w/ works directly w/ families</small>	Infant & Toddler Child Development Staff- works with ages 0-3 <u>only</u> Child Development Staff- works with ages 0-5	Permanent Staff

## COPA HR Module

Map the following positions to Site Director on 971:  
Site Director, Site Manager, Site Administrator

Salary & Salary Type:

<b>COPA CHANGE REQUESTS</b>	
<b>ADD:</b>	<b>REMOVE:</b>
CEL (city funded model)	• Migrant PIR Program
CC only	• Any other PIR Programs not listed
ECE 0-5	under "ADD PIR Programs listed below"
EHS	as the that list is comprehensive of all
EHS-CCP	PIR Program Models required
EHS/EHS-CCP	
EHS/EHS-CCP/HS	
EHS/HS	
HS	
HS/PFA	
Non-DFSS EHS	
Non-DFSS HS	
PFA	
PI	
PI/EHS	
PI/EHS/EHS-CCP	
School Age	

# COPA HR Module

## Credentials:

Certifications & Credentials -

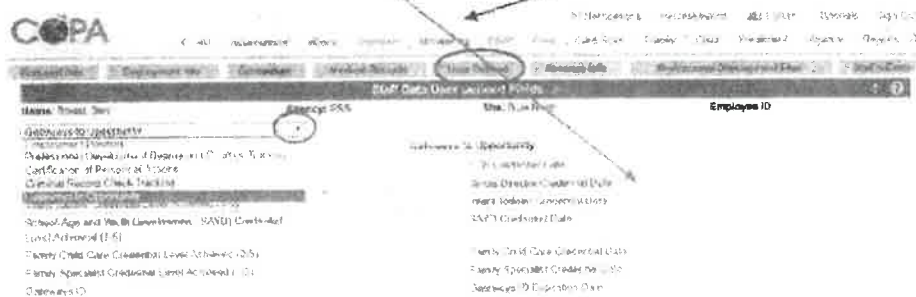
COPA CHANGE REQUESTS	
<b>CURRENT LABEL:</b> PEL/Type 04	<b>CHANGE TO:</b> PEL/ECE

COPA CHANGE REQUESTS	
<b>ADD:</b> PEL renewal date	<b>REMOVE:</b> NA



## Gateways ID and Credentials:

COPA CHANGE REQUESTS	
<b>ADD:</b> Gateways ID # Gateways ID expiration date	<b>REMOVE:</b> User defined fields for Gateways Remove "credential date"



## COPA HR Module

**COPA CHANGE REQUESTS**

**ADD:** Create credential fields for each of the following:

- IL Director Credential
- ECE Credential
- Infant Toddler Credential
- School Age and Youth Development Credential
- Family Child Care Credential
- Family Specialist Credential

**REMOVE:** User defined fields for Gateways

Credential field titles      Credential field title contents → create drop downs for selection

<b>DROP DOWN SPECIFICS</b>					
IL Director Credential	ECE Credential	Infant Toddler Credential	School Age and Youth Development Credential	Family Child Care Credential	Family Specialist Credential
I	1	1	1	2	1
II	2	2	2	3	2
III	3	3	3	4	3
	4	4	4	5	4
	5	5	5		5
	6	6			

### Medical Records



- Newly employed staff submit report of physical examination;
  - Evidence that no more than 6 months prior to employment they are free from communicable disease including; active tuberculosis and physical or mental conditions that could affect ability to perform assigned duties.
  - Physical re-examinations every two years

## COPA HR Module

The screenshot displays the COPA HR Module interface. At the top, the COPA logo is visible on the left, and a navigation bar contains several menu items. Below the navigation bar, there are two main panels. The left panel, titled 'Personal Info', contains fields for 'First Name', 'Last Name', 'Date of Birth', 'Gender', 'Marital Status', and 'Social Security Number'. Below these fields is a section for 'Address' with fields for 'Street Address', 'City', 'State', and 'Zip'. The right panel, titled 'Employment Info', contains fields for 'Employment Status', 'Job Title', 'Start Date', and 'End Date'. Below these fields is a section for 'Education' with fields for 'Degree', 'Institution', and 'Graduation Date'. The interface is designed with a clean, professional look, using a light gray background and clear, legible text.

### OVERARCHING CONCERNS:

- All User Defined fields need to be created as permanent fields throughout COPA and then User Defined fields should be removed once this is tested and approved.
- Personal Info tab and Employment Info tab information must be merged.
- When dates needs to be entered, COPA will require a calendar to enter the date and will remove any fields for text dates to be entered.

## User List Report

**Add Access Status** – The user will be able to view the access status of users and filter in order to assist with user resets, audits and clean-up.

User List Report must be able to distinguish between “All” and “Any:” In other words, when we run a report for All/All/All, we don’t want to see all users, just all users who have grantee-wide access, with no Agency-restricted users included.

COPA Admin

Add Access Status to User List Report as a column and filter

Normal  
Blocked  
Un-blocked

Job: All Status: Active Filter: Download Access Denied

FSS Blue North All Classes

User List Report

Username	Name	Agency	Site	Class	Job	CAP Access	Monthly	DMR Access	Inventory Access	EBlock Access	Access Status	Status	Email
UTY	Professional Development training	FSS	Blue North	All	Advocate	No	Yes	No	No	No	Normal	Active	hazobh@yahoo.com
	Sandra Long	FSS	Blue North	All	Advocate	No	Yes	No	No	No	Normal	Active	01234@bluejay@aol.com
	Dick Gandy	FSS	Blue North	All	Manager	No	Yes	No	No	No	Normal	Active	12345@global.net
	Nichol Dana	FSS	Blue North	All	Manager	No	Yes	No	No	No	Normal	Active	12345@global.com
	Martinez Diana	FSS	Blue North	All	Manager	No	Yes	No	No	No	Normal	Active	12345@global.com
	S J	FSS	Blue North	All	Manager	No	Yes	No	No	No	Normal	Active	12345@global.com
	Fredie Garcia	FSS	Blue North	All	Admstr	No	Yes	No	No	No	Normal	Active	1234@global.com
	gradener fraedie	FSS	Blue North	All	Advocate	No	Yes	No	No	No	Normal	Active	1234@global.com
	Agencias Agencias	FSS	Blue North	All	HRAd	No	Yes	No	No	No	Blocked	Active	1234@yahoo.com



## Label Changes

### Recruitment Form Label

- Current label is “recruitment form”



- Proposed label “New Family and Child application”



### Convert Family Recruitment Form Label

This list needs to be differentiated between children and families. Currently, all one list, under the label “convert family recruitment form” which is confusing.

- Currently, the recruitment list is confusingly labeled “convert family recruitment form” and its one list, split side by side with families and children (Family name.....child name...)
- Proposed— relabel the pages and split them between children and families



## Recruitment Duplicate Children and Family Lists

These should only appear for back-end users

- Currently, duplicate lists are available to any user. Adds clutter and confusion. They don't use this.
- Proposed – remove these lists and make access to them definable in user access system

A screenshot of a recruitment list in a software application. The list has columns for Name, Family Name, Family Address, Agency, Sex, Child Name, Date of Birth, School Agency, Project No., City, State, and Zip. There are several rows of data, with some entries appearing to be duplicates.

A screenshot of a recruitment list similar to the one above. A row in the list is highlighted, and there are circular callouts pointing to specific columns, likely indicating areas of interest or concern related to the proposed changes.

## Convert Recruitment Forms to Regular Application Button

- Currently labeled “convert recruitment forms to regular application” which doesn't make sense.
- Proposed

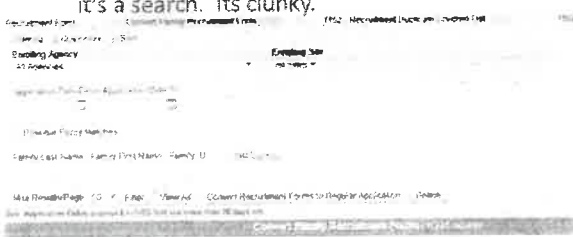
Relabel to “Send to Eligibility Waiting List”

A screenshot of a recruitment form in a software application. The form contains various fields for applicant information. A button labeled 'Convert' is visible, which is the current label for the proposed change.

A screenshot of a recruitment form similar to the one above. The 'Convert' button has been replaced with a button labeled 'Send to Eligibility Waiting List', as indicated by the callout bubble.

## Searching Recruitment Lists

- Currently, to search recruitment list for a family, user has to go to recruitment list, hit filter, then type in Family info. Or, they can “child lookup” and find by child, then return to this screen and search by family in order to display on recruitment list. This is not a filter – it’s a search. its clunky.



- Proposed – add simple buttons where a user knows how to search the recruitment lists -- note that if you split up the list into child/family (slide 3), each button only appears on relevant screen



## Data sheet (child and family) clean up

- Currently, you can't tell by red lettering what is required, and what is not required. No rhyme or reason to the “red” text, as you can see below.



- Proposal: if owner (City of Chicago) deems it to be a mandatory field (that you cannot proceed to next screen without completing it), then it is red and bold. If not, it is not. This should be something we can control in Super Admin.

## Adding recruitment search to child and family search

- Currently, user can only search child/family in modules besides recruitment module using feature below. From this screen, user would have to know to go to recruitment modules and search for them there (if they can't find them).
- Proposal: add buttons to go automatically to the search family recruitment list and search child recruitment list (see slide 6) to the search pages



## Overall enrollment navigation

- Currently what you see when you hit "Enrollment".
- Proposal to clean up landing screen after you hit Enrollment (vendor would have to find a more sensical spot to put inelig/term and pre enrolled. Move other menus off this screen to other spots.



# Slot matrix labels

- Current – site slots allocation by eligibility points is the label

- Proposal: change references to this to “slot matrix”



## PIR Mapping

### COPA – PIR Mapping Models

#### Current situation:

- We have a PIR program model for HS, for example. That means that any child with any HS funding in their “program model” sentence is mapped to that PIR. We don’t have this same structure for PFA and PI, for example, which we need.
- Teachers are associated with a PIR program model, as well, in the HR Module. This is a static definition that does not make sense because very rarely does a teacher only teach one program model. Also, this is limited to the domains we have in COPA for PIR, which needs to change.

#### Enhancements will operate as such:

**Objective:** enable CEL to accurately reflect and report on enrollment, and cost allocation across several grants. Needed outcomes include reports which accurately reflect how staff are funded and the ability to regularly and easily report on enrollment for the PFA and PI grants so that we can produce frequent regular reports. In addition, we need to be able to add additional grants into our database and report on them in the future, without requiring a year-long development process to add a new PIR Program Model. The following enhancements are both for teacher and child.

#### **Teacher/Classroom Proposal:**

Teachers will have a program model based on the sum of the program models of the children in their classroom at any given time and is therefore, dynamic. That “teacher program model” will be mapped to one or more PIR program models.

**Example:** If Ms. Johnson teaches kids who are PFA and HS funded and CC funded, then Ms. Johnson’s program model “sentence” would be PFA/HS/CC.

Similarly to the above child scenario, Ms. Johnson would then be mapped to both the HS PIR and the PFA PIR, as well as mapped to the CC PIR. All the combined categories will take her into account.

#### Required models\* for Chicago Early Learning:

*\*These models are requested in the COPA HR Module as well*

CEL  
EHS  
EHS-CCP  
EHS/EHS-CCP  
EHS/EHS-CCP/HS  
EHS/HS  
HS  
HS/PFA  
Non-DFSS EHS  
Non-DFSS HS  
PFA  
PI  
PI/EHS  
PI/EHS/EHS-CCP

Any model with EHS or HS (bolded) must map to the PIR Report to satisfy accurate data collection for federal reporting.



## ISBE Report

### COPA ASKS for PI reporting

- Create a report called "ISBE Report"
- Add the following fields if this information is not already being collected
  - If a current field exists that captures the information below, those fields will need to be mapped to the ISBE Report in addition to its current mapping

### Field Information Needed to pull into ISBE Report:

#### REQUIRED ENROLLMENT DATA BIRTH – FIVE:

*Should COPA not already collect this information, fields should be added to capture each. Map this information in its entirety to the ISBE Report.*

Field Name	Field Type	Field Name	Field Type
Child first name	Text	Primary Caregiver Last Name	Text
Child last name	Text	Primary Caregiver First Name	Text
Middle Name	Text	Primary Caregiver Phone #	Number text
CPS ID	Number text	Relationship to Child	Text
Birth Date	Calendar	Enrollment Start Date	Calendar
Generation	Text	Home Language	Text
Gender	M F	Native Language	Text
Federal Ethnic Category	Ethnicity drop down	Birth Country	Country drop down; US first
Federal Race Category	Race drop down	Is a language other than English spoken at home?	Yes No
Child Physical Street Address	Text	Does the child speak a language other than English?	Yes No
Apt	Text	CPS Home Language Survey	Calendar
City	Text	Agency Name	Agency name drop down
State	State drop	Military Connected	Yes No

	down, IL first		
Zip code	Number text	Child Homeless Indicator	Text
		IDEA Services	Yes No

**REQUIRED DATA ELEMENTS for BIRTH - THREE:**

*Should COPA not already collect this information, fields should be added to capture each.*

*Map this information in its entirety to the ISBE Report.*

*Put this information close to family information in the system.*

*Each data element is at the child level and follows child.*

Field Name	Field Type
Evidence-Based Program Model for Families	Drop down Parents as Teachers Baby Talk Healthy Families America
Service Location (Modality) for Prevention Initiative Programs	Drop down Home Visiting Program Prevention Initiative Program Center Based Prevention Initiative Program
Child Developmental Screening for Eligibility and Developmental Monitoring Tool	Drop down Ages and Stages Questionnaire Ages and Stages Questionnaire: Social Emotional
Total Number of Home Visits During the Year	Number text
Total Number of Parent Groups/Sessions Attended During the Year	Number text
Total number of Hours Child spent in DCFS Licensed Child Care Center	Number text
Child born with Low Birth Weight	Yes No
Is child a Youth in Care	Yes No
Was parent married at time of child's birth	Yes No
Biological mother's date of birth	Calendar
Child's family is receiving child support	Yes No
Child's family is receiving TANF	Yes No
Child's family is receiving WIC	Yes No
Child's family is receiving SNAP	Yes No
Child's family is receiving housing subsidy	Yes No
Household Income Criteria	Drop down 50% at or below Fed Poverty Line 100% at or below Fed Poverty Line 200% at or below Fed Poverty Line 400% at or below Fed Poverty Line

	N/A for Homeless or Youth in Care
Prenatal ID	Number text
SID of Mother	Number text
Mom's Last Name	Text
Mom's First Name	Text
Mom's Middle Name	Text
Mom's Maiden Name	Text
Race	Drop down
Mom's Date of Birth	Calendar
Prenatal Care Start Trimester	Drop down 1 <sup>st</sup> Trimester 2 <sup>nd</sup> Trimester 3 <sup>rd</sup> Trimester
Marital Status	Drop down Never Married Married Widowed Divorced Separated
Mother's Street Address	Text
Apt	Text
City	Text
State	Text
Zip Code (5 digits)	Number text
Zip Code (4 digits)	Number text
Phone Number	Number text
Place where mother was delivered	Text
Town or City where mother was delivered	Text
City where mother was delivered	Text
Total Number of Home Visits during the year	Number text
Total number of parent groups/sessions attended	Number text
Services start date	Calendar
Due date	Calendar – must be able to select future date
Exit Reason	Text
Exit Date	Calendar
Delivery Date of child	Calendar
Total number of birthed children	Number text

**REQUIRED DATA ELEMENTS FOR THREE – FIVE:**

*Should COPA not already collect this information, fields should be added to capture each.*

*Map this information in its entirety to the ISBE Report.*

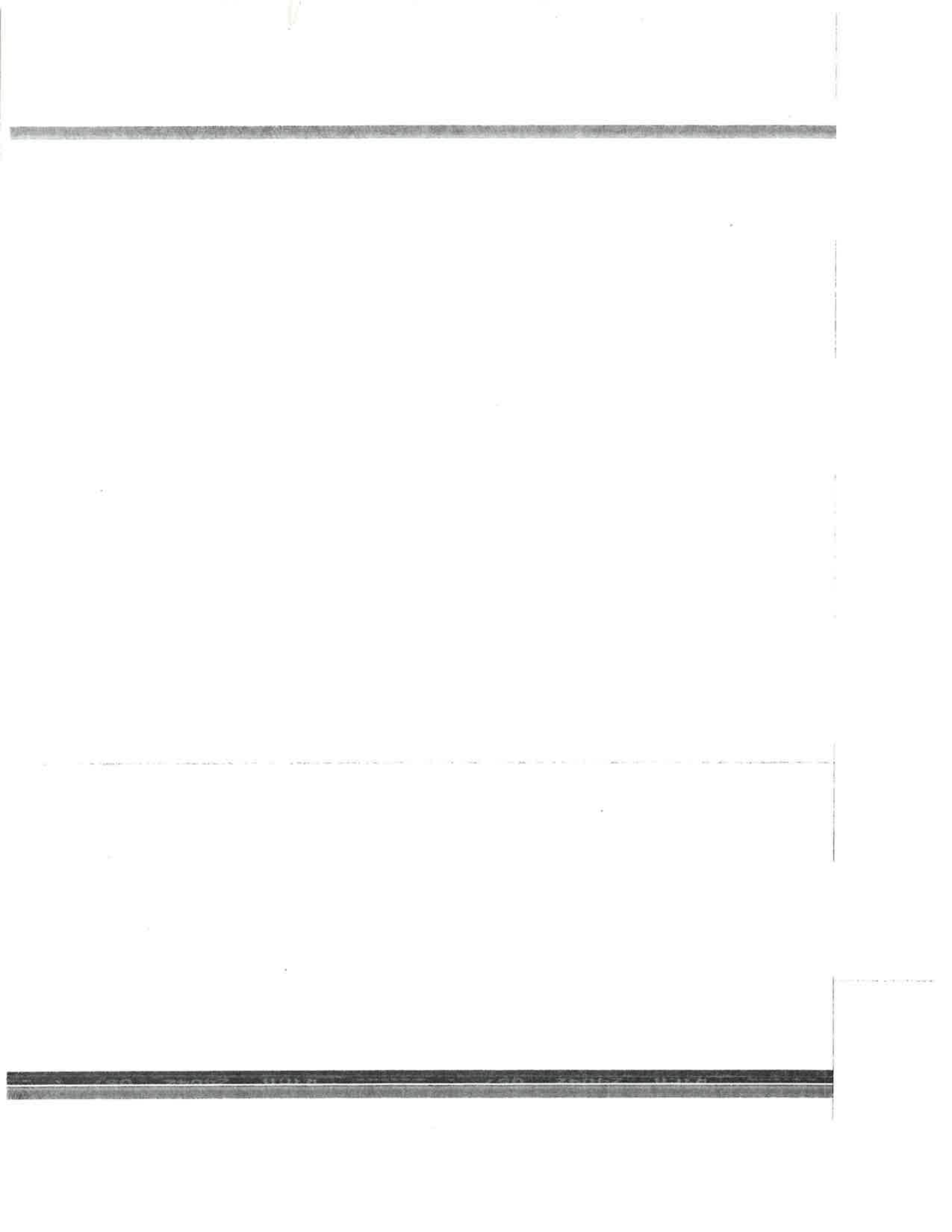
*Put this information close to family information in the system.*

Field Name	Field Type
Classroom Location	<u>Drop down</u> School Higher Education Institution Licensed Child Care Center Licensed Family Child Care Home Child's Home CBO Faith-based Organization Other
Preschool for All (PFA) Classroom	<u>Drop down</u> Half-day Full day Partial day Less than Half-Day None
IDEA Services Received	<u>Drop down</u> Blended Preschool Classroom Self-Contained Early Childhood Special Ed Speech Only Services None
In Classroom IDEA	Yes No
PFA Expansion	<u>Drop down</u> Fed - Preschool Full Day Expansion Fed - Preschool Expansion - PFA Enhanced Fed - Preschool Expansion - HS Enhanced State - Preschool Full Day Expansion State - Preschool Expansion - PFA Enhanced State - Preschool Expansion - HS Enhanced None
HS Funding	<u>Drop down</u> Half day Full day Partial day Less than Half-Day None
CPS Value Preschool	Yes No
Title I Funding	Yes No
IDEA Funding	<u>Drop down</u> Half day Full day Partial day Less than Half-Day None
Local District Funding	<u>Drop down</u> Half day Full day

	Partial day Less than Half-Day None
Tuition Based Funding	<u>Drop down</u> Half day Full day Partial day Less than Half-Day None
Previous enrollment in early childhood program	Yes No
Previous enrollment in EHS	Yes No
Previous enrollment in PI	Yes No
Previous enrollment in EI	Yes No
Previous enrollment in Child Care	<b>Yes</b> No
Referral by CFS	<b>Yes</b> No
EI Number	Number text
Eligibility Determination Date	Calendar
Reason for Delay in Transition	<u>Drop down</u> <ul style="list-style-type: none"> <li>- <b>No</b> Delay</li> <li>- <b>Parent</b> failure or refusal to produce child for eval caused a delay in the eligibility determination timeline</li> <li>- <b>Child</b> enrolled in the district after p0arental consent was received in another district, but before eligibilty could be determined</li> <li>- EI (CFC) send the referral after the child is 2 yrs. 9 mo., but they received the child before 2 yrs. 9 mo.</li> <li>- EI (CFC) received child after 2 yrs. 9 mo. And makes the referral</li> <li>- School District Delay</li> <li>- Eval was completed and an IEP for an eligible child was developed on or before the third birthday, but IEP services could not begin until after the child's third birthday due to school breaks</li> </ul>
IEP Completion Date	Calendar
Date Services Began	Calendar
Screening for program eligibility indicated multiple risk factors	Yes No
Family Structure	<u>Drop down</u> Both parents in home Single parent family Lives with an adult other than the guardian

	Youth in Care Parents have joint custody Other
Household Income Criteria	<u>Drop down</u> 50% at or below Fed Poverty Line 100% at or below Fed Poverty Line 200% at or below Fed Poverty Line 400% at or below Fed Poverty Line N/A for Homeless or Youth in Care
Child welfare involvement within the past year	Yes No
Child has been a Youth in Care	Yes No
Family has an open intact family services case	Yes No
Child's parent is Youth in Care	Yes No
Child's family receiving TANF	Yes No
Child's family receiving WIC	Yes No
Child's family receiving SNAP	Yes No
Child's family receiving housing subsidy	Yes No







# EMANUEL ADMINISTRATION

## SECOND TERM PRIORITIES COMMITTEE



RECOMMENDATIONS FOR THE NEXT FOUR YEARS

**AUGUST 2015**

City of Chicago  
Rahm Emanuel  
Mayor



## BACKGROUND ON THE SECOND TERM PRIORITIES COMMITTEE

On April 14, 2015 Mayor Rahm Emanuel appointed a panel of respected business, community, nonprofit, and labor leaders to develop recommendations for making progress on three of the Administration's top priorities: expanding public engagement, accelerating neighborhood economic growth, and moving toward universal pre-kindergarten (pre-K).

### Committee Members:

- ***Sarah Pang, Transition Chair; Senior Vice President, CNA Insurance***
- Frank Clark, President, Business Leadership Council
- Gillian Darlow, Chief Executive Officer, Polk Bros. Foundation
- Sol Flores, Executive Director, La Casa Norte
- Deborah Graham, Former Alderman, 29th Ward
- Dorri McWhorter, Chief Executive Officer, YWCA Metropolitan Chicago
- David Munar, President and CEO, Howard Brown Health Center
- Jorge Ramirez, President, Chicago Federation of Labor
- Michael Sacks, Vice Chair, World Business Chicago
- Juan Salgado, President and CEO, Instituto del Progreso Latino

### Support Provided By:

Civic Consulting Alliance  
M.A. Rood Company  
Bacon Volpe Communications

### The Committee Thanks the Following Organizations for their Input:



Affinity Community Services, Apostolic Church of God, Chatham Business Association, Chicago Cook Workforce Partnership, Chinese American Service League, Community Organizing and Family Issues (COFI), Chicago Public Schools Office of Early Childhood Education, Chicago Child Care Society, Chicago Commons, Chicago Urban League, Community Assistance Programs, CS Strategies, Edgewater Development Corporation, Hollywood Dreamers Foundation, Institute of Cultural Affairs (ICA), Instituto Del Progreso Latino, International Association of Facilitators (IAF), Chicago Chapter, Kids off the Block, K.L.E.O. Center, La Villita Community Church, Latin American Chamber of Commerce, Mujeres

Latinas en Accion, Northern Illinois Conference of the United Methodist Church, Pulaski Elston Business Association, Pride Action Tank, The Resurrection Project, Triedstone Full Gospel Baptist Church, Trinity United Church of Christ, United Africans Organization, West Point Missionary Baptist Church, University of Chicago Urban Education Lab, YWCA Metropolitan Chicago





# TABLE OF CONTENTS

<b>Introduction</b> .....	<b>4</b>
<b>Index of Initiatives Recommended by the Second Term Priorities Committee</b> .....	<b>5</b>
<b>EXPANDING PUBLIC ENGAGEMENT</b> .....	<b>6</b>
- Developing New Policies.....	6
- Informing Constituents .....	7
- Inviting Feedback .....	8
- What Will Success Look Like? .....	8
- <i>Initiative #1: Better Embed Public Engagement into the City's Programs and Operations</i> .....	9
- <i>Initiative #2: Institutionalize the Regular Engagement of Residents in Developing New Policies</i> .....	10
- <i>Initiative #3: Increase City Hall's Presence in the Neighborhoods</i> .....	11
- <i>Initiative #4: Build a Neighborhood Ambassadors Network Across the City</i> .....	12
- <i>Initiative #5: Strengthen the City's Engagement with Youth</i> .....	13
<b>FOSTERING NEIGHBORHOOD ECONOMIC GROWTH</b> .....	<b>14</b>
- Engaging Communities in Economic Development and Investment Planning .....	16
- Re-Imagining Current Tools for Economic Growth.....	16
- Planned Manufacturing Districts.....	18
- Training a 21st Century Workforce .....	19
- What Will Success Look Like?.....	21
- <i>Initiative #6: Engage Communities in Local Economic Planning</i> .....	22
- <i>Initiative #7: Expand Transit-Oriented Development</i> .....	23
- <i>Initiative #8: Strengthen Assistance to Small Business</i> .....	24
- <i>Initiative #9: Use Targeted Tax Incentives to Attract Businesses to Emerging Communities</i> .....	25
- <i>Initiative #10: Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment</i> .....	26
- <i>Initiative #11: Re-imagine the City's Planned Manufacturing Districts to Support Modern Development</i> .....	27
- <i>Initiative #12: Strengthen Coordination of Workforce Development Programs</i> .....	28
- <i>Initiative #13: Increase Mayor's Office Resources Devoted to Neighborhood Economic Growth</i> .....	29
<b>MOVING TOWARD UNIVERSAL PRE-K</b> .....	<b>30</b>
Pre K Administration.....	32
- Increasing Enrollment .....	33
- Expanding Full-Day Pre-K.....	35
- What Will Success Look Like?.....	36
- <i>Initiative #14: Streamline the Administration of Pre-K in Chicago</i> .....	37
- <i>Initiative #15: Create a Unified, Flexible Enrollment Process and Timeline Between DFSS and CPS</i> .....	38
- <i>Initiative #16: Target High-Need Communities with Proven Enrollment Strategies</i> .....	39
- <i>Initiative #17: Develop a Unified Marketing Strategy</i> .....	40
- <i>Initiative #18: Develop a Plan for Providing Full-Day Pre-K to Every 4 Year-Old in Need</i> .....	41
<b>Appendix: Comprehensive Timeline of Initiatives</b> .....	<b>42</b>



## INTRODUCTION



Mayor Emanuel won re-election on a platform of continued investments in our children, our neighborhoods, and our infrastructure – while working with Springfield, organized labor, and residents to right the City’s financial ship.

The Mayor appointed the Second Term Priorities Committee to develop a set of recommendations focused on three topics of great interest to residents during his re-election campaign: strengthening City Hall’s public engagement strategy, driving neighborhood economic growth, and expanding pre-K opportunities. These three issues represent important areas for the Administration to re-examine the implementation and development of key important policy priorities.

At the same time, the Committee recognizes that there are other critical issue areas like public safety, infrastructure, and improving our public schools where the Administration is working separately to identify second term opportunities for reform and improvement. The work of the Committee is one part of a broader effort by Mayor Emanuel to develop a second term agenda that continues to move Chicago forward. The Administration will continue to work on a broad range of issues outside of the scope of the Committee.

### Process

The Committee comprises leaders and experts from business, government, labor, healthcare, education, and community organizations. The Committee engaged in a rigorous process from April 2015 through July 2015. Divided into subcommittees focused on the three priority areas, the members reviewed background data and research, past initiatives, and results. City departments briefed committee members on current programs and submitted ideas for second term priorities and initiatives. They reviewed ideas submitted via the CHIdeas website and conducted community meetings and focus groups. This process gave the Committee feedback, insight and opinions from community and faith leaders, business owners, parents, and youth – all to ensure perspective that is both broad and deep on all three critical issues.

The 18 recommendations that come from the Committee will provide guidance for the Mayor and his administration as the second term moves forward.



## INDEX OF INITIATIVES RECOMMENDED BY THE SECOND TERM PRIORITIES COMMITTEE

### EXPANDING PUBLIC ENGAGEMENT

1. Better Embed Public Engagement into the City's Programs and Operations
2. Institutionalize the Regular Engagement of Residents in Developing New Policies
3. Increase City Hall's Presence in the Neighborhoods
4. Build a Neighborhood Ambassadors Network Across the City
5. Strengthen the City's Engagement with Youth

### FOSTERING NEIGHBORHOOD ECONOMIC GROWTH

6. Engage Communities in Local Economic Planning
7. Expand Transit-Oriented Development
8. Strengthen Assistance to Small Business
9. Use Targeted Tax Incentives to Attract Businesses to Emerging Communities
10. Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment
11. Re-imagine the City's Planned Manufacturing Districts to Support Modern Development
12. Strengthen Coordination of Workforce Development Programs
13. Increase Mayor's Office Resources Devoted to Neighborhood Economic Growth

### MOVING TOWARD UNIVERSAL PRE-K

14. Streamline the Administration of Pre-K in Chicago
15. Create a Unified, Flexible Enrollment Process and Timeline Between DFSS and CPS
16. Target High-Need Communities with Proven Enrollment Strategies
17. Develop a Unified Marketing Strategy
18. Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need





## **EXPANDING PUBLIC ENGAGEMENT**

Effective government depends on hearing from and representing the residents it serves. This requires making robust public engagement a critical component of his agenda. City Hall must actively listen to residents in order to provide quality services and develop policy initiatives that address our city's biggest challenges and to give people a voice in efforts to strengthen their communities. The second term provides an opportunity to implement new systems to ensure policies and investments are developed in consultation with the public. The Mayor asked the Committee to help his Administration strengthen this area of work through new strategies.

The Mayor's Office leverages public engagement and outreach in three primary areas: 1) developing new policies, 2) informing community leaders, stakeholders, and residents about City initiatives, and 3) soliciting feedback and ideas from residents. The Committee examined the challenges and opportunities in each of these areas in preparing the recommendations contained in this report.

### **Top Challenges and Opportunities**

While the Administration has made progress in strengthening its public engagement strategy, more can be done. In the course of preparing this report, the Committee met with more than 50 community, non-profit, faith, education, and business leaders from across Chicago and convened two summits comprising approximately 50 youth. These stakeholders gave the Committee important context, ideas, and feedback in developing its recommendations.

## **DEVELOPING NEW POLICIES**

The Administration has worked to engage stakeholders and the public in the development and implementation of the most important components of new policies and programs. For example, the City held public meetings in preparing the Mayor's first budget, creating a youth violence reduction strategy, and drafting the first-ever plan for making Chicago a welcoming city for New Americans. These are positive examples of an approach that the Committee believes must be expanded across all issue areas.

### **The Mayor's Commission for a Safer Chicago.**

The Commission engaged more than 130 community leaders, faith leaders, parents, and youth to jointly develop a comprehensive youth violence prevention plan for the City. During these meetings, the Commission made recommendations in five important areas that address solutions to violence including: increasing youth employment, expanding health and healing initiatives, creating restorative school communities, expanding safety and justice for young adults, and creating safe spaces and activities for Chicago's youth.



### Office of New Americans

In an effort to make Chicago the most immigrant-friendly city in the nation, the Mayor established the Office of New Americans. The goal is to engage immigrant communities across Chicago in important policy initiatives affecting them. Since its inception in 2012, the Office of New Americans has hosted numerous community meetings to gain insights into the needs of immigrants and their families. These meetings provided a sounding board for new programs and policies, and supported the implementation of new initiatives.

### Challenges and Opportunities

While the Administration has engaged residents in a variety of formats and venues to develop some of its most important policy initiatives, many Chicagoans still feel disconnected from City Hall. On issues from education to economic development, many residents believe that decisions are made for them, rather than in consultation with them. Addressing this concern is critical to ensuring residents' perspective is reflected in decision-making.

### INFORMING CONSTITUENTS

Since 2011, the Administration has established new processes for keeping residents informed about City services and policies. Regular communication between City Hall and residents is the foundation for building the trust in government that facilitates successful implementation of policy initiatives. Currently, the City keeps residents and stakeholders updated on City programs and initiatives through:

- **Community and Policy Roundtables.** On a regular basis, the Mayor's Office hosts groups of stakeholders representing a wide range of interests and constituencies for candid conversations with staff.
- **Letters from the Mayor.** More than 3,000 community, non-profit, business, faith and labor leaders receive personalized letters from the Mayor about upcoming City initiatives, policies, and legislation.
- **Social Media.** Facebook, Twitter, and Instagram postings reach and inform residents about City initiatives and the Mayor's activities.
- **Website.** The important things Chicago residents need to know about policies, initiatives, services, City Departments, and news are posted on the City's website.

### Challenges and Opportunities

The City can expand on the gains of the past few years with a focus on strengthening the connection between the Mayor and his cabinet and communities across the City. City Hall's current approach helps ensure that leaders and stakeholders remain updated on new policy initiatives, but strengthening trust in City government will require direct, sustained engagement by Administration leadership.



## INVITING FEEDBACK

Feedback from residents and stakeholders on current City initiatives, policies, and services improves outcomes and provides taxpayers with a channel for expressing their views. Examples of programs and the ideas that have come from them include:

- **CHideas.** This online forum engages Chicago residents and businesses in a discussion. More than 1,000 participants have generated almost 400 ideas. To date, CHideas has launched 15 questions on topics including minimum wage, supporting small businesses, using art to enrich our neighborhoods, emergency preparedness, promoting healthy lifestyles and how libraries can be used to strengthen our communities.

## WELCOME TO CHIDEAS JOIN OUR COMMUNITY.

We're looking to engage our community to solicit feedback from a broad group of residents. The first round of discussions is now closed, but you can view them in the archived topics section. Please check back soon to see new topics.

- **Open311.** Chicago's new Open311 system offers an unprecedented level of openness, innovation and accountability to the delivery of City services. Open311 gives access to dozens of web and mobile applications and revolutionizes the way Chicagoans make service requests to the City. Through Open311, residents can easily track the status of their requests, and City officials can monitor these requests more efficiently and respond more quickly.
- **Community & Neighborhood Lunches.** The Mayor hosts monthly community and neighborhood lunches where conversations with various leaders and stakeholders focus on a range of issues. The City's "Summer of Faith and Action" campaign originated in a lunch with faith leaders.



## Challenges and Opportunities

The Administration benefits from a number of established channels for soliciting feedback from Chicago residents. Those channels should continue to be expanded and diversified, with an emphasis on providing more opportunities for the Mayor and his cabinet to hear directly from residents and stakeholders.

## WHAT WILL SUCCESS LOOK LIKE?

- Enhancing confidence among residents that their voices have been heard and reflected in City Hall programs and initiatives
- Creating a greater connection between the neighborhoods and City
- Strengthening the City's connection with Chicago's youth
- Creating a more systematic approach to public engagement that builds in multiple opportunities for residents to have a voice in policy formation and implementation





## EXPANDING PUBLIC ENGAGEMENT

### INDEX OF INITIATIVES

- 1. Better Embed Public Engagement into the City's Programs and Operations*
- 2. Institutionalize the Regular Engagement of Residents in Developing New Policies*
- 3. Increase City Hall's Presence in the Neighborhoods*
- 4. Build a Neighborhood Ambassadors Network Across the City*
- 5. Strengthen the City's Engagement with Youth*

### **Initiative #1. Better Embed Public Engagement into the City's Programs and Operations**

#### **Why do this?**

An effective public engagement strategy can make or break the success of a mayoral initiative. To ensure that public engagement is part of the decision-making process in City Hall, Mayor Emanuel should consider several structural and procedural changes.

#### **How?**

There are several options for institutionalizing public engagement as an important component in strategy development and decision-making. Options include:

- **Ensure every initiative has a public engagement strategy.** The Office of Public Engagement should develop a public engagement approach for every major new initiative, program, and ordinance. This will require the Office of Public Engagement to work with senior staff and department leaders to review developing and ongoing initiatives and programs to ensure that each has a robust public engagement strategy.
- **Require every City department to develop a public engagement strategy.** The Office of Public Engagement should work with every City department to develop a public engagement strategy. This is particularly important for those departments that do not have dedicated engagement staff. The Office should then oversee implementation of these strategies through regular meetings and reports.

#### **Timeline**

- **120 Days:** The Office of Public Engagement will work with each City department to develop a public engagement strategy and an accountability system with clear metrics and regular reporting.



## ***Initiative #2. Institutionalize the Regular Engagement of Residents in Developing New Policies***

### **Why do this?**

On a number of important initiatives and issues such as youth violence reduction, raising the minimum wage and reducing red tape for small businesses, the Administration has implemented robust public engagement processes. The City should standardize this approach to engagement in the development of all initiatives and establish standing mechanisms to seek public input. This will ensure that residents have regular, reliable opportunities to influence the development of policy.

### **How?**

The Mayor's Office should build upon the policy roundtables it conducted on an ad hoc basis in the first term by creating standing committees comprising critical stakeholders who represent a broad range of issues. On a regular basis, the Mayor's Office and departmental leadership should brief committee members on City initiatives, solicit ideas and respond to new efforts and proposals. The Mayor's Office of Public Engagement should issue an annual report to the public on the new program.

### **Timeline**

- **30 Days:** The Mayor's Office of Public Engagement will prepare a plan for institutionalizing engagement on policy development. This will include the appointment of standing committees on a range of issues and the establishment of a process and timeline for consultation on the Mayor's agenda.
  
- **60 Days:** Initial meetings with committees take place over the course of several weeks.



### **Initiative #3. Increase City Hall's Presence in the Neighborhoods**

#### **Why do this?**

Too many residents believe that City Hall is not a factor in their lives. This sense of distance undermines the City's ability to serve the public on issues from public safety to education. A closer connection between residents and the City will improve services and increase quality of life.

#### **How?**

The Committee recommends that the Mayor's Office of Public Engagement develop a strategy for strengthening the connection between City Hall and Chicago residents. Based on stakeholder feedback and the Committee's own research, we recommend the following approaches as part of this new strategy:

- **Require the Mayor's senior staff and cabinet heads to attend at least one community meeting a month.** It is too easy for senior officials to lose touch with the residents they serve due to their busy schedules and significant responsibilities. Other cities have found success in making sustained public engagement a critical component of working at City Hall.
- **Improve connections with block clubs, neighborhood associations, and other organizations that have not been engaged by City Hall in the recent past.** These organizations are close to the lives of residents and often do not engage with City government beyond advocacy for improved services. Strengthening these relationships will provide residents with more options to become involved with their city.
- **Strengthen the Mayor's presence in neighborhoods.** The Mayor's Office should regularly schedule opportunities for the Mayor to meet with residents for discussions about City programs and services. City staff or local partners can solicit discussion topics in advance to ensure that these meetings are focused and productive. Other cities have accomplished this through diverse approaches. For example, Boston Mayor Marty Walsh hosts Twitter town hall meetings and holds frequent community meetings that rotate through city neighborhoods.

#### **Timeline**

- **60 Days:** The Mayor's Office of Public Engagement will work with senior staff and department heads to establish a policy of regular community meetings.
- **120 Days:** The Mayor's Office will identify opportunities for additional ways to engage residents after implementing the new City policy.





## **4. Build a Neighborhood Ambassadors Network Across the City**

### **Why do this?**

Navigating City Hall is a challenge for many residents. While the City has made significant strides in simplifying access to City services – from Open311 to reducing red tape – residents would benefit from having additional options for engaging with local government. By creating a broad network of credible local leaders and dedicated residents who can learn more about how City Hall works and help serve as communicators in the neighborhoods, residents will be able to learn more about City government and news from trusted voices.

### **How?**

The Mayor's Office of Public Engagement should establish an open application process for becoming a Neighborhood Ambassador. The City can raise awareness and encourage applications by consulting with community organizations, aldermen, faith leaders, and other stakeholders. Once selected, the Ambassadors will become part of an information network and be provided the tools they need to play this role. One approach the City could take would be to follow the example of Philadelphia's Citizen Engagement Academy, a course designed to help those who serve in a leadership role in their neighborhoods. Here they learn more about local government and gain ideas to make their neighborhoods stronger. This helps them develop a better understanding of City initiatives so they can inform their neighbors.

### **Timeline**

- **60 Days:** The Mayor's Office of Public Engagement will develop a plan for creating a network of Neighborhood Ambassadors, including options for a structured approach to giving participants the training and information they need to support the program..
- **90 Days:** The Mayor's Office will launch an application process for residents to become Neighborhood Ambassadors.
- **1 Year:** Mayor Emanuel will hold a virtual town hall with members of the Neighborhood Ambassadors network.



## 5. Strengthen the City's Engagement with Youth

### Why do this?

Youth can be one of the most challenging segments of the population to mobilize around City issues. Yet youth are critical our city's future, and are also some of the most affected by crime and unemployment. To ensure that City Hall implements policies that benefit the city's youth, the Administration must improve and institutionalize its engagement with youth across Chicago.

### How?

The Administration can improve its outreach to youth through:

- **Appointments.** The Mayor should expand the number of boards and commissions with youth representation. This will ensure a youth voice at the table on a wider range of issues.
- **Quarterly meetings.** There are several youth-focused leadership boards including the Mayoral Advisory Council facilitated by Mikva Challenge, the Park District's Teen Advisory Council, and the Chicago Task Force on Homeless Youth. Mayor Emanuel should convene these boards for a listening session on a quarterly basis.
- **Neighborhood Ambassadors.** As the Mayor implements the Committee's recommendation to establish a citywide network of Neighborhood Ambassadors, he should include a strong presence of youth leaders.
- **Ward Councils.** The Administration and the City Council should also consider establishing youth councils at the ward level. This would allow for regular engagement at a neighborhood level.

### Timeline

- **120 Days:** Youth representatives will be added to more boards and commissions.
- **6 Months:** The Mayor will hold his first quarterly meeting with youth leaders.
- **1 Year:** Mayor Emanuel will hold a virtual town hall with members of the Neighborhood Ambassadors network.



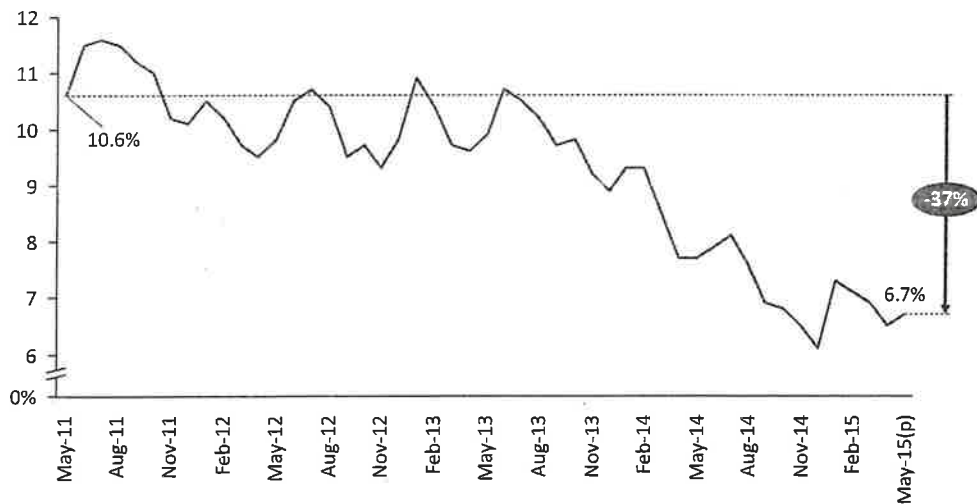
## FOSTERING NEIGHBORHOOD ECONOMIC GROWTH



Mayor Emanuel took office on the heels of the worst recession since the Great Depression and a decade during which 200,000 Chicagoans left the City. With Chicago's strength and economic vitality directly tied to the health and livability of its neighborhoods, the Mayor has focused on the critical elements that make a neighborhood economically vibrant, including healthy business activity, transportation networks to job centers and workforce training to obtain jobs.

During the Mayor's first term, the work to develop the Mayor's Plan for Economic Growth and Jobs began with a five-month process involving community and business as well as elected and faith leaders. The plan capitalizes on Chicago's advantages in order to bring new businesses to Chicago and create jobs in neighborhoods throughout the city.

### Chicago's Unemployment Rate Dropped Nearly 40% During the First Term



Source: Bureau of Labor Statistics, Local Area Unemployment Statistics

These efforts have reduced unemployment, which has fallen by more than a third, and helped create 73,000 new jobs. Yet more work remains in order to meet Mayor Emanuel's goal of ensuring that every Chicagoan shares in the City's growth.





## More Jobs Were Added During the First Term Than Had Been Lost in the Four Years Prior



Source: Illinois Department of Employment Security, "Where Workers Work." 2007-2014

### Top Challenges and Opportunities

Over the past four years, the Administration has focused on neighborhood economic growth. Yet too many neighborhoods still suffer from double-digit unemployment rates, vacant properties and insufficient access to the amenities and resources they need to attract and retain residents and businesses. The Second Term Committee's work provided the opportunity to re-examine efforts and to engage communities in developing new strategies.

The Committee focused on the following subject areas in developing its recommendations. As part of its review process, the Committee heard from dozens of stakeholders and residents through meetings and comments submitted to the CHIdeas website.



## **ENGAGING COMMUNITIES IN ECONOMIC DEVELOPMENT AND INVESTMENT PLANNING**

During the Mayor's first term, the Chicago Neighborhoods Now program launched to focus on seven neighborhoods on the threshold of rapid growth. Led by the Department of Planning and Development, this multi-agency initiative coordinated public planning and financing of more than \$4 billion for public and private community improvement projects and support of more than 35,000 jobs. Included in the effort were Rogers Park, Uptown, Eisenhower Corridor, Little Village, Bronzeville, Englewood, and Pullman.

### ***Among the most notable projects completed as part of the CNN process are:***

- The \$18.4M Pete's Fresh Market in the Eisenhower Corridor
- The \$23.5M Hope Manor II Veteran's Family Housing project in Englewood
- The \$40.8M Method® soap factory in Pullman
- The \$86M Red Line North station improvements in Rogers Park / Loyola and beyond
- The \$2.3M Lincoln Park Athletic Field project in Uptown
- The \$18.9M La Villita project in Little Village
- The \$45.6M Shops and Lofts development in Bronzeville

### **Challenges and Opportunities**

Along with the success of CNN in the targeted seven neighborhoods came the perception among many residents in other areas that the Administration was less concerned about their communities. Moreover, many residents believe that the Mayor's primary focus is on bringing jobs and businesses to downtown. This belief amplifies the need to engage residents from neighborhoods across the entire City to expand and enhance economic development planning.

## **RE-IMAGINING CURRENT TOOLS FOR ECONOMIC GROWTH**

The City of Chicago has a number of tools at its disposal for encouraging economic growth. Tax Increment Financing (TIF) is the major economic development tool available - though it is limited by geography and usage. Other tools include tax abatements targeted at industrial and commercial corridors as well as the strategic deployment of the City's zoning authority to promote goals like manufacturing growth, transit-oriented development and other means of economic growth.

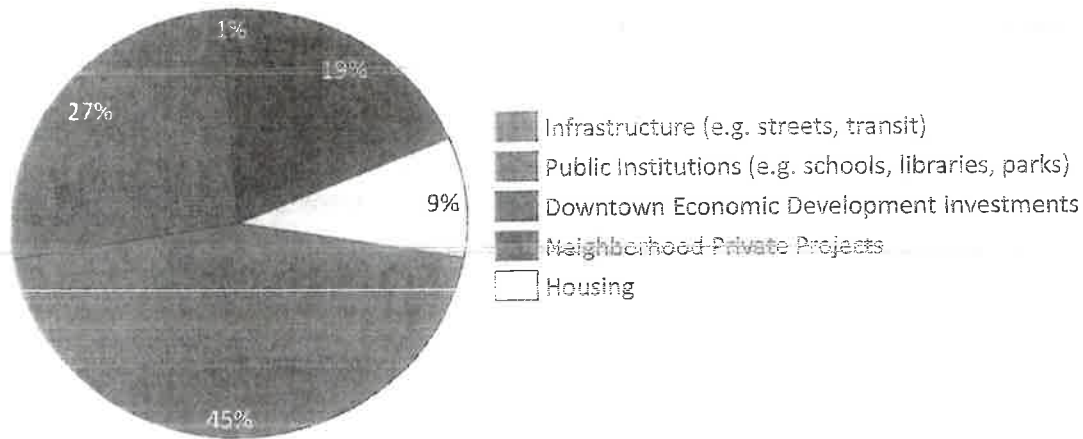
### **Tax Increment Financing**

TIF districts are used to finance improvement projects by harnessing incremental property tax growth within a TIF district's boundaries. The tax revenues help support economic development projects that provide jobs, goods and services for local residents. The funds are also used to pay for capital improvements in streets, parks, schools, and other public facilities.





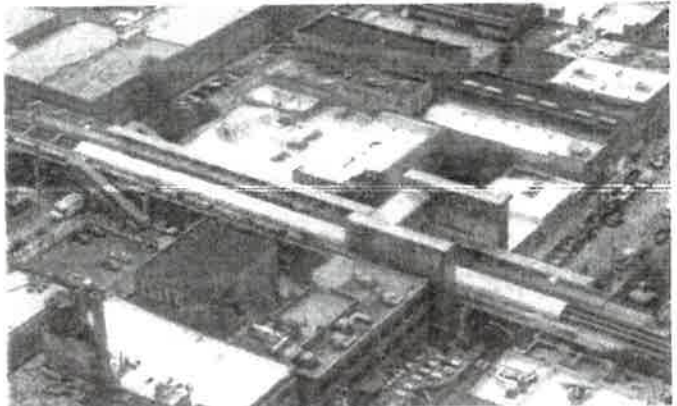
**Under Mayor Emanuel, the majority of TIF Funds Have Supported Infrastructure, Public Institutions and Neighborhood Development**



*91% of funds have supported infrastructure, public institutions, and neighborhood private projects. Only 1% has supported downtown economic development investments.*

**Tax Abatements**

Tax abatements are used to support commercial and industrial development as well as rehabilitation of historic properties. The abatements are authorized by Cook County, with the City managing the review and leading the legislative process. These abatements lower the tax assessment levels for a property and reduce taxes for a period of five to twelve years.

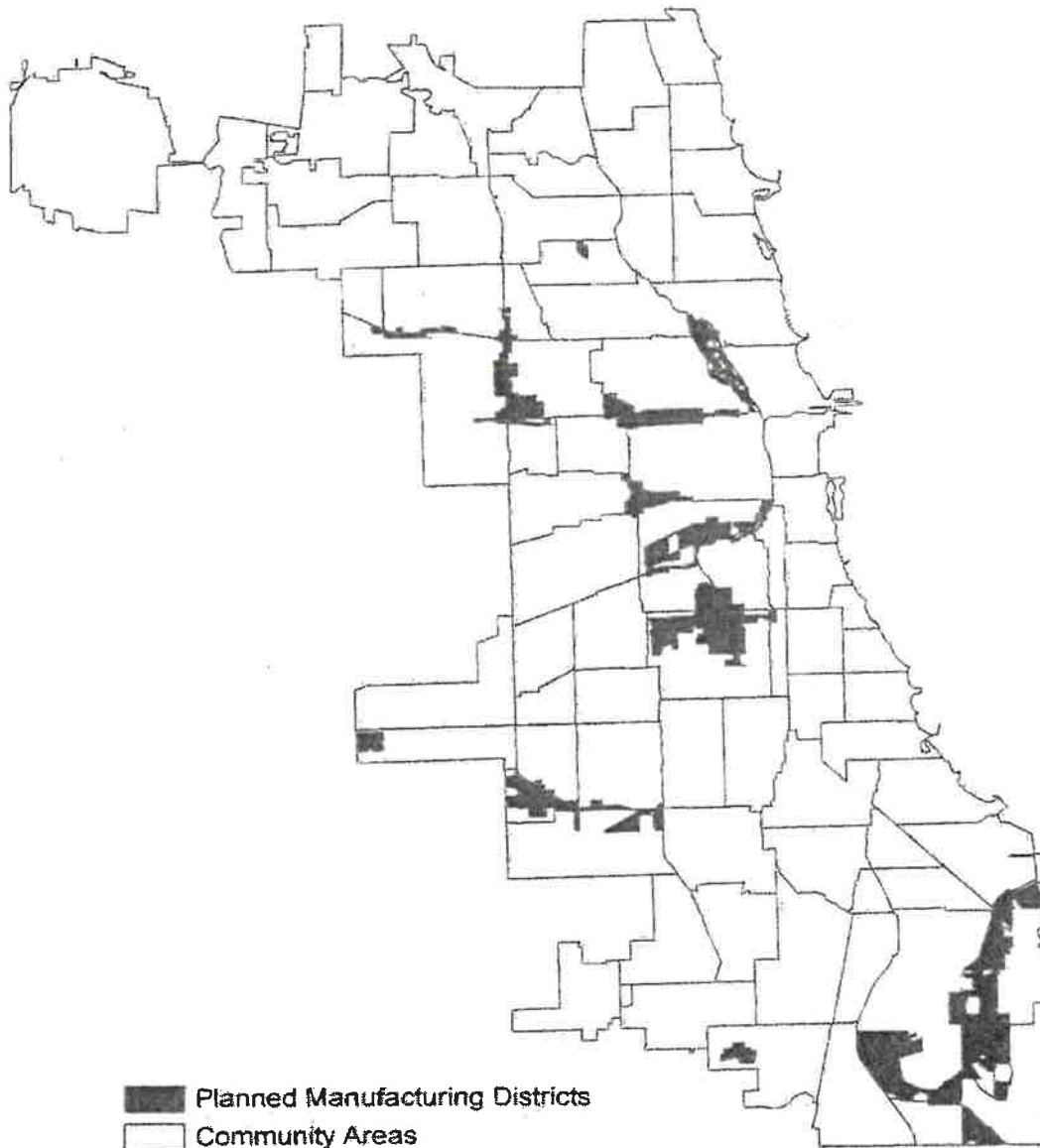


**Planned Manufacturing Districts**

At present, the City of Chicago zoning code designates 15 Planned Manufacturing Districts (PMDs) within its 26 industrial corridors. PMDs provide a stable and predictable real estate environment for large private-sector capital investment. The city's PMDs are responsible for 61,085 jobs with an annual average pay of \$67,000, 16% higher than the average pay for all area jobs.



## PLANNED MANUFACTURING DISTRICTS



### Challenges and Opportunities

While progress in applying economic development tools has been made in the last several years, challenges remain including:

- A number of TIF districts were established during market peaks, leaving the districts with declining property values and little or no tax increment to spend due to the Great Recession.



- The population is declining in certain neighborhoods. Decreased demand limits opportunities for retail and commercial development.
- Opportunities for industrial development are limited by the availability of modern facilities.

*In spite of these challenges, there are opportunities for:*

- Industrial development and upgrades, coupled with complementary workforce development
- Focused retail development in select intersections
- Support and development of amenities that strengthen communities

## **TRAINING A 21ST CENTURY WORKFORCE**

The City of Chicago has made great strides in realigning its workforce development programs to more closely match the needs of employers in the fastest growing sectors of the economy. Chicago's workforce development system currently consists of many service providers; the largest are Chicago Cook Workforce Partnership, the City Colleges of Chicago Reinvention, and Chicago Public Schools' Career and Technical Education Pathways. Additionally, the City runs a workforce development fund called TIFWorks that provides incentives for businesses to invest in employees. Finally, coordinating organizations – such as Thrive and World Business Chicago's Plan for Economic Growth and Jobs – address workforce development for workers, students, employers, and other entities.

### **City Colleges of Chicago**

The City Colleges of Chicago, and its Reinvention, are critical in building workforce readiness. Reinvention is an initiative for all seven City Colleges to improve student outcomes, become more market driven, and operate more efficiently. Each program aims to close the gap between workforce skills and industry needs with:

- A focus on seven industry sectors: healthcare; transportation, distribution and logistics; business, professional services and entrepreneurship; information technology; advanced manufacturing; culinary and hospitality; education, human, and natural sciences
- Stackable credentials that build up an individual's qualifications and help them to move along a career pathway or up a career ladder to different and potentially higher-paying jobs
- Employer involvement in program design and interaction with students
- Career planning and placement services
- Customized training to employers to meet specific skills training needs



## **Chicago Cook Workforce Partnership**

The Partnership is a non-profit administrative agency formed in July 2012 under the joint leadership of Chicago Mayor Rahm Emanuel and Cook County Board President Toni Preckwinkle. It administers more than \$50 million of Workforce Investment Act funds, as well as other public and private funding, for comprehensive workforce development initiatives that address the occupational training and career placement needs of job-seekers and businesses throughout Chicago and Cook County.

### ***The Partnership manages a network of 49 agencies, with six primary methods of service delivery:***

- Workforce Centers or American Job Centers, which are high-capacity locations serving the general job-seeking population as well as businesses;
- Affiliates, which provide services to job seekers and businesses but differ from workforce centers in lower volume of people served, geographic reach and/or special population;
- Youth Affiliates that assist youth ages 16-21 in achieving academic and employment success;
- Sector Centers, which are service hubs concentrating on business and job seeker services related to a specific industry sector; and
- Bridge Programs that prepare individuals with limited academic skills to access training that leads to employment and a career path.

On average, the Partnership serves more than 140,000 people per year, with roughly 15,000 enrolled in occupational training at any given time. Since its inception, the Partnership has successfully placed more than 17,000 people in jobs while forging relationships with more than 300 companies.

## **Chicago Public Schools**

In addition to core curriculum, Chicago Public Schools' Career and Technical Education provides classes, work-based learning, and industry certifications/college credit where applicable. An example of this is the early college STEM school program. These CPS programs incorporate input from Industry Advisory Councils.





## **Challenges and Opportunities**

Several organizations deliver workforce services to Chicago area residents and, while coordination exists across some entities, it is not universal. Furthermore, strategic priorities among the organizations are often not aligned, thus missing opportunities for workers or students to take advantage of multiple resources.

While partnerships with the local business community are among the greatest strengths of Chicago's workforce service providers, they also pose a coordination challenge. In some cases, the organizations appear to compete with one another for partnerships with the same private-sector employers. Furthermore, private-sector employers have provided feedback about the challenge of being faced with partnership offers from multiple agencies and the difficulty in deciding between competing requests. This uneven level of coordination results in inefficiencies and missed opportunities to better serve the city's workforce.

***Several opportunities exist to meet the needs for our employers and workforce, including:***

- Improving collaboration across workforce agencies
- Creating consistent strategic priorities such as focus industries, outcome metrics and engagement with employers
- Identifying opportunities to educate workers, students, employers and staff at all organizations on education pathways throughout the system

## **WHAT WILL SUCCESS LOOK LIKE?**

- Communities playing a leading role in determining their futures by partnering with the City of Chicago and its sister agencies to prioritize investment in their neighborhoods
- Broad-based economic growth benefiting neighborhoods across the city and inclusive of all Chicago's residents
- Adding tools to attract businesses and investment to the neighborhoods that need them the most to foster economic growth
- Building a workforce that is ready for the jobs of today and tomorrow and that can easily connect to jobs that lead to lifelong career pathways





## **FOSTERING NEIGHBORHOOD ECONOMIC GROWTH**

### **INDEX OF INITIATIVES**

- 6. Engage Communities in Local Economic Planning**
- 7. Expand Transit-Oriented Development**
- 8. Strengthen Assistance to Small Business**
- 9. Use Targeted Tax Incentives to Attract Businesses to Emerging Communities**
- 10. Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment**
- 11. Re-imagine the City's Planned Manufacturing Districts to Support Modern Development**
- 12. Strengthen Coordination of Workforce Development Programs**
- 13. Increase Mayor's Office Resources Devoted to Neighborhood Economic Growth**

### **Initiative #6. Engage Communities in Local Economic Planning**

#### **Why do this?**

Early successes from the implementation of Chicago Neighborhoods Now demonstrate the value of expanding the geographies included in the program as well as expanding the depth of the work. An important next step in accelerating investment in our neighborhoods is expanding CNN across the city, engaging residents and community stakeholders in developing action plans, and developing strategies in every relevant City agency to build on the strengths and meet the needs of each neighborhood.

Through stakeholder discussions, the Committee concluded that the City must institutionalize a collaborative approach to economic and community development planning - one that engages residents on a regular basis in shaping the future of their neighborhood. The Committee believes that the time has come to expand CNN across the city.

#### **How?**

In close consultation with residents, aldermen, and community groups, the City will facilitate the preparation of an economic development and investment plan for communities across Chicago. The creation of these plans will provide a framework through which City departments, aldermen, community leaders and residents can work together to build economically vibrant neighborhoods. The plans should lay out strategies to leverage the assets in each community - including workforce; anchor institutions such as hospitals, universities, schools, arts and culture institutions, and sports venues; and infrastructure. The City should also ensure that these community plans capture ideas generated by previous planning efforts and focus on ways to implement those proposals. The plans should outline priority projects, including how much the City and its partners are investing and when each neighborhood should start enjoying the results of that work.

#### **Timeline**

- **120 Days:** The City will pilot the new planning process in three neighborhoods.
- **18 Months:** The planning process will expand to cover the entire city.



## **Initiative #7. Expand Transit-Oriented Development**

### **Why do this?**

Chicago's transit system is one of our city's greatest strengths. Since Mayor Emanuel took office, the City has invested in the city's transit system by modernizing the Red Line South, building new stations in the West and South Loop neighborhoods, upgrading stations across the system and launching innovative approaches like bus rapid transit. To maximize the economic value created by this investment, the City should promote greater density and development near transit locations. Transit-Oriented Development reduces costly car congestion by promoting walkable streets and commuting by public transit. It also promotes healthy commercial corridors that offer the amenities needed to keep families in Chicago.

Prior to 2013, the City's zoning code did not promote greater density around transit stations. Moreover, the code's requirement that developers include parking spots for every commercial or housing unit did not relax near transit stations. In 2013, the Administration passed an ordinance that provided new zoning incentives including reduced parking requirements and greater height and density bonuses for projects near transit stations. To be eligible for the incentives, projects needed to be either within 600 feet of a transit station or 1,200 feet of a transit station along a pedestrian designated street. To date, the ordinance has facilitated the development of eight projects worth more than \$132 million, creating nearly 1,000 construction jobs and 100 permanent jobs. Promoting TOD will drive additional economic development to neighborhoods.

### **How?**

The Committee recommends that the Administration pass a TOD reform ordinance that expands the size of TOD zones to cover a larger geographic area around transit. The Committee also recommends that the City consider increasing the incentives by eliminating parking requirements altogether or increasing available density bonuses within the TOD zone. Furthermore, the City should better leverage all economic development tools to provide incentives for investment in these areas.

### **Timeline**

- **90 Days:** The City will introduce a TOD reform ordinance.
- **1 Year:** The City will issue a report detailing the impact of the TOD ordinance in terms of jobs and investment.



## **Initiative #8. Strengthen Assistance to Small Business**

### **Why do this?**

Small businesses are responsible for roughly half the jobs in Chicago. The Administration has launched numerous initiatives to support the city's small businesses, from reducing the number of business license categories by 60% to launching an innovative micro lending program that has helped more than 200 businesses. In 2013, the Mayor issued the Neighborhood Small Business Growth Strategy, which focuses on providing the city's Neighborhood Business Development Centers with additional tools to serve business owners. Through the Chicago Anchors for a Strong Economy (CASE) program, the Administration has worked with major institutions to promote neighborhood small business growth through participation in their procurement, resulting in millions in additional revenue for the businesses that have benefitted from the program. While progress has been made, more can be done to promote small business growth in Chicago.

### **How?**

Working with World Business Chicago, the Administration will update the Neighborhood Small Business Growth Strategy to include additional focus on increasing access to capital, promoting startups in our neighborhoods and expanding participation in City and anchor institution procurements like CASE. The Committee also believes that the Mayor should revitalize the Small Business Advisory Council, which helped develop the original strategy.

### **Timeline**

- **60 Days:** The Mayor will relaunch the Small Business Advisory Council.
- **120 Days:** The Advisory Council will update the Neighborhood Small Business Growth Strategy.
- **End of Year 1:** The City will launch the first initiatives under the updated strategy.



## **Initiative #9. Use Targeted Tax Incentives to Attract Businesses to Emerging Communities**

### **Why do this?**

Too many neighborhoods in Chicago suffer from double-digit unemployment and low property values. In order to bring growth to neighborhoods left behind by Chicago's economic recovery following the Great Recession, the City needs every tool available to attract business investment.

### **How?**

The City should establish growth zones that include low-tax zones and business concierge service to encourage investment in neighborhoods with significant assets (such as rail or vacant land), but that have suffered from under investment. The Administration should implement this program in phases, starting first with establishing growth zones in industrial corridors before expanding to other commercial corridors. Industrial corridors are a good first step for expansion because of the quality of the jobs, ability to locate outside the city center, and the positive trends in the advanced manufacturing industry. However, the Committee believes that the program should not end with industrial corridors. The City should adapt the growth zones concept to support the revitalization of retail corridors and other important growth sectors in struggling neighborhoods.

### **Timeline**

- **6 Months:** The City will launch the first growth zone in an industrial corridor.
- **12 Months:** The City will have launched additional growth zones in industrial corridors.
- **18 Months:** The City will launch a version of the growth zones program in retail corridors.





***Initiative #10. Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment***

**Why do this?**

Under Mayor Emanuel, the vast majority of TIF funds have been used to invest in our neighborhoods - from transportation infrastructure to schools to parks. The Administration take additional steps to ensure that TIF funds are invested in our neighborhoods going forward and identify new approaches for investing in transit. And while the Mayor has eliminated more TIF districts in the last four years than had been eliminated in the ten years prior to taking office, the Administration should establish a clear policy for eliminating TIF districts. The Committee also recommends that the Administration continue to improve the transparency of TIF spending by adding new tools to the TIF Portal that allow users to better understand investment patterns and trends. Finally, the Administration should consider reforms for addressing those TIF districts that no longer generate revenue because property values have fallen below the level at the time the TIF district was established. These reforms could both help amplify progress in utilizing TIF to support neighborhood growth and cement the priority of such projects as a standard to be followed by future mayors.

**How?**

The Mayor should freeze all new spending in downtown TIF districts and sunset them when all committed projects are complete. Declaring a surplus in these districts each year will provide much-needed revenue for City and CPS operations. Implementing this policy will also help strengthen confidence among residences that TIF is only being used to support projects that create jobs and improve infrastructure, schools, and parks in our neighborhoods.

The Administration should also assess the costs and benefits of transit TIF proposals currently under review in Springfield. While establishing dedicated transit TIF districts could accelerate important modernization work, the City should ensure that this approach would not divert resources from other important priorities.

Taxpayers will be better served if unnecessary TIFs are eliminated. After reducing the number of TIF districts by 14 since taking office, the Mayor should establish clear and transparent criteria for eliminating TIF districts going forward.

The Mayor should also consider obtaining State authorization to reset the base Equalized Assessed Values (EAV) - the taxable value of the property - for TIF districts where property values have decreased below their value at designation of the TIF. Resetting the base EAV will allow the TIF to begin accumulating revenue from property taxes, making funds available for investment in neighborhoods that have struggled in recent years.

Lastly, in addition to the above reforms, the Administration should build upon its transparency reforms of the previous four years by updating the TIF web portal. The current portal allows residents to view projects on a map. But residents are unable to aggregate and sort data to view how the City has invested TIF by category or over time. Making additional improvements to the portal to add these functions will raise awareness of TIF expenditures.





## ***Initiative #11. Re-Imagine the City's Planned Manufacturing Districts to Support Modern Development***

### **Why do this?**

The Committee believes that PMDs play an important role in ensuring that manufacturing and other industrial companies continue to succeed in Chicago. Yet the Committee also urges the City to conduct a thorough review of its current PMDs to determine if any changes are needed to ensure that land within PMDs is being put to its highest and best use.

### **How?**

The Department of Planning and Development will launch a review of the City's PMDs, consulting with stakeholders and experts to identify potential reforms. DPD should consider reforms that will allow for the targeted use of land within PMDs for innovative, non-industrial purposes and for redefining the term "industrial" to meet current trends in advanced manufacturing. The Committee also recommends that DPD consider options for capturing some portion of the revenue generated by new development.

### **Timeline**

- **90 Days:** DPD develops PMD reform proposals in consultation with stakeholders.
- **6 Months:** Mayor introduces PMD reform ordinance to City Council.



## ***Initiative #12. Strengthen Coordination of Workforce Development Programs***

### **Why do this?**

The city and region have made great strides in improving workforce development programs, but these programs are not coordinated as closely as necessary. Each workforce development organization follows its own strategy and current coordinating bodies do not facilitate the frequent data sharing needed for true collaboration.

### **How?**

The City, County, and World Business Chicago should establish a workforce development coordination council to improve oversight and implementation of the region's programs. The council would oversee a set of agreed-upon strategic priorities aimed at facilitating coordination across entities and with other stakeholders (employers, educators, funders, and community-based organizations). Workforce programs will provide regular reports to the council. The council would then provide the Mayor, Cook County Board President, and other leaders with a single report on the region's programs.

### **Timeline**

- **120 days:** Establish a workforce development coordination council and present agreed-upon strategic priorities to the Mayor and Cook County Board President.
- **1 Year:** Evaluate success of initial set of coordination efforts against strategic priorities and adjust accordingly..



## **Initiative #13. Increase Mayor's Office Resources Devoted to Neighborhood Economic Growth**

### **Why do this?**

Currently, staff members in the Mayor's Office, City departments, and World Business Chicago are dedicated to implementing the Mayor's overall economic development strategy. This work has included investing in projects and programs in neighborhoods, but the City's development efforts would benefit from additional resources focused on initiatives that bolster growth in struggling neighborhoods. Designating staff within the Mayor's Office to focus on neighborhood-level economic growth would elevate the importance of neighborhood growth and create a strong accountability framework going forward. This staff can coordinate the efforts of multiple agencies and stakeholders to promote economic growth at the neighborhood level.

### **How?**

The City will obtain grant funding to support the addition of Mayor's Office staff focused on neighborhood economic growth. Within the first six months, the staff will develop a strategy to guide its work.

### **Timeline**

- **120 Days:** The Administration will appoint staff dedicated to neighborhood economic growth within the Mayor's Office.

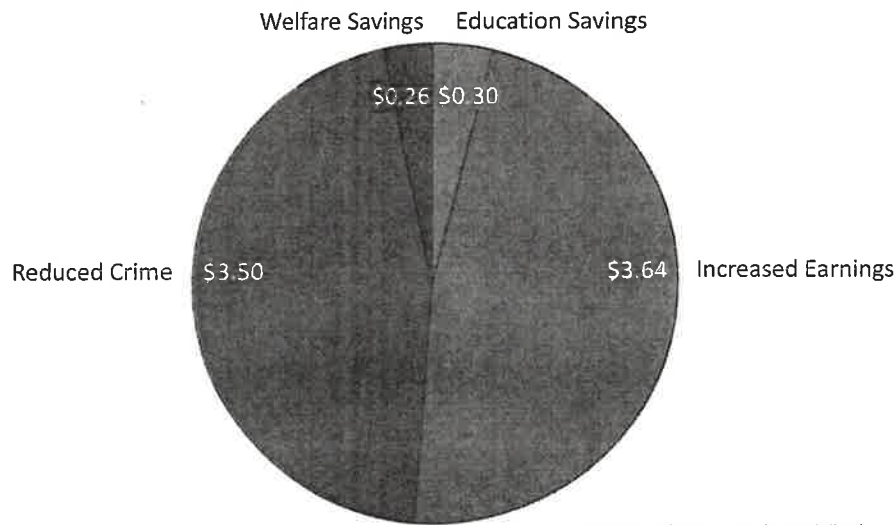




## MOVING TOWARD UNIVERSAL PRE-K

Improving early education is one of the most important investments we can make in the next generation. Children who participate in high-quality pre-K programs enter school better prepared to learn than their peers. Additionally, the benefits of early education go beyond the academic success of the student. Every dollar invested in early learning brings an eightfold return in social benefits, such as reduced crime and welfare costs as shown in the graph below.

### Social Return Per Dollar Invested in Early Childhood Programs by Type



Source: Heckman, 2011 (2006 dollars)

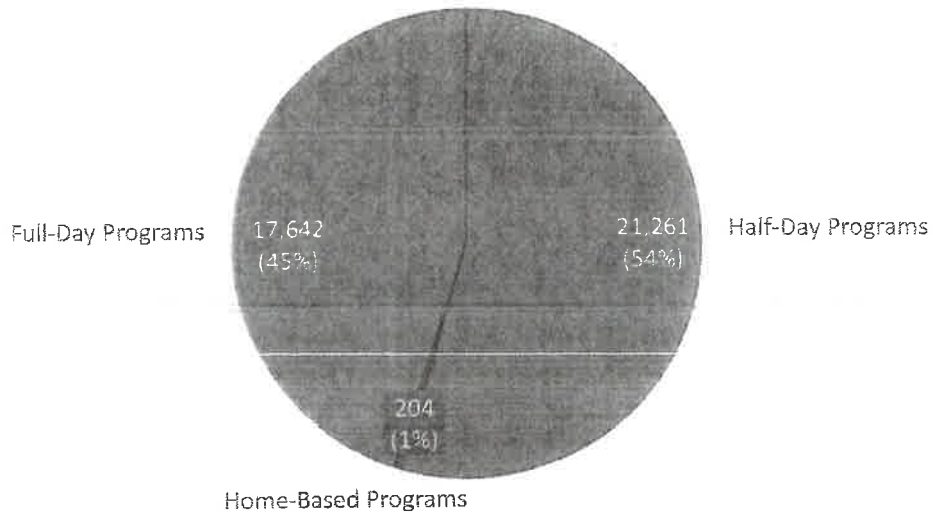
Parents benefit with reduced childcare costs as well as increased personal and economic opportunities while their child is learning in a pre-K program.

Since Mayor Emanuel's first term, the City has invested nearly \$40 million from the City's budget over three years to increase access to early learning programs and to raise the quality of existing programs. This City funding is in addition to the \$231 million annual combined funding from Head Start and Preschool for All. These investments have expanded the number of early learning seats by 4,000 and ensured that every four-year-old from a low-income family has access to free pre-K.

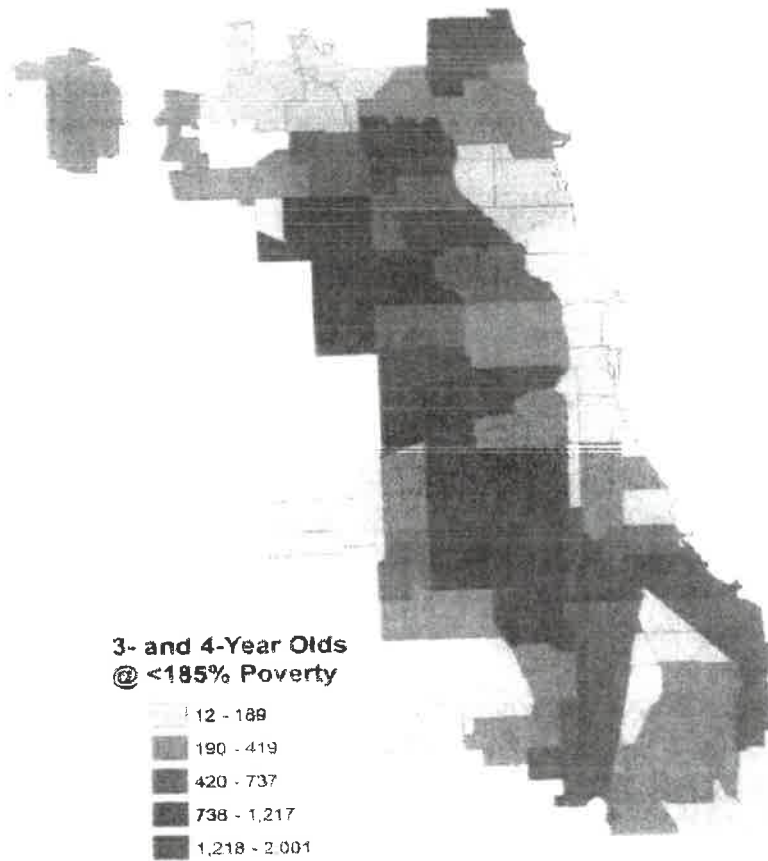
Overall, there are approximately 39,000 government subsidized pre-K seats in Chicago - half-day programs account for 54% of that total, and 46% are full-day. While the City of Chicago's programs now reach 70% of children living at 185% of the federal poverty level, work remains to ensure that every child in need has the opportunity to start his or her schooling with the advantages of early learning.



**There are Approximately 39,000 Government Subsidized Pre-K Opportunities**



**Where Children in Poverty Live**



Source: Mayor's Office analysis of 2009-2013 American Community Survey 5-Year Estimates.





Chicago Public Schools (CPS) and the Department of Family and Support Services (DFSS) are the two City agencies that administer pre-K programs. Additional community-based providers, including Educare Chicago, offer quality rated preschool programs for at-risk children that operate independent of any City-managed funds.

In developing its recommendations, the Committee benefitted from direct roundtable discussions with a dozen parents and providers and the data gathered through focus groups with 75 parents.

### **Top Challenges and Opportunities**

While progress over the last four years has been substantial, challenges and opportunities remain. Both must be addressed and given additional focus to ensure that early-learning opportunities – and all the proven benefits they provide – effectively reach Chicago’s children and families in need.

The Committee focused on three primary challenges in preparing its recommendations: pre-K administration, increasing enrollment, and expanding full-day pre-K.



### **PRE-K ADMINISTRATION**

The City’s pre-K programs are administered by two different departments and supported by many different funding streams. During the Mayor’s first term, the City achieved progress in strengthening coordination across pre-K agencies. The Mayor also launched a recompetition for pre-K funds, requiring providers to reapply for funds and prove that they could meet quality criteria. The Administration also redeployed resources across the system based on a coordinated assessment of need and quality.

### **Challenges and Opportunities**

Multiple pre-K funding sources, fiscal agents, and program types create challenges for parents and providers, with complicated processes for enrollment, prioritization and resource allocation. The result is a fragmented system where administration is based on funding regulations rather than integrated objectives to meet children’s and parent’s needs.



## Multiple Funding Pots, Fiscal Agents and Program Types Make Pre-K Administration Difficult For Parents and Providers

Program	Head Start	Early Head Start	Preschool for All	Prevention Initiative	Child Care
Fiscal Agent(s) and Supplementary Funding Sources	Department of Family and Support Services (DFSS)	Department of Family and Support Services (DFSS)	Chicago Public Schools (CPS)	Chicago Public Schools (CPS)	Chicago Public Schools (CPS)
	Other (CBOs, Ounce of Prevention)	Other (CBOs, e.g. Ounce of Prevention)			
	① ③ ⑥ ⑨	② ③ ⑥ ⑨	③ ④ ⑤ ⑥ ⑦ ⑧	③ ④	① ② ③ ⑧ ⑨

**Funding Source Key**

- ① Head Start (HS)
- ② Early Head Start (EHS)
- ③ Preschool for All (PFA)
- ④ Title 1
- ⑤ Social Impact Bond (SIB)
- ⑥ City of Chicago Corporate Fund
- ⑦ Chicago Public Schools (CPS) Budget
- ⑧ Family Co-Pay
- ⑨ Child Care Assistance Program (CCAP)

Community-based full-day programs (nearly a quarter of all pre-K opportunities) leverage funding from multiple sources, with overlapping but inconsistent eligibility criteria. This may restrict recruitment for children who are not eligible or preferred by all funding criteria (e.g., children without working parents, children whose family income is low but not in poverty or 3-year-olds).

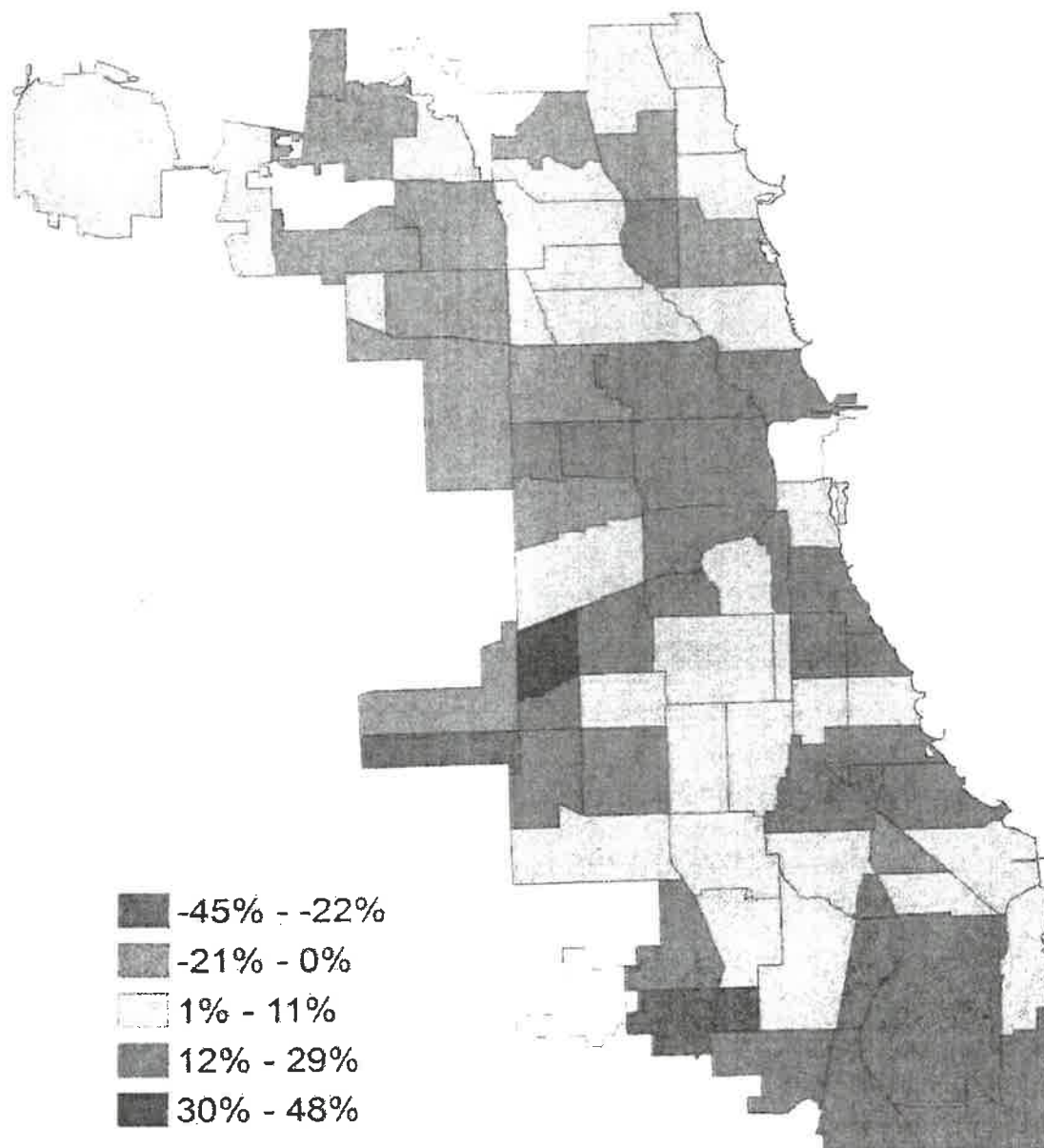
These structural issues provide the Mayor with the opportunity to transform early childhood programming and funding into a comprehensive, integrated system that centers on outcomes for young children and their families. The system should focus on creating parent-centric policies and processes supporting high quality programs, and include a proactive approach to identifying and engaging parents of at-risk children.

### INCREASING ENROLLMENT

During Mayor Emanuel's first term, the City invested to create 4,000 new seats per year in pre-K programs throughout the City. Each year, some seats go unfilled, particularly in neighborhoods on the south and west sides of the City, including West Garfield Park, Riverdale, Grand Boulevard, Armour Square, and McKinley Park.



### Vacant Seats by Community Area



Note: Negative open seats indicate communities with programs that are over-enrolled.





Since 2011, CPS has taken steps to make the matriculation process easier for families by implementing centralized application, registration, and enrollment. Enrollment in community organization-based programs, however, is fragmented and remains at the discretion of the individual provider, with oversight and marketing support provided by DFSS.

### **Challenges and Opportunities**

*In spite of improvements, too many pre-K seats remain unfilled, due to three principal challenges:*



First, parents are unaware of program options, and may not be aware of the immediate benefits of pre-K programs compared to current childcare arrangements. Also, some families hesitate to move care of young children away from trusted friends, family, or neighbors. These challenges highlight the fact that program messaging and branding are not clear and compelling.

Second, enrollment processes are complicated and confusing. Outreach is not coordinated and may miss certain populations. Administrative barriers prevent school-based and community-based programs from coordinating to find the best placements for families, especially those with specialized needs (language, Individual Education Plan). Families are also unable to find pre-K programs with schedules or the child care to meet their needs.

Third, families in extreme poverty can face barriers that isolate them and discourage enrollment. Documentation and multi-phased procedures create additional strain for families that must focus on meeting basic needs.

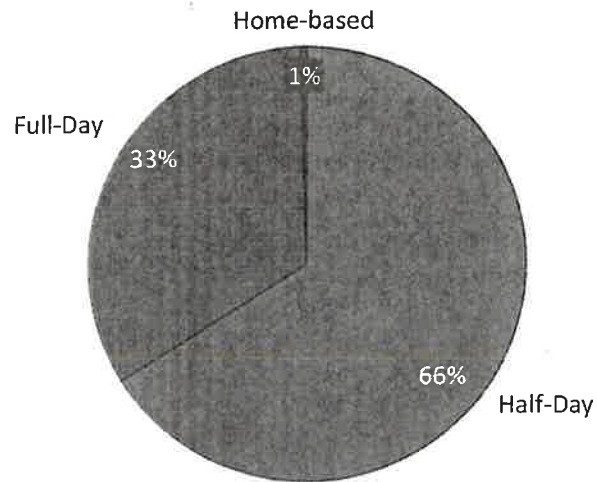
### **EXPANDING FULL-DAY PRE-K**

During the first term, the Mayor leveraged numerous investments to expand full-day programs. Compared to the 2011-12 school year, the City serves an additional 4,700 children in full-day programs. Over the next three years, CPS will triple the current ~100 school-based programs to 300, which can expect to serve 6,000 total students in a full-day program.

Despite these gains, approximately only one-third of low-income 4- year-olds currently receives a full day of pre-K, including programs that include or coordinate with childcare services.



## 4 Year-Olds Enrolled in Early Childhood Programs



To place all low-income 4-year-olds in a full-day program, the City needs to convert an estimated 13,000 seats from half-day to full-day, plus add an estimated 4,400 new full-day opportunities.

### Challenges and Opportunities

The majority of children are in half-day programs. Extending full-day pre-K is both integral to closing achievement gaps and to providing parents increased flexibility of scheduling and choosing among providers. However, full-day programming is at least twice as costly; there is currently not enough funding to provide full-day programs to all children. Expanding to full-day for all low-income 4-year-olds is estimated to cost an additional \$87-174 million per year for programming, not including of necessary capital expenses.

Converting half-day programs to full-day will require additional classrooms and teachers to replace programs that currently provide multiple sessions per day. Aggressive expansion must balance increasing access to full-day with building high-quality capacity. Furthermore, community-based programs may not be able to offer true full-day coverage without supplemental funding that may restrict eligibility.

### WHAT WILL SUCCESS LOOK LIKE?

- Serving the most at-risk children with high-quality programs across the city by implementing proven strategies to increase enrollment, the City will pair its national leadership in program quality with innovative stakeholder collaboration to place as many at-risk children as possible in pre-K programs, striving for full enrollment.
- Increasing transparency and accountability of pre-K administration by transforming early childhood programming and funding into a comprehensive, integrated system that focuses on achieving the best outcomes for young children and their families.
- Ensuring that families are at the heart of the enrollment process by creating parent-centric policies supporting a high quality programs, with a proactive approach to identifying and engaging parents.
- Providing every low-income 4-year-old with the opportunity to participate in a full-day pre-K program.





## MOVING TOWARD UNIVERSAL PRE-K

### INDEX OF INITIATIVES

- 14. Streamline the Administration of Pre-K in Chicago**
- 15. Create a Unified, Flexible Enrollment Process and Timeline Between DFSS and CPS**
- 16. Target High-Need Communities with Proven Enrollment Strategies**
- 17. Develop a Unified Marketing Strategy**
- 18. Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need**

### **Initiative #14. Streamline the Administration of Pre-K in Chicago**

#### **Why do this?**

Despite individual successes seen in the first term, multiple funding streams, and the strict regulations for each, continue to push agencies apart in the management of their resources, DFSS and CPS separately administer hundreds of millions of dollars in program budgets. While these agencies have improved their coordination, the Mayor's goals cannot be reached without further improvement.

#### **How?**

The Committee recommends streamlining the administration of these programs. This improvement can come from consolidating certain functions or creating a cross-agency unit to ensure proper coordination and data sharing. Other cities have maintained separate administrative structures, while creating simple processes for data sharing of resources and outcomes.

#### **Timeline**

- **90 Days:** The Mayor's Office will convene stakeholders to develop a plan for process alignment and strategic use of resources.
- **Year 1:** The Administration will have a plan will identify duplicate functions and outline opportunities to align resources in areas that may include recruitment, compliance, and capacity planning and strategy.



## **Initiative #15. Create a Unified, Flexible Enrollment Process and Timeline Between DFSS and CPS**

### **Why do this?**

CPS and DFSS are on different timelines for outreach and enrollment because CPS recruits earlier in the year. Hotline call volume suggests the enrollment process does not happen when parents begin thinking about early education - demand is year round. Twenty-five percent of students enroll after the start of the program. Finally, the application process is challenging: confusion exists about calendar, timeline, and process. Many cities have similar structures to Chicago's, with education and social service departments managing different elements. However, some have unified the enrollment process.

### **How?**

Improving coordination will require that the Mayor's Office take a stronger role in driving improvements. The Mayor's team should work with CPS and DFSS to create a coordinated 2016-2017 enrollment process and timeline. The Administration should seek feedback on the proposed enrollment process and timeline from parents.

The enrollment system should be seamless for parents, with eligibility and funding determinations made without requiring excessive forms and visits. This would include a system that coordinates referrals across multiple schools and multiple community-based settings, and allows parents to prioritize preferences based on their desired timeframe and locations (i.e. half-day/full-day/working hours and location). The systems would then coordinate which funding streams to use for each family. Finally, CPS and DFSS will establish clear processes for early-learning providers and outside partners (public assistance agencies, healthcare providers, etc.) to offer referrals for early-learning programs. The referral process will target community professionals that most often interact with eligible families, but may not be informed on all the programs that meet a family's needs.

### **Timeline**

- **90 Days:** CPS and DFSS will meet in the summer of 2015 to create a unified enrollment timeline and recruitment plan for the 2016-2017 school year. City staff will work with parent groups and providers to identify significant barriers in the enrollment process for families with children most at risk that are still not in programs, including those in undocumented communities, temporary living situations, special needs, and others.
  
- **1 Year:** Parents will be able to enroll in all the programs they are eligible for at the same time; there will be a reduction in the number of parents holding seats at some sites while "shopping" at others; and DFSS/CPS will have a more systematic view of where enrollment problems exist, improving coordination in communities with low enrollment.



## **Initiative #16. Target High-Need Communities with Proven Enrollment Strategies**

### **Why do this?**

The Committee has learned that families in low income neighborhoods face unique barriers to enrolling in pre-K that range from the complex application process to lack of familiarity with the benefits of early education. Increasing enrollment in such neighborhoods requires a more targeted, intensive outreach strategy. The City should pilot innovative approaches in high need neighborhoods.

### **How?**

The Committee encourages the Administration to cast a wide net in identifying approaches to pilot. As a starting point, the Committee recommends that the City look to successful efforts that have simplified and increased enrollment in Chicago through the use of place-based enrollment strategies. These strategies have focused on specific neighborhoods, relying upon trusted local leaders and parents to promote the importance of early learning. Moreover, these successful approaches have simplified the parental experience by helping guide them through the process.

The South Side Early Learning Network is one example to be considered. Launched in 2012, it has achieved success by providing a single point of entry to high-quality early-learning programs and creating a coordinated, integrated system that brings fragmented providers to the table.

### **Timeline**

- **120 Days:** The City will conduct a comprehensive assessment to identify high-need communities and opportunities for improvements.
- **Year 1:** Based on the results of the needs assessment, the City will identify new approaches to targeted enrollment, including possible place-based strategies in areas of high need.



## **Initiative #17. Develop a Unified Marketing Strategy**

### **Why do this?**

Current messaging and marketing materials are disjointed and do not adequately demonstrate the value of early-learning programs for children and families - both in the short term and lifetime achievement. Families that are not enrolling their children tend to be mobile and struggling with high-priority needs on a daily basis. Existing messaging does not effectively create a sense of urgency for enrollment.

### **How?**

The City will create a centralized marketing and messaging campaign that reaches a citywide audience and supports individual provider recruiting efforts.

### **Timeline**

- **120 Days:** CPS and DFSS will audit existing communication strategies and resources and identify messaging gaps to determine reasons parents may be hesitant to enroll.
- **Year 1:** CPS and DFSS will create a coordinated messaging and recruitment plan and explore options to test effectiveness of new messages in high-need and target populations.
- **End of Second Term:** CPS and DFSS will implement unified messaging on the benefit of programs and simple next steps for enrolling. Messaging will reach families early and often, be present at the natural touch points of family and child development (child birth; well visits and annual checkups; faith programs; etc.), and communicate real stories of parents and children who have benefitted from participation in early-learning programs.





## **Initiative #18. Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need**

### **Why do this?**

Gold standard evaluations show that the added hours of education in a full-day program effectively close the achievement gap between at-risk children and their more advantaged peers. In fact, 20% more children attending full-day programs progress at the appropriate development level compared to children in half-day programs - 30% more in comparison to children that attend no programs.

### **How?**

The Mayor's Office should work with the Early Learning Executive Council, CPS, and DFSS to develop a strategy for expanding full-day pre-K that includes estimates of cost - both programming and capital - and a full analysis of the challenges that will come with a large expansion. In developing this strategy, the City should identify areas of Chicago that have the highest unmet need for full-day programs. Also, the City should consider whether unfilled half-day slots should be repurposed to support full-day opportunities. Agencies and stakeholders should then work together to identify existing providers who can expand their own capacity and new organizations willing to create classrooms. Classrooms should be developed in a mix of community and school-based sites, with an emphasis on well-trained teachers, appropriate levels of funding, and effective community "wraparound" services provided by counselors, social workers, librarians, school nurses, and others.

### **Timeline**

- **30 Days:** 85 new classrooms funded by the 2015 budget will open for the new school year.
- **6 Months:** The Administration will determine geographic focus and begin identifying new sites for the 2016-17 school year. In addition, the Administration will provide detailed cost estimates for universal pre-K expansion, accounting for a mix of new full-day slots versus repurposing current half-day opportunities. The City will also identify plans to address other barriers to universal pre-K identified by parents and providers (transportation, teacher training, etc.) and the role birth to 3-year-old programs play across the City.
- **Year 2:** The Administration will release a plan to move from 300 full-day classrooms by the end of the second term to universal full-day pre-K for every 4-year-old in need. The plan will include detailed neighborhood expansion plans, outlining the areas of the City where additional pre-K providers will be necessary to achieve full enrollment.
- **End of Second Term:** 300 full-day classrooms will be open and the next expansion phase will be underway, moving toward universal full-day pre-K for all 4-year-olds in need. The importance of providing every child a high-quality experience means this expansion must be conducted at a measured pace over the next four years. This expansion should place particular focus on meeting the needs of bilingual families, families in extreme poverty, and those in temporary living situations.





## APPENDIX

### Comprehensive Working Timeline Of Initiatives Recommended By The Second Term Priorities Committee.

#### 30 Days:

- **Initiative #2: Institutionalize the Regular Engagement of Residents in Developing New Policies.** The Mayor's Office of Public Engagement will prepare a plan for institutionalizing engagement on policy development. This will include the appointment of standing committees on a range of issues and the establishment of a process and timeline for consultation on the Mayor's agenda.
- **Initiative #10: Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment.** Mayor Emanuel implements a freeze on new downtown TIF spending.
- **Initiative #18: Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need.** 85 new classrooms funded by the 2015 budget will open for the new school year.

#### 60 Days:

- **Initiative #2: Institutionalize the Regular Engagement of Residents in Developing New Policies.** Initial meetings with committees take place over the course of several weeks.
- **Initiative #3: Increase City Hall's Presence in the Neighborhoods.** The Mayor's Office of Public Engagement will work with senior staff and department heads to establish a policy of regular community meetings.
- **Initiative #4: Build a Neighborhood Ambassadors Network Across the City.** The Mayor's Office of Public Engagement will develop a plan for creating a network of Neighborhood Ambassadors, including options for a structured approach to giving participants the training and information they need to support the program.
- **Initiative #8: Strengthen Assistance to Small Business.** The Mayor will relaunch the Small Business Advisory Council.
- **Initiative #10: Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment.** Administration develops criteria for eliminating TIF districts.

#### 90 Days:

- **Initiative #4: Build a Neighborhood Ambassadors Network Across the City.** The Mayor's Office will launch an application process for residents to become Neighborhood Ambassadors.
- **Initiative #7: Expand Transit-Oriented Development.** The City will introduce a TOD reform ordinance.
- **Initiative #11: Re-imagine the City's Planned Manufacturing Districts to Support Modern Development.** DPD develops PMD reform proposals in consultation with stakeholders.



- **Initiative #14: Streamline the Administration of Pre-K in Chicago.** The Mayor's Office will convene stakeholders to develop a plan for process alignment and strategic use of resources.
- **Initiative #15: Create a Unified, Flexible Enrollment Process and Timeline between DFSS and CPS.** CPS and DFSS will meet in the summer of 2015 to create a unified enrollment timeline and recruitment plan for the 2016-2017 school year. City staff will work with parent groups and providers to identify significant barriers in the enrollment process for families with children most at risk that are still not in programs, including those in undocumented communities, temporary living situations, special needs, and others.

#### **120 Days:**

- **Initiative #1: Better Embed Public Engagement into the City's Programs and Operations.** The Office of Public Engagement will work with each City department to develop a public engagement strategy and an accountability system with clear metrics and regular reporting.
- **Initiative #3: Increase City Hall's Presence in the Neighborhoods.** The Mayor's Office will identify opportunities for additional ways to engage residents after implementing the new City policy.
- **Initiative #5: Strengthen the City's Engagement with Youth.** Youth representatives will be added to more boards and commissions.
- **Initiative #6: Engage Communities in Local Economic Planning.** The City will pilot the new planning process in three neighborhoods.
- **Initiative #8: Strengthen Assistance to Small Business.** The Advisory Council will update the Neighborhood Small Business Growth Strategy.
- **Initiative #12: Strengthen Coordination of Workforce Development Programs.** Establish a workforce development coordination council and present agreed-upon strategic priorities to the Mayor and Cook County Board President.
- **Initiative #13: Increase Mayor's Office Resources Devoted to Neighborhood Economic Growth.** The Administration will appoint staff dedicated to neighborhood economic growth within the Mayor's Office.
- **Initiative #16: Target High-Need Communities with Proven Enrollment Strategies.** The City will conduct a comprehensive assessment to identify high-need communities and opportunities for improvements.
- **Initiative #17: Develop a Unified Marketing Strategy.** CPS and DFSS will audit existing communication strategies and resources and identify messaging gaps to determine reasons parents may be hesitant to enroll.



### **6 Months:**

- **Initiative #5: Strengthen the City's Engagement with Youth.** The Mayor will hold his first quarterly meeting with youth leaders.
- **Initiative #9: Use Targeted Tax Incentives to Attract Businesses to Emerging Communities.** The City will launch the first growth zone in an industrial corridor.
- **Initiative #10: Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment.** The City will complete an assessment of the costs and benefits of the use of transit TIF districts to support critical transportation projects.
- **Initiative #11: Re-imagine the City's Planned Manufacturing Districts to Support Modern Development.** Mayor introduces PMD reform ordinance to City Council.
- **Initiative #18: Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need.** The Administration will determine geographic focus and begin identifying new sites for the 2016-17 school year. In addition, the Administration will provide detailed cost estimates for universal pre-K expansion, accounting for a mix of new full-day slots versus repurposing current half-day opportunities. The City will also identify plans to address other barriers to universal pre-K identified by parents and providers (transportation, teacher training, etc.) and the role birth to 3-year-old programs play across the City.

### **1 Year:**

- **Initiative #2: Institutionalize the Regular Engagement of Residents in Developing New Policies.** The Mayor's Office of Public Engagement issues its first annual report on the program.
- **Initiative #4: Build a Neighborhood Ambassadors Network Across the City.** Mayor Emanuel will hold a virtual town hall with members of the Neighborhood Ambassadors network.
- **Initiative #5: Strengthen the City's Engagement with Youth.** Mayor Emanuel will hold a virtual town hall with members of the Neighborhood Ambassadors network.
- **Initiative #7: Expand Transit-Oriented Development.** The City will issue a report detailing the impact of the TOD ordinance in terms of jobs and investment.
- **Initiative #8: Strengthen Assistance to Small Business.** The City will launch the first initiatives under the updated strategy.
- **Initiative #9: Use Targeted Tax Incentives to Attract Businesses to Emerging Communities.** The City will have launched additional growth zones in industrial corridors.
- **Initiative #10: Ensure that Tax Increment Financing Continues to Become More Transparent and is Used for Neighborhood Investment.** Administration updates TIF portal to add new data visualization tools.
- **Initiative #12: Strengthen Coordination of Workforce Development Programs.** Evaluate success of initial set of coordination efforts against strategic priorities and adjust accordingly.



- **Initiative #14: Streamline the Administration of Pre-K in Chicago.** The Administration will have a plan will identify duplicate functions and outline opportunities to align resources in areas that may include recruitment, compliance, and capacity planning and strategy.
- **Initiative #15: Create a Unified, Flexible Enrollment Process and Timeline between DFSS and CPS.** Parents will be able to enroll in all the programs they are eligible for at the same time; there will be a reduction in the number of parents holding seats at some sites while “shopping” at others; and DFSS/ CPS will have a more systematic view of where enrollment problems exist, improving coordination in communities with low enrollment.
- **Initiative #16: Target High-Need Communities with Proven Enrollment Strategies.** Based on the results of the needs assessment, the City will identify new approaches to targeted enrollment, including possible place-based strategies in areas of high need.
- **Initiative #17: Develop a Unified Marketing Strategy.** CPS and DFSS will create a coordinated messaging and recruitment plan and explore options to test effectiveness of new messages in high-need and target populations.

**18 MONTHS:**

- **Initiative #6: Engage Communities in Local Economic Planning.** The planning process will expand to cover the entire city.
- **Initiative #9: Use Targeted Tax Incentives to Attract Businesses to Emerging Communities.** The City will launch a version of the growth zones program in retail corridors.

**2 YEARS:**

- **Initiative #18: Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need.** The Administration will release a plan to move from 300 full-day classrooms by the end of the second term to universal full-day pre-K for every 4-year-old in need. The plan will include detailed neighborhood expansion plans, outlining the areas of the City where additional pre-K providers will be necessary to achieve full enrollment.

**END OF SECOND TERM:**

- **Initiative #17: Develop a Unified Marketing Strategy.** CPS and DFSS will implement unified messaging on the benefit of programs and simple next steps for enrolling. Messaging will reach families early and often, be present at the natural touch points of family and child development (child birth; well visits and annual checkups; faith programs; etc.), and communicate real stories of parents and children who have benefitted from participation in early-learning programs.
- **Initiative #18: Develop a Plan for Providing Full-Day Pre-K to Every 4-Year-Old in Need.** 300 full-day classrooms will be open and the next expansion phase will be underway, moving toward universal full-day pre-K for all 4-year-olds in need. The importance of providing every child a high-quality experience means this expansion must be conducted at a measured pace over the next four years. This expansion should place particular focus on meeting the needs of bilingual families, families in extreme poverty, and those in temporary living situations.





