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# Community Development Block Grant Disaster Recovery Program

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Program Guidelines

February 2015

Commonwealth of Pennsylvania  
Tom Wolf, Governor

Department of Community & Economic Development



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# Table of Contents

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<b>Application Kit Forms &amp; Instructions</b>	1
<b>Section I Statement of Purpose</b>	2
A. April Storms (Designation in July 2011)	2
B. Hurricane Irene	2
C. Tropical Storm Lee	2
<b>Section II Eligibility</b>	3
A. Eligible Applicants	3
B. Eligible Projects	3
C. Eligible Applicants – Housing Component	7
D. Eligible Projects – Housing Component	7
<b>Section III Funding Priority and Review Process</b>	8
<b>Section IV Housing Component Requirements</b>	8
Part A – General Program Guidelines	8
Part B – Housing Programs	15
<b>Section V Housing Component Funding Priority and Review Process</b>	19
<b>Section VI Application Procedures</b>	20
A. Forms	20
B. CDBG-DR Program and Construction Requirements	21
<b>Section VII Program Requirements and Waivers</b>	21
A. Program Income	21
B. Administrative Costs	22
C. Reporting	22
D. Matching Funds Requirement	22
E. Deadlines	22
F. Contract Period	22
G. Procedures for Accessing Funds	22
H. Audit Requirements	23
<b>CDBG-DR Housing Application Contents</b>	24
Single Application	26
Applicant Information	27
CDBG-DR Statement of Assurances	30
Instructions for Completion of Disclosure Report	36
Appendix A – HUD Programs Subject to Disclosure	37
Disclosure Report	39

DCED Land Use Implementation . . . . .	43
Duplication of Benefits Certifications . . . . .	45
Management Plan/Local Staff Capacity . . . . .	46
Citizen Participation Report . . . . .	47
Four-Factor Analysis and Language Access Plan for Limited English Proficiency Persons . .	49
Instructions for Completion of Activity Description . . . . .	53
Appendix B – CDBG Public Service Activities . . . . .	56
Appendix C – Service Areas and Survey Methodology for Area Benefit Activities . . . . .	58
Appendix D – Determining Service Areas . . . . .	59
Activity Description . . . . .	61
Project Budget . . . . .	62
Project Completion Timetable . . . . .	64
Needs Assessment . . . . .	65
Activity Description . . . . .	67
Project Budget . . . . .	69
Activity Description . . . . .	71
Project Budget . . . . .	73
Activity Description . . . . .	75
Project Budget . . . . .	77
Project Completion Timetable . . . . .	78
Readiness to Proceed Certification . . . . .	79
Instructions for Completion of Local Effort/User Fee Analysis . . . . .	80
Local Effort/User Fee Analysis . . . . .	81
Status of Required Environmental Review Process . . . . .	82
Status of Site Control . . . . .	83
Status of Permits . . . . .	84
Displacement Assessment . . . . .	85
Instructions for Completion of LMI Principal Benefit Determination . . . . .	86
LMI Principal Benefit Determination . . . . .	87
Budget Summary . . . . .	88
Appendix E – HUD Matrix Codes . . . . .	90
Appendix F – Modifications and Revisions . . . . .	104
Appendix G-1 – Environmental Tips Sheet . . . . .	106
Appendix G-2 – Environmental Tips Sheet . . . . .	107
Appendix G-3 – Environmental Tips Sheet . . . . .	108
Appendix G-4 – Environmental Tips Sheet . . . . .	109
Regional Offices . . . . .	110
Appendix H – Resources . . . . .	111

# Community Development Block Grant – Disaster Recovery (CDBG-DR) Application Kit Forms and Instructions

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## All Applicants:

The original application must be submitted to the Department of Community and Economic Development, Center for Community Development. One copy must be submitted to the Regional Office.

In addition, all applicants are to submit to the Center for Community Development one copy of:

- General Application Description
- Budget Summary (**on two pages, not one, with no page numbers at top or bottom of page**)

Direct any questions in preparing the Application to Donna Enrico at [denrico@pa.gov](mailto:denrico@pa.gov) or 717-720-7343.

## Section I – Statement of Purpose

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In 2011, Pennsylvania was impacted by three declarations of Presidential Disaster Areas, including two major storm systems within 12 days of each other.

### A. April Storms (Designation in July 2011)

The first designation occurred due to severe storms and flooding during the period of April 25-28, 2011, which impacted five counties in the northern tier of Pennsylvania near the New York border. These counties received aid from the Federal Emergency Management Agency (FEMA) to support public facility/infrastructure damages and the commonwealth's and local response efforts.

### B. Hurricane Irene

Pennsylvania was impacted by Hurricane Irene beginning late on Friday, August 26, 2011 with scattered rain showers across the commonwealth. High winds and heavy rain associated with the very outer bands of Irene moved into the commonwealth during the early morning of August 27, 2011. The main heavy rain shield associated with Irene moved into far Southeast Pennsylvania and continued throughout August 28, 2011. Some areas of the commonwealth received in excess of five inches of rain over this 36 hour period. The excessive rain amounts caused major to catastrophic flash flooding in some areas of the commonwealth. Widespread road flooding was reported, with numerous water rescues of stranded residents. The designated area included all counties bordering New Jersey and several in Northeast Pennsylvania.

### C. Tropical Storm Lee

Tropical Storm (TS) Lee began impacting Pennsylvania on the evening of Tuesday, September 6, 2011. Statewide rainfall totals of 5.5 to 15.37 inches fell over the first 48 hours of the storm. The entire commonwealth received above average rain fall over the previous 30 days, and the streams were all running high as a result. The remnants of TS Lee were absorbed by a large scale extra-tropical low centered in Central Ohio.

TS Lee left significant amounts of water over almost all of the eastern two-thirds of the commonwealth, affecting the Delaware and Susquehanna River basins. Almost every town along the Susquehanna River experienced flooding including Athens, Towanda, Danville, Bloomsburg, Wilkes-Barre, Sunbury, Harrisburg and Marietta, as well as smaller communities in Lebanon, Lycoming, Schuylkill and Wyoming counties.

The United States Department of Housing and Urban Development (HUD) has allocated to the Commonwealth of Pennsylvania, \$27,142,501 in Community Development Block Grant [CDBG] Disaster Recovery Funds for recovery efforts related to:

- Tropical Storm Lee which occurred between September 6 and 7, 2011 [FEMA-4030 DR].
- Hurricane Irene, which occurred between August 26 - 28, 2011 [FEMA-4025 DR].

The commonwealth has received \$27,142,501 of CDBG Disaster Recovery funding to meet unmet housing, infrastructure, and economic revitalization needs in counties designated as Presidential Disaster Areas during 2011.

The following documents should be carefully reviewed as part of the application process since they include changes and waivers from the usual rules and regulations of the CDBG Program:

- Consolidated and Further Continuing Appropriations Act, 2012 (Public Law 112-55, approved November 18, 2011; 125 STAR.703)
- US Department of Housing and Urban Development, Docket No. FR-5628-N-01, published in Federal Register: April 2012
- US Department of Housing and Urban Development, Docket No. FR-5582-N-01, published in Federal Register: November 16, 2011 Duplication of Benefits
- CDBG Disaster Recovery Funds Action Plan
- Corrected Revised Substantial Amendment – August 11, 2014

The recovery process is a long-term process and must be coordinated with other federal, state, local and private resources. **This funding is for local governments and other eligible entities to use for disaster relief, long term recovery activities, and mitigation. It is not for those activities, however that are reimbursable by local or private resources and other federal programs such as but not limited to the Federal Emergency Management Agency, the Small Business Administration or the National Flood Insurance Program.**

## Section II – Eligibility

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### A. Eligible Applicants *(See page 7 for Housing Component)*

This disaster recovery funding is available to any unit of local government in the commonwealth, including those that qualify as direct federal entitlement communities or urban counties under the CDBG program that were identified under the Presidential Declaration. The 36 declared counties are: Adams, Bedford, Berks, Bradford, Bucks, Chester, Columbia, Cumberland, Dauphin, Delaware, Huntingdon, Juniata, Lackawanna, Lancaster, Lebanon, Lehigh, Luzerne, Lycoming, Mifflin, Monroe, Montgomery, Montour, Northampton, Northumberland, Perry, Philadelphia, Pike, Schuylkill, Snyder, Sullivan, Susquehanna, Tioga, Union, Wayne, Wyoming and York. DCED is required to allocate 80% of the allocation for the following five hardest hit counties (Bradford, Columbia, Dauphin, Luzerne, and Wyoming).

### B. Eligible Projects *(See page 7 for Housing Component)*

Grantees may use these CDBG Disaster Recovery Funds for efforts involving:

- housing
- economic development
- infrastructure
- prevention of further damage to affected areas

Examples of these activities include:

## 1. Housing

### a. Housing Buyouts – FEMA Match

CDBG funds will be used as match required for the FEMA home buyouts in flood prone areas. This activity will be administered in partnership with PEMA. Funds will be allocated to a unit of local government for the buyout of properties located in the flood zone.

1.) **Allocation for Activity:** \$2 million (*allocation fully committed as of September 19, 2014*)

2.) **Eligible Applicants:** Units of local government that are eligible under the FEMA Hazard Mitigation Grant Program

3a.) **Threshold Criterion:** Receipt of an award commitment for the FEMA Hazard Mitigation Grant Program for housing buyouts

3b.) **Criterion for Selection:** Projects will be funded in order of priority determined by Pennsylvania Emergency Management Agency

4.) **Grant Size Limits:**

Limited to 3% or less of the total for all housing buyouts in approved FEMA Hazard Mitigation Program awards. DCED and PEMA have agreed to the principal of Global Match targeting the funds to specific municipalities for buyouts. The Global Match is an alternative approach which allows DCED to target the funding to a specific project or projects which will account for the match required by FEMA. Accordingly, one or more grantees may be fully funded to achieve the Global match of the 3% for all grantees.

## 2. Infrastructure

### a. Infrastructure – FEMA Eligible

CDBG funds will be used as unmet need for infrastructure projects funded under the FEMA Public Assistance or Hazard Mitigation Programs that have alternate scope or contain improved design elements not eligible under FEMA assistance creating a need to leverage additional funds in order to complete the project. Also, projects that could have qualified for FEMA Public Assistance but did not apply will not be eligible for CDBG-DR funding.

1.) **Allocation for Activity:** \$7,953,500 (*allocation fully committed as of September 19, 2014 - includes non-FEMA infrastructure*)

2.) **Eligible Applicants:** Recipients of awards from the FEMA Public Assistance Program

3a.) **Threshold Criterion:**

Receipt of an award commitment for the FEMA Public Assistance Program for infrastructure projects

3b.) **Criteria for Selection:**

i. Projects will be funded in order of priority determined by Pennsylvania Emergency Management Agency

ii. Projects that can be completed in a timely manner, within 24-36 months of application submission, will receive priority for funding.

4.) **Grant Size Limits:** Limited to 25% or less of the total for an infrastructure project in an approved FEMA Public Assistance Programs awards.

b. **Infrastructure – Non-FEMA**

This assistance is for either public or private projects that FEMA or other sources cannot fund, but which are nevertheless critical to recovery.

Examples include damaged water and sewer systems, storm drainage, levees, other flood control and protection devices, roads and bridges.

1.) **Allocation for Activity:** *(see 2.a.1. Infrastructure – FEMA Eligible)*

2.) **Eligible Applicants:** County Governments or other units of local governments that have the capacity to administer the CDBG-DR funding will be given consideration.

3a.) **Threshold Criteria:**

- i. Project will address need arising from the 2011 disasters
- ii. Project is the best alternative to resolve the need

3b.) **Criteria for Selection:**

- i. Urgency of the need for the facility; threat to health, safety, or welfare
- ii. Sufficient other local, state, or federal funds either are not available or cannot be obtained in the time frame required
- iii. Use of additional local taxes or user fees in place of the requested assistance would place undue burden on residents, especially low- and moderate income households
- iv. Likelihood that the project will be completed in a timely manner, within 24-36 months of submission of the application for funding
- v. Benefit to low and moderate income persons

All criteria will be weighted equally.

4.) **Grant Size limits:** No single project may be awarded more than \$500,000

3. **Economic Development**

a. **Business Stimulus and Resiliency**

Businesses of any size making physical improvements that mitigate or reduce the opportunity of future impacts from flooding including but not limited to elevating mechanical, electrical, installation of floodwalls may receive loans up to \$200,000 toward the cost of making such improvements. DCED reserves the right to authorize loans greater than \$200,000 under special circumstances.

Small Business owners suffering physical damage or economic loss may receive loans up to \$50,000 to provide working capital to help ensure business survival. Small business is defined as employers of less than 100 employees.

Administrators of Business Stimulus and Resiliency funds may provide technical assistance and implementation support as part of the proposed project, subject to DCED prior approval, or as a separate application activity.

1.) **Allocation for Activity:** \$2,000,000 *(allocation revised as of September 19, 2014)*

2.) **Eligible Applicants:** County Governments, County Governments applying on behalf of units of local government, Local Development Districts, Economic Development Organizations, Community Development Financial Institutions (CDFI)



3.) **Threshold Criteria:**

- i. Capability and experience with business assistance programs, especially disaster relief
- ii. Applicants will need to show that they have the following required plans adopted prior to being funded – Minority/Women Business Enterprise Plan, Section 3 Plan, and a Fair Housing Plan.
- iii. Commitment to use the following criteria for assistance to individual businesses:
  - a.) Small Business with under 100 employees that suffered physical damage or economic loss due to the 2011 disasters, maximum per business loan of \$50,000
  - b.) Business making physical improvements that reduce the opportunity for flood losses resulting from future weather related events, with maximum loan per business of \$200,000
  - c.) Commitment to re-open business within 12 month of receipt of assistance

4.) **Program Priorities:** Based upon preliminary data, the thirty-six eligible counties have been divided into three areas. Area 1 will have the highest priority, then Area 2 and finally the balance of eligible counties subject to funds available.

- i. Area 1 counties: Luzerne, Dauphin, Columbia, Bradford, Wyoming, and Schuylkill
- ii. Area 2 counties: Lycoming, Lebanon, Northumberland, York, and Philadelphia
- iii. Area 3 counties: Lancaster, Montgomery, Bucks, Sullivan, Snyder, Susquehanna, Perry, Cumberland, Montour, Chester, Berks, Delaware, Union, Northampton, Monroe, Lehigh, Adams, Huntingdon, Bedford, Juniata, Lackawanna, Mifflin, Tioga, Wayne and Pike

b. **Planning and Service**

1.) **Allocation Contingency**

DCED has set aside 10% of the total award to be reserved for LMI only benefit. This contingency may be used for a new activity or allocated to an existing activity based on unmet need.

**Allocation for Activity:** \$2,714,250

2.) **Administration**

Administration activities are limited to 5 percent of total grant amount noting that 42 U.S.C. 5306(d)(5) and (6) are waived and replaced with the alternative requirement that the aggregate total for administrative and technical assistance expenditures must not exceed 5 percent. States remain limited to spending a maximum of 20 percent of their total grant amount on a combination of planning and program administration costs.

**Allocation for Activity:** \$1,357,125

3.) **Planning**

Planning costs subject to the 20 percent cap are those defined in 42 U.S.C. 5305(a)(12): activities necessary (A) to develop a comprehensive community development plan, and (B) to develop a policy-planning-management capacity so that the recipient of assistance under this chapter may more rationally and effectively (i) determine its needs, (ii) set long-term goals and short-term objectives, (iii) devise programs and activities to meet these goals and objectives, (iv) evaluate the progress of such programs in accomplishing these goals and objectives, and (v) carry out management, coordination and monitoring of activities necessary for effective planning implementation.

- 4.) DCED must comply with 24 CFR 570.208(d)(4) when funding disaster recovery-assisted planning-only grants, or directly administering planning activities that guide recovery in accordance with the Appropriations Act. In addition, the types of planning activities that States may fund or undertake are expanded to be consistent with those of entitlement communities identified at 24 CFR 570.205.

**Eligible Applicants:** County Governments, Units of Local Governments, and Non-profit Entities

- i. Any entity seeking planning assistance will be required to submit their plans to DCED's Center for Local Government Services Planning staff for review and comment on the plans completeness.
- ii. Any entity seeking planning assistance will be required to have a certification from the unit of local government that certifies the plan will be in accordance with the local comprehensive plan.
- iii. Certain training and certification required in the implementation of program activities including but not limited to lead-based paint hazard control are included under this activity. A portion of the planning activity will fund training for contractors and other professionals involved with lead hazard/lead-based paint abatement. Building capacity for this throughout the disaster recovery area is a critical need.

**Allocation for Activity:** \$1,357,125

### C. Eligible Applicants – Housing Component

This disaster recovery funding is available to any unit of local government in the declared counties, including those that qualify as direct federal entitlement communities or urban counties under the CDBG program that were identified under the Presidential Declaration. The 36 declared counties are: Adams, Bedford, Berks, Bradford, Bucks, Chester, Columbia, Cumberland, Dauphin, Delaware, Huntingdon, Juniata, Lackawanna, Lancaster, Lebanon, Lehigh, Luzerne, Lycoming, Mifflin, Monroe, Montgomery, Montour, Northampton, Northumberland, Perry, Philadelphia, Pike, Schuylkill, Snyder, Sullivan, Susquehanna, Tioga, Union, Wayne, Wyoming and York.

DCED is required to allocate 80% of the allocation for the following five hardest hit counties (Bradford, Columbia, Dauphin, Luzerne, and Wyoming).

### D. Eligible Projects – Housing Component

Grantees may use these CDBG Disaster Recovery funds for housing activities only as described herein. These activities include:

- Housing Rehabilitation and Mitigation Measures
- Housing Reconstruction
- Downpayment Assistance
- New Housing Development

Applicants are permitted to apply for up to 2.5% for administrative expenses.

## Section III – Funding Priority and Review Process

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Applications for **non-housing related activities** will be carefully evaluated using the scoring criteria shown below. Based on the needs identified by DCED during several meetings with affected communities and other state and federal agencies, DCED will give priority consideration for funding to applications based on the following considerations:

1. Application is being submitted by a community in one of the five hardest hit Counties as defined in the Federal Register Notice – 20 points
2. The activities proposed by the community are to address the full recovery from the disaster – up to 20 points.
3. The identified benefit to low and moderate income persons – up to 30 points.
4. Capacity – The community has the staff capacity to undertake the activities in accordance with the regulations – up to 15 points
5. The ability to carry out the activities in a timely manner – up to 15 points.

Using the above criteria, DCED will award funding to those communities who have identified the greatest disaster recovery need.

DCED reserves the right to adjust any application request based on the needs, the demand and any supporting documentation.

*See Section V for Housing Component Funding Priority and Review Process.*

## Section IV – Housing Component Requirements

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### PART A – GENERAL PROGRAM GUIDELINES

The guidelines consist of General Guidelines (Part A) which were developed to provide direction for issues that affect all of state-run disaster housing programs, and the Homeowner Rehabilitation (aka Rehab) Guidelines (Supplemental Guidebook which is required to be followed with any successful application).

The General Guidelines offer a continuum of housing programs – from single and multi-family rehab to new construction. In most cases, eligible jurisdictions may apply to the State requesting funding for a mix of housing programs, as evaluated via data and specified criteria.

#### 1. PROGRAM OBJECTIVES

The primary focus of this Program is to provide relief for those people impacted by disasters while addressing recognized impediments to affirmatively furthering fair housing as required under the Fair Housing Act. Assistance will be provided under a variety of housing activities including acquisition, rehabilitation, reconstruction, new construction, demolition, elevation, hazard mitigation, and storm hardening of homeowner and rental housing units.

- a. The primary objective of the Program is to provide decent, safe, and sanitary housing in the disaster-impacted areas through the provision of activities designed to mitigate damage that occurred as a result of this, as well as any future disaster.

- b. A second objective is to ensure that the housing needs of very low, low and moderate-income households are assisted with housing in no less than the proportion to the relative percentages of the overall populations which suffered housing damage within the communities being served.
- c. A third objective is to prioritize the provision of decent, safe and sanitary housing for elderly and disabled populations with an emphasis on housing choice and design to reduce maintenance and insurance costs as well as provide for the provision of independent living options.

## 2. DEFINITIONS

**Acquisition** – The utilization of CDBG-DR funds to acquire real property. Acquisition-only is typically not considered a complete activity in the Program and must be combined with another eligible use (i.e. new construction).

**Demolition** – Clearance and proper disposal of dilapidated buildings and improvements.

**Duplication of Benefits** – The Robert T. Stafford Disaster Assistance and Emergency Relief Act (Stafford Act) prohibits any person, business concern, or other entity from receiving financial assistance from CDBG Disaster Recovery funding with respect to any part of a loss resulting from a major disaster as to which he has already received financial assistance under any other program or from insurance or any other source.

**Family** – A household composed of two or more related persons. The term family also includes one or more eligible persons living with another person or persons who are determined to be important to their care or wellbeing.

**FEMA-Designated High Risk Area:** Areas designated by FEMA as vulnerable to significant wind and/or storm surge damage and areas located in 100-year flood zones. These areas will be identified during the environmental review process for each participating jurisdiction.

**Homebuyer Assistance Activity** – The utilization of CDBG Disaster Recovery funding for up to 100% of the required down payment, reasonable closing costs, principal write-down assistance, subsidization of interest rates, and private mortgage insurance to facilitate the purchase of a new or existing home.

**Homeowner Assistance Activity** – The utilization of CDBG-DR funding to rehabilitate or reconstruct disaster -damaged homes in order for the applicant to remain in the original home at the original home site. The home to be assisted must have been owner-occupied and principal housing at the time of the storm.

**Household** – A household is defined as all persons occupying the same housing unit, regardless of their relationship to each other. The occupants could consist of a single family, two (2) or more families living together, or any other group of related or unrelated persons who share living arrangements. For housing activities, the test of meeting the low to moderate income objective is based on the LMI of households.

**Individual Mitigation Measures (IMM)** – Activities designed to mitigate and/or reduce risk beyond the pre-disaster condition of a housing unit when the activities are above and beyond federal, state, or local construction or code requirements. In accordance with HUD's guidance, repair and rehabilitation of housing units, and the payment of flood insurance are not IMM activities. Examples of IMM activities include elevation above the base flood elevation level, or the addition of storm shutters, disaster proof windows, roof straps, etc. as long as those improvements are not required to comply with local code requirements and did not exist on the housing unit prior to the disaster damage.

**Low to Moderate Income (LMI) National Objective** – Activities which benefit households whose total annual gross income does not exceed 80% of Area Median Income (AMI), adjusted for family size. Income eligibility will be determined and verified in accordance with 24 CFR Part 5 requirements using procedures as stated in the Technical Guide for Determining Income and Allowances, 3rd Edition (HUD-1780-CPD). The most current income limits, published annually by HUD, shall be used by the sub recipient to verify the income eligibility of each household applying for assistance at the time assistance is provided.

- **Very low:** Household's annual income is up to 30% of the area median family income, as determined by HUD, adjusted for family size
- **Low:** Household's annual income is between 31% and 50% of the area median family income, as determined by HUD, adjusted for family size
- **Moderate:** Household's annual income is between 51% and 80% of the area median family income, as determined by HUD, adjusted for family size
- **Middle:** Funding may be used to assist households with incomes at 80%-120% median family income, however these units will not qualify as meeting the low –and –moderate income (lmi) benefit national objective.

**Manufactured Housing Unit (MHU)** – A structure, transportable in one or more sections which, in the traveling mode is eight body-feet or more in width, or forty body-feet or more in length, or when erected on site, is at least 320 square feet, and which is built on a permanent chassis and is designed to be used as a dwelling with or without a permanent foundation when connected to the required utilities, and includes the plumbing, heating, air-conditioning, and electrical systems contained therein.

“Manufactured Housing” or “Manufactured Home.” a manufactured home as defined under Section 603 of the National Manufactured Housing Construction and Safety Standards Act of 1974 (Public Law 93-383, 42 U.S.C. § 5402).

**Modular Housing** – A home built in sections in a factory to meet state, local, or regional building codes. Once assembled, the modular unit becomes permanently fixed to one site.

Industrialized (modular) housing – As defined under Act 70-1972, § 1651.3, Industrialized housing means any structure designed primarily for residential occupancy which is wholly or in substantial part made, fabricated, formed or assembled in manufacturing facilities for installation, or assembly and installation on the building site and meeting the certification requirements under 12 PA. Code § 145.1-122.

**Needs Assessment** – An assessment of the community's needs based on local surveys, FEMA data, which should include the percent of homes damaged or destroyed by the flooding; number of units in need of assistance; identify the low and moderate income areas of the municipality; number of minority individuals within the community. The needs assessment will also need to include information on concentrations limited English proficiency populations.

**New Construction** – A replacement home that substantially exceeds the original footprint on the existing lot (if permitted) or the construction of a new home in a new location.

**Program Design** – The selection and development of programs and activities based on a Needs Assessment. The Program Design must include the type of housing activities that will be offered by the sub recipient, as well as how the Program will be marketed, how Fair Housing objectives will be achieved, and how funding will be prioritized as determined through a local Needs Assessment.

**Reconstruction** – Demolition and re-building of a stick-built or modular housing unit on the same lot in substantially the same footprint and manner. Activity also includes replacing an existing substandard manufactured housing unit (MHU) with a new or standard MHU or stick- built/modular housing unit. The number of units on the lot may not increase and the total square footage of the original, principal residence structure to be reconstructed may not be substantially exceeded; however, the number of rooms in a unit may be increased or decreased.

**Rehabilitation** – Repair or restoration of housing units in the disaster-impacted areas to applicable construction codes and standards.

**Rental Activity** – Acquisition, rehabilitation, or construction of affordable rental housing resulting in structures where at least 51% of units are occupied by LMI persons. Income and rent restrictions apply to the rental units to be built or assisted with CDBG-DR funds.

**Slum and Blight National Objective** – Activities that help to eliminate slums and blighted conditions. Use of this National Objective is limited due to its inability to contribute towards the overall requirement for 50% of funding to benefit low to moderate- income beneficiaries. Slum and Blight activities must meet the criteria of one of the three following categories:

- Prevent or eliminate slums and blight on an area basis;
- Prevent or eliminate slum and blight on a spot basis; or
- Be in an urban renewal area

**Subrecipient** – Units of local governmental shall have the meaning provided in in Section 102(a)(1) of the Act). The definition of subrecipient does not include procured contractors providing supplies, equipment, construction, or services, and may be further restricted by Program Rules or other guidance including applications. *NOTE: The term “applicant” in the guidelines is interchangeable with the word subrecipient.*

**Urgent Need National Objective** – An urgent need that exists because existing conditions pose serious and immediate threat to health/welfare of community, the existing conditions are recent or recently became urgent (typically within 18 months), and the subrecipient cannot finance the activities on its own because other funding sources are not available.

### 3. TARGETING COMMUNITIES

Subrecipients must assess the most impacted areas/income brackets in their municipality and establish a process to ensure the LMI categories required by the State are met. Subrecipients may provide an additional amount of funds to the lowest income levels if desired.

As called for in Part A of the General Program Guidelines, an affirmative marketing plan will be required for all assisted rental units and homebuyer activities. Subrecipients will need to conduct outreach to the impacted communities in order to apply for the disaster recovery program.

### 4. PROGRAM REQUIREMENTS

- a. All housing activities must meet one of the three National Objectives required under the authorizing statute of the CDBG program:
  - Benefit Low to Moderate Income (LMI) persons;
  - Aid in the prevention or elimination of slums or blight (Slum and Blight); and
  - Meet a need having a particular urgency (Urgent Need).
- b. Subrecipient must conduct a Needs Assessment to determine the types of programs it will offer and the Needs Assessment will become the basis for Program Design. The Needs Assessment will determine the activities to be offered, the demographics to receive concentrated attention and the target areas and populations to be served. The subrecipient must demonstrate how the programs and activities selected for those areas will provide assistance for the identified areas of greatest need including protected classes under the federal and state Fair Housing laws.
- c. Subrecipient’s obligations are as follows:
  - 1.) The Disaster Recovery proposed performance standards will require that within a period of no more than eighteen months from the date of commencement of the Program, which is the start (effective) date of the contract between the commonwealth and the subrecipient, each subrecipient will have identified sufficient eligible beneficiaries such that the subrecipient will be able to provide reasonable assurance that the subrecipient will be able to expend all applicable funds within its established benchmarks.

- 2.) The Needs Assessment and analysis of HUD/FEMA demographic disaster victim data will dictate the proportions of funding that must be set aside to benefit each LMI economic group. FEMA data may not be sufficient alone and must be adjusted with other eligible sources of data. Factors for this adjustment should be supplemented by local studies or other available documentation.
- 3.) Program applicants applying for disaster assistance will be processed by the subrecipient and must meet certain eligibility standards to qualify for assistance. Eligibility standards are further discussed in the activity-specific housing guidelines.
- 4.) All sites must undergo a complete environmental review prior to any commitment of funds. An environmental review consists of a statutory checklist of required review items and contains all supporting documentation. Properties with environmental conditions will not be permitted to proceed under housing activities unless the condition is corrected. No work can start on a site until the environmental review is complete. Subrecipients will be required to obtain a Request for Release of funds approval for each activity prior to entering into funding commitments with applicants for housing assistance.
- 5.) For assistance activities, it must be demonstrated that the damage or destruction to structures was a direct result of disaster. Disaster damage can be documented as follows:
  - i. FEMA, SBA or Insurance award letters.
  - ii. In the event that the above-referenced documentation is not available, an inspection report (complete with photos of the damage and a written assessment of the damage) from a damage assessment conducted by a qualified inspector supplied by the subrecipient that certifies that the damage occurred as a result of the disaster will be acceptable.
  - iii. In the event that FEMA, SBA or Insurance award letters are not available and an inspection report is inconclusive as to the cause of the damage, the subrecipient may provide alternative evidence, such as neighborhood-level media reports or documentation of damage by disaster response/relief organizations on a case-by-case basis to DCED for review and approval.
  - iv. If an applicant was denied assistance by FEMA, assistance through the CDBG Disaster Recovery Program may still be available. Subrecipients are prohibited from refusing housing assistance to applicants solely on the basis that the applicants were denied assistance by FEMA.

**5. SIZE OF UNIT**

HUD guidelines provide occupancy policies that allow for two persons per bedroom as reasonable. Exceptions to this standard are based on the following factors:

No more than two persons are required to occupy a bedroom.

- a. Persons of different generations (i.e. grandparents, parents, children), persons of the opposite sex (other than spouses/couples), and unrelated adults are not required to share a bedroom (An adult is a person 18 years old or older).
- b. Couples living as spouses (whether or not legally married) must share the same bedroom for issuance size purposes.
- c. A live-in aide who is not a member of the family is not required to share a bedroom with another member of the household. Note: The need for a full time live-in aide must be documented. A waiver may be approved as outlined in the section on Issuance Size Exceptions.

- d. Individual medical problems (e.g. chronic illness) sometimes require separate bedrooms for household members who would otherwise be required to share a bedroom. Documentation supporting the larger sized unit and related subsidy must be provided and verified as valid. A waiver may be approved as outlined in the section on Issuance Size Exceptions.
- e. In most instances, a bedroom is not provided for a family member who will be absent most of the time, such as a member who is away in the military. If individual circumstances warrant special consideration, a waiver may be approved as outlined in the section on Issuance Size Exceptions.
- f. When determining family issuance size, include all children expected to reside in the unit in the next year as members of the household. Examples include, but are not limited to, the following:
  - 1.) Adoption: Children who are in the process of being adopted are included as members of the household.
  - 2.) Pregnant women: Children expected to be born to pregnant women are included as members of the household.
  - 3.) Foster Children: Foster children residing in the unit along with families who are certified for foster care and are awaiting placement of children are included as members of the household. If children are anticipated to occupy the unit within a reasonable period of time, they must be considered when determining the issuance size.
  - 4.) Joint/Shared Custody Arrangements: In most instances children in joint/shared custody arrangements should occupy the unit at least 50% of the time. However if individual circumstances merit special consideration, a waiver may be approved as outlined in the section on Issuance Size Exceptions. The custody arrangement may be verified by the divorce decree/legal documents or by self-certification.
  - 5.) Custody of Children in Process: Children whose custody is in the process of being obtained by an adult household member may be included as members of the household. Evidence that there is a reasonable likelihood that the child will be awarded to the adult (i.e. within three months) must be provided in order for such child to be included.
  - 6.) Children Temporarily Absent from Household:
    - i. Children temporarily absent from the home due to placement in foster care may be included as members of the household. Evidence that there is a reasonable likelihood that the child will return to the household (i.e. within three months) must be provided in order for such child to be included.
    - ii. Children who are away at school, but live with the family during school recesses are included as members of the household.

## 6. **AFFIRMATIVE MARKETING PLAN**

Subrecipients administering the CDBG-DR Program must be committed to affirmatively furthering fair housing through established affirmative marketing policies. Affirmative marketing efforts for the disaster funding will include the following:

- a. An Affirmative Marketing Plan (AMP), based on the U.S. Department of Housing and Urban Development (HUD) regulations, will be required for all rental and homebuyer programs financed or assisted with CDBG-DR funding. The AMP must be submitted to DCED for review prior to committing any funds to the project.



Multifamily rental programs must develop an Affirmative Marketing Plan for each development receiving CDBG-DR funding. The plan, pursuant to federal regulations, will outline strategies to inform the public about the housing opportunities, requirements/practices that the owner must adhere to in executing the Affirmative Marketing Plan, procedures that will be followed in soliciting applications, and a description of records that will be maintained and made available for review. Notice must be made to Public Housing Authorities in the region in order to inform households applying for disaster assistance that permanent housing is available.

- b. The goal is to ensure that eligible persons from all racial, ethnic, national origin, religious, familial status, the disabled, “special needs,” gender groups, and/or other populations least likely to apply, are:
  - Fully informed of vacant units available for sale and / or rent.
  - Encouraged to apply for purchase, rehabilitation, and / or rent.
  - Given the opportunity to buy and / or rent the unit of their choice.
  - Given the opportunity to rehabilitate their primary residence, which sustained damages due to the disaster and/or its after-effects.
- c. Program participants will be informed about available opportunities and supporting requirements via counselors, printed and electronic materials, publications, direct contact, workshops/seminars, and through the placement of flyers/posters in public facilities. Particular emphasis should be focused on successful outreach to LMI areas and those communities with minority or limited English proficiency concentrations that were affected by the disaster.
- d. In addition to marketing through widely available media outlets, efforts will be taken to affirmatively market the CDBG-DR Program as follows:
  - Advertise with the local media outlets, including newspapers and broadcast media, which provide unique access for persons who are considered members of a protected class under the Fair Housing Act.
  - Include flyers in utility and tax bills advertising the Program.
  - Reach out to public or non-profit organizations and hold/attend community meetings.
  - Other forms of outreach tailored to reaching the eligible population, including door to door outreach if necessary.
- e. Applications and forms will be offered in English and other languages prevailing in the region. In addition every effort will be made to assist such applicants in the application process.
- f. In addition, measures will be taken to make the Program accessible to persons who are considered members of a protected class under the Fair Housing Act by holding informational meetings in buildings that are compliant with the Americans with Disabilities Act (ADA), providing sign language assistance when requested, and providing special assistance for those who are visually impaired when requested.
- g. Documentation of all marketing measures used, including copies of all advertisements and announcements will be retained and made available to the public upon request.
- h. The subrecipient will be required to use the Fair Housing logo in Program advertising, post Fair Housing posters and related information, and, in general, inform the public of its rights under Fair Housing regulations law.

## PART B – HOUSING PROGRAMS

The Department encourages the provision of adequate, flood-resistant housing for all income groups that lived in the disaster affected counties.

### 1. ELIGIBLE PROJECTS

Subrecipients may use the CDBG-DR Funds for the following efforts:

- Existing Owner-Occupied Housing Rehabilitation (including hazard mitigation measures)
- Existing Renter-Occupied Housing Rehabilitation (including hazard mitigation measures)
- Down Payment Assistance
- New Housing Construction

#### a. Housing Repair/Rehabilitation/Reconstruction

Owner-occupied homes and rental units not participating in the Pennsylvania Emergency Management Agency's housing buyout program may receive assistance to make needed repairs and rehabilitation. Within this overall repair/rehabilitation program, different requirements will apply, depending upon the cost of the needed/requested repairs. The overall maximum for any assistance will be \$150,000 per unit, with special review for any assistance exceeding \$80,000 per unit. All housing improvements must primarily focus on making homes habitable and meeting the applicable building code (including improvements that make homes more resistant to future flood damage). The improvements beyond those required to meet property standards (building codes) may include modest amenities and aesthetic features that are in keeping with housing of similar type in the community and must avoid luxury improvements, such as airjet tubs, saunas, outdoor spas, and granite countertops, etc.

It is also important to note that all lead-based paint requirements will apply to any housing repair/rehabilitation, regardless of the cost or level of rehabilitation.

The income limits to be utilized for the CDBG-DR Single Family Homeowner Program are the current income limits established yearly by HUD for the Section 8 Housing Program. Subrecipient must always use the most recent income limits and will be monitored for compliance. All beneficiaries of the Homeowner Program must meet a National Objective. The Low to Moderate Income (LMI) National Objective is defined as providing a benefit to households at incomes of up to 80% of the locality's median income as computed on the most current HUD Section 8 Income Limits. Any activity carried out with CDBG funds that involves acquisition, rehabilitation or reconstruction of property to provide housing is considered to benefit LMI persons only to the extent such housing will, upon completion, be occupied by such persons. The verification of eligibility, duplication of benefit (DOB) and estimated calculation of unmet need will be conducted by program administrators. DCED staff will verify and monitor the subrecipients' DOB process.

Households, whose homes were destroyed or damaged beyond reasonable repair maybe be offered assistance for down payment for replacement housing.

#### b. Down Payment Assistance

CDBG-DR funds may be used to provide down payment assistance to those household whose homes were destroyed or damaged beyond reasonable repair for housing replacement. At least 80% of the funds must be used to assist low-and-moderate-income individuals (80% or below of AMI). If downpayment assistance is proposed for funding, the subrecipient must include the program design with the funding request. The program design must identify who is eligible and the criteria for awarding downpayment assistance to program applicants.

WAIVER: DCED requested and was approved for a Waiver to permit payment of up to 100 percent of the housing down payment cost. Downpayment requirements will be determined by the local lending institutions underwriting requirements.

Applicants are also encouraged to submit a request for elevation and mitigation measures to assist those homeowners who may not be able to find other suitable housing or have other alternatives available other than elevating the existing unit.

**1). Housing Repair, Rehabilitation, Reconstruction and Mitigation Improvements**

- i. Allocation for Activity: \$9,660,501
- ii. Eligible Applicants: Units of local government located in the 36 counties, which are part of the 2011 presidentially declared disasters in 2011 as identified in Section II Eligibility, Part A Eligible Applicants, of these guidelines.
- iii. Criterion for Selection: Projects will be funded in order of priority determined by scoring criteria as identified in Section V Funding Priority and Review Process.
- iv. Grant Size Limits: The maximum amount available to units of local government for housing rehabilitation activities is \$500,000.

**2.) Down Payment Assistance**

- i. Allocation for Activity: \$600,000
- ii. Eligible Applicants: Units of local government located in the 36 counties, which are part of the 2011 presidentially declared disasters in 2011 as identified in Section II Eligibility, Part A Eligible Applicants, of these guidelines.
- iii. Criterion for Selection: Projects will be funded in order of priority determined by scoring criteria as identified in Section V Funding Priority and Review Process.
- iv. Grant Size Limits: The maximum amount available to units of local government for down payment assistance is \$100,000.

**c. New Housing Production (New Construction)**

CDBG-DR funds may be used to construct new housing units. Funds will be allocated to subrecipients; subrecipients may provide assistance to developers of new affordable rental and owner-occupied housing. These units will replace housing lost due to the disaster or where it has been identified that a lack of affordable housing exists, the subrecipient may request funding for affordable housing production. The assistance may also be used for streets, sewer and water extensions linked to development of replacement housing. Priority will be given to individual projects meeting one or more of the following criteria:

- 1.) Transitional housing (temporary housing providing no more than 24 months of residency) meeting needs of homeless individuals and families (including subpopulations)
- 2.) Prevention of low-income individuals and families with children (especially those with incomes below 30 percent of median) from becoming homeless
- 3.) The special needs of persons who are not homeless but require supportive housing as identified in accordance with 24 CFR 91.315(e) or 91.215(e)

One-hundred percent (100%) of the funds must be used to assist low-and moderate-income individuals.

- i. Allocation for Activity: \$2 million
- ii. Eligible Applicants: Units of local government located in the 36 counties, which are part of the 2011 presidentially declared disasters in 2011 as identified in Section II Eligibility, Part A Eligible Applicants, of these guidelines.
- iii. Criterion for Selection: Projects will be funded in order of priority determined by scoring criteria as identified in Section III Funding Priority and Review Process.
- iv. Grant Size limits: \$50,000 per unit with a maximum per development site of \$500,000
- v. Estimated Number Served: 40 units

**Threshold criterion:**

- i. All projects will be located in Presidential-declared disaster counties
- ii. All units must be 80% of income median or below

**Criteria for Selection:**

- i. Extent of loss of housing units in the neighborhood or community, especially those units affordable to low- and moderate income households
- ii. Demonstrated strategies that direct disaster survivors to become homeowners or renters in the new housing
- iii. Capability and experience of the applicant
- iv. Program subsidy cost per unit
- v. Time frame for completion of housing units
- vi. Proportion of units affordable to lowest income households
- vii. Project utilizing the Low-Income Housing Tax Credit program administered by the Pennsylvania Housing Finance Agency

All criteria will be weighted equally.

**Underwriting Requirements Homebuyer Units**

To balance the housing priorities, the DCED has developed underwriting guidelines, which are based on the following key principles.

- Assisted buyers should have good credit and qualify for lending products on par with those offered to credit-worthy unassisted buyers in the local market. Buyers who can only qualify for subprime loans are not only less likely to sustain homeownership but also require larger subsidies, reducing the impact of the CDBG-DR assistance.
- Assisted buyers should make reasonable and meaningful contributions to their home purchase in terms of both up-front investments and monthly payment without being overburdened by their monthly payment or left without cash reserves after closing. CDBG-DR assistance should not be used to artificially reduce buyers' payments, particularly when a buyer's ability to qualify for a loan is the result of excessive consumer debt.

## Loan Expectations

Use of these funds for mortgage loans should meet the following standards:

- The loan must be a “Qualified Mortgage” under the requirements of the Consumer Protection Financial Bureau (CFPB) outlined at 12 CFR 1026.43(e). Qualified Mortgages, among other features, limit total points and lender fees to reasonable levels. Qualified Mortgages also strictly limit pre-payment penalties and contain many other features intended to protect consumers.
- Interest rates must be competitive and must NOT be a “Higher Priced” loan as defined by Consumer Financial Protection Bureau, (CFPB). Higher priced loans are those that exceed the Average Prime Offer Rate by more than 1.5% as of the date of the loan’s rate lock. Loans can be checked against the Average Prime Offer Rate by visiting the following website:  
<http://www.ffiec.gov/ratespread/newcalc.aspx> DCED encourages CDBG-DR subrecipients to compare PHFA homebuyer interest rates with other private lenders.
- Lending products should be fully amortizing 30-year fixed rate loans. While some buyers may prefer shorter (e.g. 15 year) loans, the subrecipient should only consider such loans on an exception basis if it determines that the buyer’s payment is sustainable and that the use of a shorter term product does not require additional CDBG-DR assistance compared to a 30-year loan.
- Loan products used must generally allow loan-to-value (LTV) ratios of at least 95%. While assisted buyers are not required to be approved for loan amounts equal to 95% of the purchase price, buyers who use more restrictive lending products (such as those limiting the LTV to 80%) will not receive CDBG-DR assistance toward their purchase if they could otherwise afford the monthly payment on a larger loan. In short, prospective homebuyers should obtain the largest loan they can reasonably afford, and the subrecipient shall not subsidize purchases more deeply just to avoid mortgage insurance on higher LTV lending products.

## Other Requirements

Successful applicants under the CDBG-DR program funds for any housing assistance are required to abide by the revised Housing Rehabilitation Guidebook which is available on DCED’s website at the following link: [www.newPA.com](http://www.newPA.com), click on the *Federal Resource Library* link.

## Section V – Housing Component Funding Priority and Review Process

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Applications for housing related activities will be carefully evaluated using the scoring criteria shown below. Based on the needs identified by DCED during several meetings with affected communities and other state and federal agencies, DCED will give priority consideration for funding to applications based on the following considerations:

### **Housing Rehabilitation, Reconstruction (owner occupied and rental )and Down Payment Assistance**

1. Application is being submitted by a community in one of the five hardest hit Counties as defined in the Federal Register Notice, published April 16, 2012 and as identified in Section II Eligibility, Part A Eligible Applicants, of these guidelines —30 points
2. The activities proposed by the community are to address full recovery from the disaster, thus correcting all damages from any flooding, including measures that mitigate the impact of future disasters—25 points
3. The subrecipient has committed at least 80% of the funds to benefit low-and moderate-income persons—30 points
4. Capacity/Timeliness—The community has the staff capacity to undertake the activities in accordance with the regulations and complete the activities in a timely fashion—15 points

Using the above criteria, DCED will award funding to those communities who have identified the greatest disaster recovery need.

DCED reserves the right to adjust any application based on the needs, the demand, and any supporting documentation.

### **New Housing Production**

1. Application is being submitted by a community in one of the five hardest hit Counties as defined in the Federal Register Notice, published April 16, 2012 and as identified in Section II Eligibility, Part A Eligible Applicants, of these guidelines —30 points
2. The activities proposed by the community are to address full recovery from the disaster (as demonstrated by a strategy that covers the items listed below ), including measures that mitigate the impact of future disasters—25 points
  - a. Extent of loss of housing units in the neighborhood or community, especially those units affordable to low- and moderate income households
  - b. Demonstrated strategies that direct disaster survivors to become homeowners or renters in the new housing
  - c. Capability and experience of the applicant
  - d. Program subsidy cost per unit
  - e. Time frame for completion of housing units
  - f. Proportion of units affordable to lowest income households
  - g. Project utilizing the Low-Income Housing Tax Credit program administered by the Pennsylvania Housing Finance Agency

3. Target population of special needs housings – transitional housing, housing to prevent homelessness, or special needs populations requiring supportive services – 30 points
4. Capacity/Timeliness—The community has the staff capacity to undertake the activities in accordance with the regulations and complete the activities in a timely fashion—15 points

Using the above criteria, DCED will award funding to those communities who have identified the greatest disaster recovery need.

DCED reserves the right to adjust any application based on the needs, the demand, and any supporting documentation.

## **Section VI – Application Procedures**

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### **A. Forms**

The following forms make up the application package for the Disaster Recovery Grant:

1. Single Application for Assistance
2. General Application Description/Certifications
3. A resolution of the local governing body authorizing the application submission.
4. Statement of Assurances
5. Management Plan/Local Staff Capacity
6. Activity Description - attached
7. LMI Principal Benefit Determination
8. CDBG Budget Summary
9. Other Supporting Documents – Maps, Census Data or Survey Data are required for all activities benefiting low and moderate income
10. Federal Register April 16, 2012 Allocations, Common Application, Waivers and Alternative Requirements for CDBG-Disaster Recovery Grantees

Copies of the application package are available on the Department's web site [www.newPA.com](http://www.newPA.com). For any questions regarding the application process or application kit, please contact DCED via e-mail at [denrico@pa.gov](mailto:denrico@pa.gov) or by calling 717.720.7343 or 717.737.5327.

Applicants should prepare a Single Application for Assistance. Key forms in the application package are items #6 Activity Description and #9 Other Supporting Documents, where the applicant should describe the impact the identified disaster had on the community, what the greatest remaining need for funding is, how the funds being applied for will alleviate the impact of the disaster, especially those of low and income families/households.

Applicants should use the narrative portion of # 6, the Activity Description form to explain how their proposed project will be accomplished in an expedited manner. Applicants are encouraged to provide all the supporting documentation necessary to support the request. Applicants should also carefully read the Federal Register Notices and DCED's Action Plan to fully understand the requirements and waivers that govern the use of these funds.

## B. CDBG-DR Program and Construction Requirements

DCED will impose planning and floodplain management requirements of all municipalities assisted through CDBG-DR funds. Specifically, any local government applicant seeking funds must document the following:

- Project is consistent with county comprehensive plan and applicable local planning and zoning ordinances
- Community must demonstrate that its floodplain management ordinance and mapping have been updated
- Project will adhere to the Pennsylvania Uniform Construction Code with local amendments as applicable. If construction work is exempt from the building code, the applicant must comply with DCED's minimum rehabilitation standards to assure the work will bring the home up to minimum code compliance

## Section VII – Program Requirements and Waivers

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The distribution of these Disaster Recovery Funds is subject to all the usual rules and regulations of the Community Development Block Grant program. A complete list of the waivers approved to date can be found in the April 16, 2012 Federal Register Notice, page 22583. Many exceptions apply and key ones are listed below:

1. National Objective waiver allowing the overall benefit criteria, normally 70% under the Community Development Block Grant Program, is 50% for the Disaster Recovery Program. At least 50 % of the funds must be used for activities that benefit low and moderate income persons. The other 50% can be used for activities that eliminate slums and blight or meet an urgent need.
2. Waived the requirement to distribute funds to units of local governments.
3. Consistency with the applicants Consolidated Plan is waived, but only until the first update to the consolidated plan.
4. Citizen participation requirements are replaced with an alternative that does not mandate public hearings but does require a reasonable opportunity for citizen comment and ongoing citizen access to how the grants funds are being used.
5. A limited waiver of the relocation requirements.
6. Limited waiver of anti-pirating provisions for business assistance
7. Waiver to allow new housing construction
8. A regulatory waiver allows the distribution of these funds by states to direct federal entitlement communities and urban counties, entities that normally do not participate in the State CDBG Program.

## A. Program Income

Any program income received by a local grantee as a result of disaster recovery grant activities can be retained by the grantee, with written DCED concurrence, only if it is being used for the same activity from which the program income was derived and an unmet need exists. If the grantee cannot document an unmet need, program income will be returned to the commonwealth and reallocated to an area of need.



Any program income generated after grant closeout, DCED will require sub-recipients in non-entitled areas to report on program income to the Department. For any direct federal entitlement community, that accumulates program income after grant closeout will report the receipt of program income directly to HUD.

## **B. Administrative Costs**

Communities applying for these funds can use two and one half [2.5] percent of the total amount of Disaster Recovery Grant funds awarded for administrative costs. DCED will utilize two and one half [2.5] percent for administrative costs.

## **C. Reporting**

In allocating these funds, Congress requested quarterly reports using an online Disaster Recovery Grant Reporting system.

## **D. Matching Funds Requirement**

For the activities under this application, there is no match requirement. However, applicants are encouraged to leverage other funds or services in the administration of this program.

## **E. Deadlines**

The deadline for local governments to submit an application for funding consideration is August 23, 2013.

Applications should be submitted to:

Department of Community and Economic Development  
Office of Community Development – CDBG-Disaster Recovery Grant  
400 North Street, 4th Floor  
Commonwealth Keystone Building  
Harrisburg, PA 17120-0225

e-mail: [denrico@pa.gov](mailto:denrico@pa.gov)

DCED will review all complete applications within 30 days of the deadline and grant award notices will be issued within 60 days of submission of a complete grant application.

## **F. Contract Period**

The contract period for contracting and expending 100% of the funds will be 48 months.

## **G. Procedures for Accessing Funds**

Following acceptance of the application, a grant agreement will be sent to the applicant for execution.

Grantees must at a minimum, invoice the department on a quarterly reimbursement basis, but may invoice on a monthly reimbursement basis if needed. Submission of invoices shall only be on the official CDBG-DR Invoice and emailed or mailed to the Center for Community Financing.

## H. Audit Requirements

Activities that are being applied for will be funded in whole or in part with federal funds. All successful applicants must comply with all federal and state audit requirements including: the *Single Audit Act, as amended, 31 U.S.C. 7501 et. seq.*; Office of Management and Budget (OMB) Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, as amended; and any other applicable law or regulation and any amendment to such other applicable law or regulation which may be enacted or promulgated by the federal government.

## CDBG-DR Housing Application Contents

Please ensure that all the following information is included with the application.

**INCLUDE THIS DOCUMENT WITH YOUR APPLICATION!**

*Please place the information in the application in the following order so that the DCED - CCF staff can review the information efficiently. Use tabs or some other mechanism (tabs are preferred) to separate appendices and number pages for easy referencing.*

APPLICANT NAME:

- ☐ **Applicant Information (Cover page) - 3 pages**
  - ☐ **MAKE THIS THE FIRST 3 PAGES OF THE APPLICATION**
  - ☐ All blanks must be completed
- ☐ **Statement of Assurances**
  - ☐ Signed by Chief Elected Official
- ☐ **Disclosure Report**
- ☐ **DCED Land Use Implementation**
- ☐ **Duplication of Benefits**
- ☐ **Management Plan/ Local Capacity**
  - ☐ Identifies key staff and tasks necessary to complete the project
  - ☐ Sub-recipient Information (if applicable)
    - ☐ Draft sub-recipient agreement (if applicable)
    - ☐ Sub-recipient not-for-profit status documentation, including Federal designation from the IRS and PA Dept. of Revenue certification. DCED staff will check the status of good standing with the Secretary of State.
- ☐ **Citizen Participation**

Include all public hearing documentation:

  - ☐ Original publisher's affidavits for public meetings
  - ☐ Were ads published at least 5 days prior to meeting?
  - ☐ Attach signed minutes of public hearing
  - ☐ Attach list of attendees for hearing
  - ☐ Copy of response(s) to comments and/or complaints (if applicable)
  - ☐ Copy of Four Factor Analysis and (if applicable) Language Access Plan
- ☐ **Activity Description/Completion Timetable**
  - ☐ Completion within 24-36 months of grant award
  - ☐ Scope of work
  - ☐ Detailed map of Service Area (including street names)
  - ☐ Unmet Needs Analysis
  - ☐ Flood plain map, if located in 100-year flood plain
- ☐ **Activity /Project Budget**
  - ☐ Are calculations correct on project budget?
  - ☐ Is detailed budget included?
  - ☐ Does detailed budget break out CDBG, Local, etc?
  - ☐ Do budget figures agree?
  - ☐ Figures correspond to amounts listed on cover page
  - ☐ Maps
    - ☐ Boundaries of jurisdiction shown
    - ☐ Project area shown as well as service area
    - ☐ Service area corresponds to survey area
  - ☐ Income Survey information
    - ☐ Description of survey methodology
    - ☐ Copy of sample survey form
    - ☐ Copies of written survey material (instructions, etc.)
    - ☐ Map of survey area
    - ☐ Survey results analysis form
  - ☐ Slum and Blight Declaratory Resolution (if applicable)

☐ **Readiness Information**

- ☐ Readiness to proceed certification, signed in all appropriate places
- ☐ Financing information/local match documentation
- ☐ Municipal Resolution authorized by governing body authorizing application
- ☐ Written statement from Chief Financial Officer stating funds are available and have been dedicated to this project
- ☐ Environmental Review
- ☐ Site Control information
- ☐ Permit information

☐ **Other Information**

- ☐ Displacement Assessment
- ☐ Displacement Plan
- ☐ LMI Principal Benefit
- ☐ Budget Summary

ARCHIVED

## Single Application

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To apply for funding, the applicant must submit the electronic on-line DCED Single Application for Assistance located at [www.esa.dced.state.pa.us](http://www.esa.dced.state.pa.us). If the program you are applying under requires multiple copies of the application, they may be sent via US Mail with the hard-copy of the signature page that accompanies the application. If addenda are required, it may be attached electronically to the application on the Addenda tab, or submitted via US Mail with the Signature page. Please reference the Single Application number on any documents sent with the signature page.



## APPLICANT INFORMATION

### COMMUNITY DEVELOPMENT BLOCK GRANT DISASTER RECOVERY PROGRAM

1. CDBG-DR PROGRAM YEAR:

2. APPLICATION DEADLINE DATE:

3. APPLICANT'S NAME		COUNTY	ON BEHALF OF:
4. DUNS NUMBER:	5. FEDERAL EMPLOYER IDENTIFICATION NUMBER:		6. CCR EXPIRATION DATE:
7. APPLICANT STATUS - UNIT OF LOCAL GOVERNMENT (CHECK BOX) <input type="checkbox"/> Municipal <input type="checkbox"/> Joint Municipal <input type="checkbox"/> County Only <input type="checkbox"/> County "On Behalf Of"		7A. OTHER - SPECIFY: <input type="checkbox"/> Local Development District <input type="checkbox"/> Economic Development Organization <input type="checkbox"/> Community Development Financial Institution <input type="checkbox"/> Other: _____	
8. CHIEF ELECTED OFFICIAL OF APPLICANT (NAME, TITLE, ADDRESS, ZIP CODE, TELEPHONE)		9. GRANT ADMINISTRATOR (NAME, TITLE, ADDRESS, ZIP CODE, TELEPHONE)	

## 10. CDBG-DR 20\_\_\_\_ PROGRAM SUMMARY

11. ACTIVITIES. *Briefly describe activities to be undertaken and municipality(ies) or neighborhood(s) where located.*

## 12. FUNDING

TYPE	AMOUNT	SOURCE
A. CDBG-DR		
B. Other State		
C. Other Federal		
D. Local		
E. Other/Private		
F. Program Income (CDBG)		
G. Total Project Cost (A-F)		

**APPLICANT INFORMATION | COMMUNITY DEVELOPMENT BLOCK GRANT – DISASTER RECOVERY PROGRAM**
**13. Certification of Mandatory Tap in Fees:**

As Chief Elected Official of a municipality in which CDBG-DR funds will be used for the extension of water and/or sewer service, I hereby certify that said municipality will, prior to the execution of a construction contract for such improvements, adopt an ordinance mandating that all residences intended to benefit from the improvements, tap into the extended system.

I further certify that said municipality will enforce said ordinance to the extent permitted under local code.

\_\_\_\_\_  
Signature of Chief Elected Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name/Title of Chief Elected Official

\_\_\_\_\_  
Municipality

\_\_\_\_\_  
County

In the case of County "On Behalf Of" applications, the County must submit a signed copy of the above certification for each municipality in which a water or sewer extension project is proposed. Also, this form must be submitted for any nonentitlement municipality in which funds allocated to the County will be used for a water or sewer extension project.

**APPLICANT INFORMATION | COMMUNITY DEVELOPMENT BLOCK GRANT – DISASTER RECOVERY PROGRAM**

14. LIST GRANT ADMINISTRATOR:	
15. METHOD OF PROCUREMENT (CHECK ONE): <input type="checkbox"/> RFP <input type="checkbox"/> Small Purchase <input type="checkbox"/> Local Funds <input type="checkbox"/> Not Yet Procured <input type="checkbox"/> N/A	
16. ARCHITECT/ENGINEER:	
17. METHOD OF PROCUREMENT (CHECK ONE): <input type="checkbox"/> RFQ <input type="checkbox"/> RFP <input type="checkbox"/> Local Funds <input type="checkbox"/> Not Yet Procured	18. CODE OF CONDUCT AND CONFLICT OF INTEREST: Adoption/Completion Date:
19. DRUG FREE WORK-PLACE POLICY (CHECK ONE): <input type="checkbox"/> On file <input type="checkbox"/> Attached <input type="checkbox"/> None	20. EXCESSIVE FORCE POLICY: Adoption Date:
21. ANTI-DISPLACEMENT PLAN – ADOPTION DATE:	
22. MB/WBE PLAN – ADOPTION DATE:	23. SECTION 3 – ADOPTION DATE:
24. FAIR HOUSING ANALYSIS – COMPLETION DATE:	25. FAIR HOUSING ANNUAL ACTION UPDATES:
26. 504 PLAN – COMPLETION DATE:	27. 504 PLAN ANNUAL REVIEW:
28. PROCUREMENT POLICY: <input type="checkbox"/> Yes <input type="checkbox"/> No	

29. DID THE COMMUNITY RECEIVE A CDBG PLANNING GRANT PERTAINING TO THIS PROJECT? <input type="checkbox"/> Yes <input type="checkbox"/> No    If yes, what is the grant number for that plan?	
30. IN WHAT PA SENATE DISTRICT(S) IS THIS PROJECT?	31. STATE SENATOR(S) REPRESENTING THIS DISTRICT:
32. IN WHAT PA HOUSE OF REPRESENTATIVES DISTRICT(S) IS THIS PROJECT?	33. STATE REPRESENTATIVE(S) REPRESENTING THIS DISTRICT:
34. IN WHAT US CONGRESSIONAL DISTRICT IS THIS PROJECT?	
35. FOR PUBLIC FACILITIES AND UTILITY TREATMENT PLANTS, PLEASE GIVE THE SPECIFIC ADDRESS OF PROPOSED CONSTRUCTION INCLUDING ZIP+4:	
36. FOR ALL OTHER PROJECTS, PLEASE GIVE THE ADDRESS RANGE FOR CONSTRUCTION (I.E. 300 S. MAIN TO 500 S. MAIN AND 400 S. OAK STREET TO 800 S. OAK STREET) INCLUDING ZIP+4:	





## CDBG-DR STATEMENT OF ASSURANCES

APPLICANT NAME:

The applicant or grantee hereby assures and certifies that:

(A) It possesses legal authority to apply for the grantee, to execute the proposed program, and meets the general qualifications criteria of Act 179.

LEGAL  
AUTHORITY

(B) Its governing body has duly adopted or passed as an official act, a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

OFFICIAL  
RESOLUTION

(C) Its citizen participation mechanism meets the following requirements:

CITIZEN  
PARTICIPATION

(1) Before an Action Plan is adopted or substantially modified, the applicant or grantee will:

- Prominently post the proposed plan or amendment on its official Web site;
- Give citizens, affected local governments, and other interested parties a reasonable opportunity (minimum of seven days) to examine and comment on the plan or amendment's contents;
- Ensure that the topic of disaster recovery will be navigable from its official Web site homepage; and
- Provide all citizens, including persons with disabilities and limited English proficiency, with equal access to information about the program.

(2) After publication of the plan, the applicant or grantee will:

- Provide a reasonable time frame and method(s) (including electronic submission) for receiving comments on the plan or substantial amendment;
- Consider all comments, received, orally or in writing, on the plan or any substantial amendment;
- Provide a timely written response to every citizen complaint (within 15 working days of receipt of the complaint, if practicable);
- Provide citizens, affected local governments, and other interested parties with reasonable and timely access to information and records relating to the plan and to the grantee's use of the funds, including all performance reports; and
- Notify HUD when it makes any plan amendment that is not substantial.

(D) The program described in the application will continue to give maximum feasible priority to activities which will benefit low and moderate income families or aid in the prevention or elimination of slums or blight; the use of funds may also include activities which the applicant or grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs. It will ensure that not less than 50 percent of funds received as a result of this application will be used for activities that principally benefit persons of low and moderate income.

PROGRAM  
PRIORITIES

FINANCIAL  
REQUIREMENTS

(E) It will comply with the requirements and policies of 24 CFR Part 85 entitled: "Uniform Administrative Requirements for Grantees and Cooperative Agreements to State and Local Governments", as specified in 24 CFR Part 570.502; OMB Circular A-110 entitled: "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations"; OMB Circular A-87 entitled: "Cost Principles for State and Local Governments"; OMB Circular A-122 entitled: "Cost Principles for Nonprofit Organizations"; OMB Circular A-128 entitled: "Audits of State and Local Governments", Treasury Circular 1075; and A-21 "Cost Principles for Educational Institutions"

ARCHITECTURAL  
BARRIERS

(F) It will comply with the Architectural Barriers Act of 1968, P.L. 90480, as amended (42 U.S.C. 4151 et. seq.). This requires that every building or facility (other than a privately owned residential structure) designed, constructed, or altered with funds provided under this Part to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A-117.1-R 1971, subject to the exceptions contained in 41 CFR 101-19.604. The applicant will be responsible for conducting inspections to ensure compliance with these specifications by the contractor.

CIVIL  
RIGHTS

(G) It will comply with:

- (1) Title VI of the Civil Rights Act of 1964, P.L. 88-352 (42 U.S.C. 2000d et. seq.) and the regulations issued pursuant thereto (24 CFR Part 1), which provides that no persons in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits.

Title VI states that:

"No person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

Section 1.4b(2)(i) of the regulations issued pursuant to Title VI requires that:

"A recipient in determining the types of housing accommodations, facilities, services, financial aid, or other benefits which will be provided under any such program or activity, the class of persons to whom, or the situations in which, such housing, accommodation, facilities, services, financial aid, or other benefits will be provided under any such program or activity, or the class of persons to be afforded an opportunity to participate in any such program or activity, may not directly or through contractual or other arrangements, utilize criteria or methods of administration which have the effect of subjecting persons to discrimination because of their race, color, or national origin or have the effect of defeating or substantially impairing accomplishments of the objectives of the program or activity as respect to persons of a particular race, color, or national origin."

- (2) Title VIII of the Civil Rights Act of 1968, as amended by Fair Housing Amendments Act of 1988 (42 U.S.C. 3601-20) which states that no person shall be subjected to discrimination because of race, color, religion, sex, handicap, familial status, or national origin in the sale, rental, or advertising of dwellings, in the provision of brokerage services, or in the availability of residential real estate-related transactions; and requires that grantees administer all programs and activities related to housing and community development in a manner to affirmatively further fair housing.

FAIR  
HOUSING

Executive Order 11063 and the regulations contained in 24 CFR Part 107 requires that all action necessary and appropriate be taken to prevent discrimination because of race, color, religion (creed), sex, or national origin in the sale, rental, leasing, or other disposition of residential property and related facilities or in the use or occupancy thereof where such property or facilities are owned or operated by the Federal Government or provided with Federal assistance by HUD and in the lending practices with respect to residential property and related facilities of lending institutions insofar as such practices relate to loans insured, guaranteed or purchased by the Federal Government.

- (3) Section 109 of the Housing and Community Development Act of 1974, P.L. 93-383 (42 U.S.C. 5309) and the regulations issued pursuant thereto (24 CFR Part 570.602), which provide that no person in the United States shall, on the grounds of race, color, national origin, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds provided under this Part.

EQUAL  
OPPORTUNITY

- (4) Age Discrimination Act of 1975, P.L. 94-135 (42 U.S.C. 6101 et. seq.).

AGE

- (5) Section 504 of the Rehabilitation Act of 1973, P.L. 95-602 (29 U.S.C. 794) and HUD implementing regulations at 24 CFR Part 8.

HANDICAPPED  
PERSONS

- (6) Executive Order 11246, Equal Opportunity in Federal Employment, September 24, 1965 (30 FR 12319), as amended by Executive Order 12086, October 5, 1978 (43 FR 46501), and the regulations issued pursuant thereto (24 CFR Part 130 and 41 CFR Chapter 60), which provides that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal or Federally assisted construction contracts. Contractors and subcontractors on Federal and Federally assisted construction contracts shall take affirmative action to ensure fair treatment in employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination, rates of pay or other forms of compensation and selection for training and apprenticeship.

- (7) Executive Order 11625, October 13, 1971 which prescribes additional arrangements for developing and coordinating a national program for Minority Business Enterprise (36 FR 19967).

- (8) Executive Order 12138, May 18, 1979 (44 FR 29637) which creates a National Women's Business Enterprise Policy.

- (9) Pennsylvania Human Relations Act of October 27, 1957, P.L. 744, (43 P.S. 951-963) which provides that no employee, applicant for employment, independent contractor, or any other person shall be discriminated against because of race, color, religious creed, ancestry, national origin, age, or sex.

(H) It will comply with Section 3 of the Housing and Urban Development Act of 1968, P.L. 90-448, as amended (12 U.S.C. 1701 (u)) requiring that to the greatest extent feasible opportunities for training and employment be given to low and moderate income residents of the applicant's county and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing in the applicant's county.

EMPLOYMENT

(I) It certifies that it has developed and adopted a residential antidisplacement and relocation assistance plan.

DISPLACEMENT

(J) It will comply with the Uniform Relocation Assistance Real Property Acquisition Policies Act of 1970, as amended by (42 U.S.C 4601) and the regulations at 42 CFR Part 24 which apply to the acquisition of real property by a State agency for an activity assisted with CDBG funds and to the displacement of any family, individual, business, nonprofit organization or farm that results from such acquisition; and

ACQUISITION/  
RELOCATION

Will comply with Section 104(k) of the Housing and Community Development Act of 1974, as amended which requires that (i) reasonable relocation assistance be provided (at a minimum, the assistance shown in 24 CFR Part 570.606(c) shall be provided) to persons displaced as a result of the use of CDBG funds to acquire or substantially rehabilitate property and (ii) will develop, adopt and provide to persons to be displaced a written notice of the relocation assistance for which they are eligible; and

Will comply with the Eminent Domain Code Act of June 22, 1964, Special Session, P.L. 84, as amended, 26 P.S. 1-101 et. seq.

The following waivers shall apply to CDBG disaster recovery projects:

- (1) One-for-one replacement requirements at 42 U.S.C. 5304(d)(2)(A)(i) – (ii) and (d)(3) and 24 CFR 42.375 for lower-income dwelling units that are damaged by the disaster and not suitable for rehabilitation. Applicants and grantees should reassess post-disaster population and housing needs to determine the appropriate type and amount of lower-income dwelling units to rehabilitate and/or rebuild. Note: the demolition and/or disposition of Public Housing Authority-owned public housing units is covered by Section 18 of the U.S. Housing Act of 1937, as amended, and 24 CFR Part 970.
- (2) Section 104(d) relocation assistance requirements at 42 U.S.C. 5304(d)(2)(A) and 24 CFR 42.350 to the extent that they differ from the requirements of the URA and implementing regulations at 49 CFR Part 24 for activities related to disaster recovery.
- (3) The requirements at 49 CFR 24.101(b)(2)(i)-(ii) to the extent that they apply to an arm's length voluntary purchase carried out by a person who does not have the power of eminent domain, in connection with the purchase and occupancy of a principal residence by that person.
- (4) The requirements at sections 204(a) and 206 of the URA, 49 CFR 24.2(a)(6)(viii), 24.402(b)(2), and 24.404 to the extent that they require the applicant or grantee to provide relocation assistance sufficient to reduce a low-income person's rent/utility costs to 30% of household income post-displacement when the person had been paying rent in excess of 30% of household income without "demonstrable hardship". Before using this waiver, the applicant or grantee must establish a definition of "demonstrable hardship".
- (5) The requirements of section 204 and 205 of the URA, and 49 CFR 24.2(a)(6)(ix) and 24.402(b) to the extent necessary to permit an applicant or grantee to meet all or a portion of an applicant's or grantee's replacement housing financial assistance

obligation to a displaced tenant by offering rental housing through a tenant-based rental assistance (TBRA) housing program subsidy, provided that the tenant is provided referrals to comparable replacement dwellings in accordance with 49 CFR 24.204(a) where the owner is willing to participate in the TBRA program, and the period of authorized assistance is at least 42 months.

- (6) The requirements at section 202(b) of the URA and 49 CFR 24.302, which require that an applicant or grantee offer a displaced person the option to receive a "moving expense and dislocation allowance" based on a schedule of allowances prepared by the FHA as an alternative to receiving payment for actual moving and related expenses. As an alternative, the applicant or grantee must establish and offer the person a "moving expense and dislocation allowance" under a schedule of allowances that is reasonable for the jurisdiction and that takes into account the number of rooms in the displacement dwelling, whether the person owns and must move the furniture, and, at a minimum, the kinds of expenses described in 49 CFR 24.301.
- (K) It will not attempt to recover any capital costs of public improvements assisted in whole or in part by CDBG funds or with amounts resulting from a guarantee under Section 108 of the 1974 Housing and Community Development Act by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvement, unless (i) CDBG funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under this title; or (ii) for purposes of assessing any amount against properties owned and occupied by persons of moderate income who, the grantee certified to the State, as the case may be, that it does not have sufficient CDBG funds to pay the assessments in behalf of all of the low and moderate income owner-occupant persons.
- (L) It will comply with the provisions of the Hatch Act, P.L. 85-554 (5 U.S.C 1501 et.seq.) which limits the political activity of employees.
- (M) It will comply with the labor standards set forth in Section 110 of the Housing and Community Development Act of 1974, as amended, and HUD's implementing regulations. The standards include, where applicable, the following:
  - (1) The Davis-Bacon Act, P.L. 86-624, as amended (40 U.S.C. 276a-276a-5).
  - (2) Contract Work Hours & Safety Standards Act, P.L. 87-581 (40 U.S.C. 327 et. seq.).
  - (3) Copeland "Anti-kickback" Act (40 U.S.C. 276c).
  - (4) 29 CFR Parts 1, 3, 5, 6, and 7.
- (N) Its chief executive officer or other appropriate officer/officers consents to assume the status of a "responsible federal official" under the National Environmental Policy Act of 1969 (NEPA) P.L. 91-190 (42 U.S.C. 4321 et. seq.). The applicant will assume responsibility for environmental review, decision-making and action under NEPA and HUD regulations at 24 CFR Part 58. The applicant further certifies that it has complied with and will comply with 24 CFR Part 58 and the statutes and authorities contained in 24 CFR Part 58.5 in the administration of its project.
- (O) It will ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of a program are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify HUD of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for the listing by the EPA.

BENEFIT  
ASSESSMENTS  
FOR PUBLIC  
IMPROVEMENTS

HATCH ACT

LABOR  
STANDARDS

ENVIRONMENTAL  
CLEARANCE

VIOLATING  
FACILITIES  
LIST

(P) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

CONFLICT OF  
INTEREST

(Q) It will comply with Title IV of the Lead Base Paint Poisoning Prevention Act, P.L. 91-695, as amended, (42 U.S.C. 4831) and the regulations issued pursuant thereto (24 CFR PAINT Part 35).

LEAD BASED  
PAINT

(R) It will comply with the Cost Effective Energy Conservation and Effectiveness Standards, ENERGY P.L. 95-557 (42 U.S.C. 1425(b)) and the regulations issued pursuant thereto (24 CFR Part 39).

ENERGY  
CONSERVATION

(S) It will comply with the Pennsylvania Flood Plain Management Act 166 (32 P.S. 697.101 - 679.601 ) and the regulations issued pursuant thereto (Title 16, Chapter 38)

FLOOD  
PLAIN

(T) It will comply with the Pennsylvania Steel Products Procurement Act of March 3, 1978; (P.L. 6, No. 3, §1, 73 P.S. §1881 et. seq.). PRODUCTS

STEEL  
PRODUCTS

(U) It will comply with the Separations Act of May 1, 1913, P.L. 155, 1, as amended, December 22, 1981, P.L. 546, No. 159, §1, 53 P.S. §1003, as applicable. ACT

SEPARATIONS  
ACT

(V) It will comply with Section 6002 of the Resource Conservation and Recovery Act of 1976 (42 U.S.C. 6962) and the regulations issued pursuant thereto (40 CFR Part 249) for the procurement of materials composed of the highest percentage of recovered material practicable.

RESOURCE  
CONSERVATION

(W) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

LOBBYING

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans and cooperative agreement) and that all subrecipients shall certify and disclose accordingly.

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

(X) It has adopted and will enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations and a policy of enforcing state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction.

EXCESSIVE  
FORCE

Signature of Chief Elected Official

Date

Name/Title of Chief Elected Official

Municipality

County

## Instructions for Completion of Disclosure Report

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All applicants for CDBG grants must complete and submit, with their applications, Parts I and II of the Disclosure Report. At the completion of Part II of the report, some applicants will find that they must complete Parts III, IV, V and VI.

**Part I** requires the applicant's name, address, phone and Federal Employer Identification number; indication as to whether this is an initial report or an update (all applicants will check the initial report box); the fiscal year CDBG funds subject to the disclosure; a check as to whether the disclosure is related to an entitlement or competitive application; the amount of CDBG funds being requested; the amount of any CDBG program income that will be used with the CDBG grant; and, the total amount (CDBG grant and program income).

**Part II** asks two questions. If the answer to both questions is "no," the applicant must provide the certification at the end of Part II, but is not required to complete the remainder of the report. If the answer to either questions is "yes" the applicant must complete the remainder of the report.

**Part III** requires information on any other Federal, State and/or local assistance that is to be used in conjunction with the CDBG project.

**Part IV** requires the identification of interested parties. Interested parties are persons and entities with a reportable financial interest in the project. If an entity is being disclosed, the disclosure in Part IV must include an identification of each officer, director, principal stockholder or other official of the entity. All consultants, developers or contractors involved in the application for CDBG assistance, or in the planning, development or implementation of the project, must be identified as an interested party. Also, any other person or entity that has a pecuniary interest in the project that exceeds \$50,000 or 10 percent of the CDBG assistance, whichever is lower, must be listed as an interested party. Pecuniary interest means any financial involvement in the project, including (but not limited to) situations in which a person or entity has an equity interest in the project, shares in any profit or resale or any distribution of surplus cash or other assets of the project or receives compensation for any goods or services provided in connection with the project. (The following are not considered interested parties: local CDBG administrative staff, recipients of housing rehab assistance, and rehab contractors as long as the rehab agreement is between the property owner and the contractor).

It is realized that at the time of application, applicants may not be aware of all interested parties since contracts and agreements for goods and services are not generally awarded until after notice of grant award. Subsequent to grant award, as projects are being implemented, funds will be committed to interested parties which will necessitate the submission of an updated Disclosure Report. However, if an applicant identifies under Part III of the Disclosure Report, other governmental assistance that is to be used in conjunction with projects funded with CDBG and, if these other funds have been committed to interested parties, then these interested parties must be identified in Part IV.

## Appendix A – HUD Programs Subject to Disclosure

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This Appendix contains a list of all the HUD Programs that are subject to the disclosure requirements of Subpart C of 24 CFR Part 12. All applicants for CDBG assistance must review this list to determine if they are receiving, or expect to receive, assistance from other covered programs besides CDBG. Applicants must consider HUD funds that are received either directly from HUD or through the State. The State administered CDBG Program is listed at item 3(v).

It is the total amount of funds received from all the below sources that the applicant uses to answer the second question of Part II of the Disclosure Report.

- (1) Section 312 Rehabilitation Loans under 24 CFR part 510, except loans for single family properties.
- (2) Applications for grant amounts for a specific project or activity under the Rental Rehabilitation Grant Program under 24 CFR part 511 made to:
  - (i) A State grantee under Subpart F.
  - (ii) A unit of general local government or a consortium of units of general local government or a consortium of units of general local government receiving funds from a State or directly from HUD whether or not by formula under Subparts D, F, and G.
  - (iii) HUD, for technical assistance under 511.3.

(Excludes formula distributions to States, units of general local government, or consortia of units of general local government under Subparts D and G, within year reallocations under Subpart D, and the HUD-administered Small Cities Program under Subpart F.)

- (3) Applications for grant amounts for a specific project or activity under Title I of the Housing and Community Development Act of 1974 made to:
  - (i) HUD, for a Special Purpose Grant under Section 105 of the Department of Housing and Urban Development Reform Act of 1989 for technical assistance, the Work Study Program of Historically Black colleges.
  - (ii) HUD, for a loan guarantee under 24 CFR part 470, Subpart M.
  - (iii) HUD, for a grant to an Indian tribe under Title I of the Housing and Community Development Act of 1974.
  - (iv) HUD, for a grant under the HUD-administered Small Cities Program under DFR part 570, Subpart F.
  - (v) A State or unit of general local government under 24 CFR part 570.

- (4) Applications for grant amounts for a specific project or activity under the Emergency Shelter Grants Program under 24 CFR part 576 made to a State or to unit of general local government, including a Territory.

(Excludes formula distributions to States and units of general local government (including Territories); reallocations to States, units of general local government (including Territories) non-profit organizations; and applications to an entity other than HUD or a State or unit of general local government.)

- (5) Transitional Housing under 24 CFR part 577.
- (6) Permanent Housing for Handicapped Homeless Persons under CFR part 578.



- (7) Section 8 Housing Assistance Payments (only project-based housing under the Existing Housing and Moderate Rehabilitation program for Single Room Occupancy Dwellings for the Homeless under Subpart H).
- (8) Section 8 Housing Assistance Payments for Housing for the Elderly or Handicapped under 24 CFR part 885.
- (9) Loans for Housing for the Elderly or Handicapped under Section 202 of the Housing Act of 1959 (including operating assistance for Housing for the Handicapped under Section 162 of the Housing and Community Development Act of 1987 and Seed Money Loans under Section 106(b) of the Housing and Urban Development Act of 1968).
- (10) Section 8 Housing Assistance Payments-Special Allocations-under 24 CFR part 886.
- (11) Flexible Subsidy under 24 CFR part 219-both Operating Assistance under Subpart B and Capital Improvement Loans under Subpart C.
- (12) Low-Rent Housing Opportunities under 24 CFR part 904.
- (13) Indian Housing under 24 CFR part 905.
- (14) Public Housing Development under 24 CFR part 941.
- (15) Comprehensive Improvement Assistance under 24 CFR part 968.
- (16) Resident Management under 24 CFR part 964, Subpart C.
- (17) Neighborhood Development Demonstration under Section 123 of the Housing and Urban-Rural Recovery Act of 1983.
- (18) Nehemiah Grants under 24 CFR part 280.
- (19) Research and Technology Grants under Title V of the Housing and Urban Development Act of 1970.
- (20) Congregate Services under the Congregate Housing Services Act of 1978.
- (21) Counseling under Section 106 of the Housing and Urban Development Act of 1968.
- (22) Fair Housing Initiatives under 24 CFR part 125.
- (23) Public Housing Drug Elimination Grants under Section 5129 of the Anti-Drug Abuse Act of 1988.
- (24) Fair Housing Assistance under 24 CFR part 111.
- (25) Public Housing Early Childhood Development Grants under Section 222 of the Housing and Urban-Rural Recovery Act of 1983.
- (26) Mortgage Insurance under 24 CFR Subtitle B, Chapter II (only multifamily and nonresidential).
- (27) Supplemental Assistance for Facilities to Assist the Homeless under 24 CFR part 579.
- (28) Shelter Plus Care Assistance under Section 837 of the Cranston-Gonzalez National Affordable Housing Act.
- (29) Planning and Implementation Grants for HOPE for Public and Indian Housing Homeownership under Title IV, Subtitle A, of the Cranston-Gonzalez National Affordable Housing Act.
- (30) Planning and Implementation Grants for HOPE for Homeownership of Multifamily Units under Title IV, Subtitle B, of the Cranston-Gonzalez National Affordable Housing Act.
- (31) HOPE for Elderly Independence Demonstration under Section 803 of the Cranston-Gonzalez National Affordable Housing Act.



# DISCLOSURE REPORT

## COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

### PART I - APPLICANT INFORMATION

1. APPLICANT/GRANTEE NAME:	
2. ADDRESS:	
3. PHONE NUMBER:	4. FEDERAL ID NUMBER:
5. REPORT: Indicate whether this is: <input type="checkbox"/> Initial Report <input type="checkbox"/> Update Report	
6. PROJECT TO BE ASSISTED:	
6A. FISCAL YEAR:	6B. <input type="checkbox"/> Entitlement Grant(s) <input type="checkbox"/> Competitive Grant
	6C. Amount Requested/Received: ..... _____
	6D. Program Income to be used with C Above: ..... _____
	6E. TOTAL of C and D: ..... _____

### PART II - THRESHOLD DETERMINATIONS

1. Is the amount at 6E. (above) more than \$200,000?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you received or applied for other HUD assistance (through programs listed in Appendix A of the instructions) which when added to 6E (above) amounts to more than \$200,000?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to either 1. or 2. of Part II is <b>"YES"</b> , then you must complete the remainder of this report.	
If the answer to both 1. and 2. of Part II is <b>"NO"</b> , then you are not required to complete the remainder of this report, but you must sign the following certification.	

### CERTIFICATION

I hereby certify that this information is true.		
Signature of Chief Elected Official		Date
Name/Title of Chief Elected Official	Municipality	County

## DISCLOSURE REPORT | COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

**PART III - OTHER GOVERNMENT ASSISTANCE PROVIDED/APPLIED FOR**

1. Provide the requested information for any other Federal, State and/or local government assistance, on hand or applied for, that will be used in conjunction with the CDBG grant. (See Appendix A of the instructions).

Name and Address of Agency Providing or to Provide Assistance	Program	Type of Assistance	Amount Requested or Provided

ARCHIVED

Identify the sources and uses of all assistance, including CDBG, that have been or may be used in the Project.

### Source

**Use**

I hereby certify that the information provided in this disclosure is true and correct and I am aware that any false information or lack of information knowingly made or omitted may subject me to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, I am aware that if I knowingly and materially violate any required disclosure of information, including intentional nondisclosure, I am subject to a civil money penalty not to exceed \$10,000 for each violation.

Signature of Chief Elected Official

Date \_\_\_\_\_

Name/Title of Chief Elected Official

Municipality

County

## DCED Land Use Implementation

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Since 2000, when the Growing Smarter land use bills were signed into law, DCED has been encouraging effective local land use planning while respecting private property rights. These measures have included a review for certain projects occurring on previously undeveloped property, requiring the grantee to submit a letter from the appropriate local and county planning agency where they exist.

In May 2005, the Governor's Economic Development Cabinet adopted the Keystone Principles & Criteria for Growth, Investment & Resource Conservation. The principles lay out goals and objectives for Commonwealth funding to further economic development and resource conservation. These principles and criteria are designed to encourage multifaceted project development that will integrate programs and funding sources from a variety of state agencies.

Implementing these principles and criteria also requires state agencies to determine how funding programs support local land use planning. DCED has entered into an Interagency Letter of Understanding to guide the Department's review of an applicant's application in light of applicable land use plans.

### Obtaining Information about Planning and Zoning

For projects funded with CDBG-DR, where infrastructure and/or construction of new facilities (public/community facilities, water/sewer facilities, housing, economic development, etc.) will occur on previously undeveloped property, the grantee must submit a letter from the appropriate local and county planning agency (where they exist) specifically identifying the project(s) and certifying that the project(s) is(are) in compliance with all applicable land use and comprehensive plans, and zoning and subdivision ordinances. This letter should be inserted after this page in the CDBG-DR Application. Prior to submitting this letter, CDBG-DR Program applicants must review the questions below regarding comprehensive planning and zoning ordinances to determine the applicability of the PA Municipal Planning Code.

- Is there an adopted municipal comprehensive plan?
- Is there an adopted county comprehensive plan?
- Is there an adopted multi-municipal or multi-county comprehensive plan?
- Is there an adopted county or municipal zoning ordinance or a joint municipal zoning ordinance?
- Is the proposed project consistent with these comprehensive plans and/or ordinances?

**This requirement is not applicable to projects that occur on developed or previously developed property.**

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## DUPLICATION OF BENEFITS CERTIFICATION

The undersigned, on behalf of and as a duly authorized agent and representative of \_\_\_\_\_ (Unit of Local Government/Sub-recipient), certifies and represents that all information contained in and enclosed with the grant application is true to the best of his or her knowledge and acknowledges that the Department of Community and Economic Development – Center for Community Financing (DCED-CCF) has relied on such information to award disaster recovery assistance (the “assistance”).

\_\_\_\_\_ (Unit of Local Government/Sub-recipient) certifies that it has disclosed to DCED-CCF in the application process all insurance proceeds and all other funds available from, received by, or to be received from governmental agencies as compensation for damages resulting from these declared disasters for which assistance may be provided by DCED-CCF. \_\_\_\_\_ (Unit of Local

Government/Sub-recipient) certifies that it will disclose to DCED-CCF all future insurance proceeds or other funds received from and or available from governmental agencies as compensation for damages resulting from these declared disasters for which assistance has been provided. \_\_\_\_\_ (Unit of Local

Government/Sub-recipient) acknowledges that it may be prosecuted by Federal, State, or local authorities and/or that repayment of all disaster recovery funds may be required in the event that it makes or files false, misleading, or incomplete statements or documents.

\_\_\_\_\_  
Signature

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

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date





## MANAGEMENT PLAN/ LOCAL STAFF CAPACITY

APPLICANT NAME:

GRANT ADMINISTRATOR:

**Describe how your CDBG-DR program will be managed and administered by addressing the following:**

Identify the required tasks needed to accomplish your proposed activities and the organization(s) that will accomplish these tasks, including the type of third party contracts intended for services.

- Briefly identify the staff needed to complete each task including their skills and/or experience. These tasks include:
  - Environmental review requests,
  - Financial recordkeeping, including but not limited to the Disaster Recovery Grant Reports System (DRGR)
  - Procurement
  - Contracting
  - Day-to-day administration and oversight of 3<sup>rd</sup> party contracts
  - Closeout and audit
- If more than one agency/organization will be involved, explain the coordination and lead responsibility.
- Justify the need for completing certain services with third party contracts which could otherwise be provided by the creation and/or development of local staff capacity.

(Attach Additional sheets as necessary.)



## CITIZEN PARTICIPATION REPORT

APPLICANT NAME:

### DISASTER RECOVERY INFORMATION TO THE PUBLIC

DATE

Notice of first public hearing:

Date of first public hearing:

Describe the methods used to solicit participation of low to moderate income persons:

Denote any adverse comments/complaints received and describe resolution:

Describe outcomes of 4-Factor Analysis for Limited English Proficiency:

**Immediately following this page, attach the documents below in the order listed:**

- Hearing Ad/Publisher's Claim for First Hearing
- Hearing Minutes for First Hearing
- Sign-In Sheet for First Hearing
- Copy of response(s) to comments and/or complaints.
- Copy of Four Factor Analysis
- Copy of Language Access Plan (if required)

I hereby certify, subject to the penalties of perjury, the above public hearing was conducted in accordance with all state and federal regulations. I also certify that the Four Factor Analysis and Language Access Plan were conducted in accordance with the guidance provided.

Signature, Chief Elected Official

Date

Typed Name and Title:

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**DCED is providing this guide to grantees to determine if the beneficiaries of the proposed projects have limited English proficiency. Please use this guide to determine if the certification can be signed by the grantee or if a Language Access Plan is required. DCED will provide additional guidance if necessary.**

**Select type of report (Four-Factor Analysis or Four-Factor Analysis and Language Access Plan)**

**FOUR-FACTOR ANALYSIS**  
**and**  
**LANGUAGE ACCESS PLAN**  
**FOR LIMITED ENGLISH PROFICIENCY PERSONS**  
**COMMUNITY DEVELOPMENT**  
**BLOCK GRANT PROGRAM**  
**COMMUNITY NAME**

**Purpose:** In compliance with Executive Order 13166, Community Name has developed the following Language Access Plan (LAP) for Limited English Proficiency (LEP) persons.

**History:** Title VI of the Civil Rights Act of 1964 is the federal law which protects individuals from discrimination on the basis of their race, color, or national origin in programs that receive federal financial assistance. In certain situations, failure to ensure that persons who have limited English proficiency can effectively participate in, or benefit from, federally assisted programs may violate Title VI's prohibition against national origin discrimination.

Persons who, as a result of national origin, do not speak English as their primary language and who have limited ability to speak, read, write, or understand English may be entitled to language assistance under Title VI in order to receive a particular service, benefit, or encounter.

**Community Name Four-Factor Analysis:** The following Four-Factor Analysis will serve as the guide for determining which language assistance measures the Community Name will undertake to guarantee access to the Community Name Community Development Block Grant (CDBG) programs by LEP persons.

1. Number or proportion of LEP persons served or encountered in the eligible service population (served or encountered includes those persons who would be served by the recipient if the person received education and outreach and the recipient provided sufficient language services).

*Select the paragraph(s) below that best describe your methodology. Delete the other paragraph(s). These paragraphs may be modified or replaced with narrative that more accurately reflects the community's methodology. Replace the shaded areas with information about your community.*

Currently, the U. S. Census does not provide data regarding Limited English Proficiency below the County Level. Therefore, for determining the LEP population, Community Name utilized the following method(s) to determine the LEP population in Community Name.

Individuals conducting income surveys in the project area were asked to determine if any LEP households were located in the potential project area. According to surveyors, there were number of LEP households located in the proposed project area. This does/does not represent a threshold population of LEP residents.

Local elected officials, clergy, medical personnel, and school administrators were polled by telephone/questionnaire to request input regarding their knowledge of LEP households within the community and/or proposed project area(s). Based on the results of the telephone poll/questionnaires, there are an estimated number of LEP households located in Community Name. This does/does not represent a LEP threshold population.

County Name utilized Census 2000 Special Tabulation 194 and Table 4, Table 4, Language Spoken at Home and Ability to Speak English for Population 5 Years and Over (<http://goo.gl/kAWgq>). Based on this data, County Name does/does not meet the 1,000 or 5% LEP persons threshold for any languages or Language(s) identified.

2. The frequency with which the LEP persons come into contact with the program.

*Select the paragraph(s) below that best describe your methodology. Delete the other paragraph(s). These paragraphs may be modified or replaced with narrative that more accurately reflects the community's methodology.*

The proposed project does include acquisition, relocation, housing rehabilitation, and/or water/sewer hookups. Therefore, residents are likely to have considerable direct contact with the program and its staff.

The proposed project is an infrastructure project that does not provide direct assistance to individuals. As a result, LEP persons rarely come into contact with the CDBG program. However, all citizen participation activities are open to the general public.

3. The nature and importance of the program, activity, or service provided by the program.

*Select the paragraph(s) below that best describe your methodology. Delete the other paragraph(s). These paragraphs may be modified or replaced with narrative that more accurately reflects the community's methodology. Replace the shaded areas with information about your community.*

The proposed project does provide direct assistance to project area beneficiaries related to housing/hookups/acquisition; therefore, the nature of the activity or service is of significant importance to the proposed project area(s) residents.

The proposed project does not provide direct assistance to individuals. As a result, LEP persons rarely come into contact with the CDBG program. However, all citizen participation activities are open to the general public.

4. The resources available and costs to the recipient.

Currently, internet sites can be utilized to translate some written materials. Additionally, local volunteers have been identified to provide oral translation services at public meetings and during conversations with LEP residents during the implementation of the proposed project. Furthermore, many of the common forms used in the implementation of a CDBG project are available in multiple languages on the HUD and DOL websites. Additionally, translation activities are an eligible CDBG administrative expense. Therefore, limited LAP measures are reasonable given the resources available to Community Name.

*Once the Four-Factor Analysis has been completed, the community must determine if a LAP is required.*

*If the community determines that a LAP is not required, then the certification below should be signed and dated by the chief elected official and the Four-Factor Analysis should be kept in the Fair Housing and Equal Opportunity CDBG program file.*

*If the Four-Factor Analysis identifies a LEP threshold population and/or if the nature of the program activities is such that a LAP is triggered, please delete the certification below and complete the LAP section at the end of this sample document.*

**Certification:** Based on the above Four-Factor Analysis, the Community Name is not required to develop a LAP. However, the Community Name will make all reasonable attempts to accommodate language access needs of residents requesting oral translation during citizen participation activities.

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Chief Elected Official

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Date

**Language Access Plan:** As a result of the preceding Four-Factor Analysis, Community Name has identified the following types of language assistance to be provided on an as needed basis by Community Name throughout the implementation of the CDBG program:

*Select the paragraphs below that best describe your planned activities. Delete the other paragraph(s). These paragraphs may be modified or replaced with narrative that more accurately reflects the community's planned activities. Replace the shaded areas with information about your community.*

- All CDBG citizen participation documents, project-related resolutions, public notices, and amendments will be published in LEP language identified on bulletin boards at the City Hall/County Courthouse and in public places throughout the proposed project area(s) and/or the community.
- Additionally, all published citizen participation advertisements will include a statement in LEP language identified indicating other program materials are available in LEP language identified upon request.
- All citizen participation notices will include a statement that translators will be available at public meetings upon prior request.
- If needed, a translator may be retained to provide oral translation in the field during the implementation of the project activities (generally for housing rehabilitation, hookups, acquisition, and relocation projects only).
- If other populations of LEP persons are identified in the future, Community Name will consider additional measures to serve the language access needs of those persons.

**Adopted:**

\_\_\_\_\_  
Date Adopted

\_\_\_\_\_  
Chief Elected Official Signature

\_\_\_\_\_  
Attest

## Instructions for Completion of Activity Description

### A. General Instructions

#### 1. Introduction

Activities are directed toward certain needs identified in the Three Year Plan. Each activity must be evaluated to determine if it is eligible and fundable for CDBG-DR assistance. The Activities Description is designed to obtain the necessary information to verify that each activity is eligible and fundable, and to provide the mechanism to document changes to activities.

#### 2. Definition of Activity

An activity is defined as the overall description of the work proposed to address specific needs within a particular area, or for particular individuals or groups of people. Various work components may be necessary to complete the overall activity. In certain instances it is possible for the work to be the overall activity or a component of the overall activity. The following example illustrates this:

<b>Activity:</b> STORM SEWER	<b>Activity:</b> STREET/ROAD IMPROVEMENTS
<b>Components:</b> Acquisition of R.O.W. Sewer Construction Street/Road Improvements	<b>Components:</b> Paving Sidewalks/Curbing Landscaping Storm Sewer

#### 3. Eligibility/Fundability

Each activity must be determined to be eligible as per Section 105 of the Housing and Community Development Act of 1974, as amended. To be fundable, each activity must be analyzed in relation to the need and the intended beneficiaries. Each activity must meet one of the three national objectives: low and moderate income benefit, slums and blight or urgent need.

##### List of Activities

When identifying the activities for CDBG funding, utilize the HUD IDIS Matrix Codes contained in Appendix F.

### B. Specific Instructions for National Objectives

Refer to Section 570.208 – Criteria for National Objectives in the September 1988, HUD Regulations, for guidance along with the following information to complete this section:

1. **LMI Benefit Test** – Determine if the activity meets the LMI criteria in one of the four categories listed below. If an activity qualifies as meeting the LMI test and another national objective, such as slums and blight, it should be qualified under LMI.
  - a. **Area Benefit** – Check the appropriation box for census data or survey. If the service area coincides with census data, enter the appropriate Census tract, enumeration district, or block group, and the corresponding area population, low and moderate income population, and the percent of low and moderate income persons (must equal 51 percent or greater).



### **Survey**

If the service area does not coincide with census data, enter the survey results including total families in the survey area, the number of responses, the number of low and moderate income persons and the percent of low and moderate income persons.

Surveys must be conducted in accordance with standards specified in HUD CPD Notice 05-06 (<http://www.hud.gov/offices/cpd/lawsregs/notices/2005/05-06.pdf>).

- b. **Limited Clientele** – Check the appropriate box for presumed, income eligibility or nature/location.

*Presumed* – An activity, facility or service benefiting clientele that are presumed to be principally low and moderate income, i.e., handicapped, senior citizens, abused children, battered spouses, homeless, illiterate and migrant farm workers.

*Income Eligibility* – Requires information on family size and income that limits benefit exclusively to low and moderate income people, or where it is evident that at least 51 percent of the clientele are persons whose family income does not exceed low and moderate income limits.

*Nature/Location* – The activity's nature and/or location leads to the conclusion that clientele will primarily be low and moderate income persons.

- c. **Housing** – Check the appropriate box for rehabilitation or new housing (limitations described in 570.207(b)(3)).

*One Unit Structures* – Each household receiving CDBG assistance must be low and moderate income; check yes if local program design requires this.

*Multi-Unit Structures* – Indicate whether total number of assisted units are occupied or to be occupied by persons of low and moderate income households; if two units to be assisted, one must be low and moderate income.

For the new construction of multi-family, non-elderly rental housing, where less than 51 percent of the units to be constructed will be occupied by persons of low and moderate income households, indicate that the percent LMI units of total units between 20 percent to 50 percent, and the amount of CDBG funds, limited to the percent of total development costs, not greater than the percent LMI units.

- d. **Job Creation/Retention** – Complete each box by indicating the appropriate number of jobs created and/or retained, the number of jobs created and/or retained that will benefit persons that are low and moderate income, and the percent of jobs created and/or retained that will benefit persons that are low and moderate income.

2. **Slums/Blight Test** – If the activity does not meet the low and moderate income benefit test, then it may be considered as meeting the slums and blight test. Check each box for area or spot basis, as appropriate.

- a. **Area Basis** – Activity must meet both criteria.

#### *Boundary Identified/Qualified*

The area must be delineated geographically and must meet the federal and state definitions for a slum/blighted area with documentation maintained on the conditions of area upon which the qualification is made. The state definition of a slum blighted area (16 PA. Code, Chapter 21) is as follows: "A portion of an urban community which contains unsafe, unsanitary, inadequate, or overcrowded dwellings or is inadequately planned because of excessive land coverage, the lack of proper light and open spaces, the defective design and arrangement or economically or socially undesirable land uses."

The Federal definition, although less comprehensive, is far more focused. It defines a slum/blight area as one: “Where there is a substantial number of deteriorating or dilapidated buildings throughout the area.”

*Activity Addresses Conditions*

The activity addresses one or more of the conditions which contributed to the deterioration of the area. Residential rehabilitation must correct substandard conditions (Section 8 standards minimum) before less critical deficiencies are completed.

b. **Spot Basis**

*Activities Limited To*

Acquisition, relocation, clearance, rehabilitation and historic preservation that eliminate certain conditions of blight or physical activity decay are the only eligible activities.

*Rehabilitation Limitation*

Rehabilitation is limited to the extent necessary to eliminate specific conditions detrimental to public health and safety.

3. **Urgent Need** – Check each box as each specific criteria must be met. The activity must be designed to alleviate existing conditions which pose a serious and immediate threat to the health or welfare of the community; CDBG assistance must be limited to correcting the urgent condition; the condition must be of recent origin or has recently become urgent (within the past 18 months); and the municipality must certify that it is unable to finance the activity on its own, and that other sources of funding are not available.

*NOTE: Activities being considered for the Urgent Need category must be cleared by DCED prior to being included in the Grant Application.*

**C. Environmental Review Requests**

As you plan your activities for the Fiscal Year, information has been provided in Appendix H1-H4 Environmental Tip Sheets. The information being provided will help to properly identify the level of environmental review needed so that activities may be undertaken in timely manner.

## Appendix B – CDBG Public Service Activities

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### A. Eligibility

Eligibility defined at 24 CFR 570.201(e) of CDBG Entitlement Regulations. Also refer to *Guide to National Objectives & Eligible Activities*, pages 22-26.

Eligible CDBG public services include but are not limited to the following:

Child Care	Job Training	Education Programs
Health Care	Recreation Programs	Public Safety Services
Fair Housing Activities	Services for Senior Citizens	Services for Homeless
Drug Abuse Counseling/Treatment	Energy Conservation Counseling & Testing	
Homebuyer Downpayment Assistance	Welfare (excluding income payments)	

Eligible public service costs include labor, supplies and materials.

To be eligible for CDBG funding, a public service activity must be:

- a new service, or
- a quantifiable increase in the level of an existing service

#### 1. New Service

If it is a new public service activity (new to the community) at the time CDBG funds are first used to support the activity, it can be considered a new activity for three (3) consecutive years.(DCED's policy) Therefore, CDBG funds could be used to support the activity in the second and/or third year without any consideration as to whether there is a quantifiable increase in the level of service from one year to the next.

#### 2. Quantifiable Increase

At the time CDBG funds are first used for a public service activity that is already in existence, it must be demonstrated that as a result of the CDBG funds there will be a quantifiable increase in the level of the existing service. (The purpose of this requirement is to prevent CDBG funds from being used to merely replace other funds without an increase in the level of the public service.)

The quantifiable increase must be over and above the level of service provided by the local government, or by another agency or organization on behalf of the local government, through funds raised by the local government or received from the commonwealth.

The increase in the level of service must be an increase over that which existed in the twelve (12) months immediately prior to the submission of the application or modification proposing the use of CDBG funds for the service.

CDBG funds can only be used to pay for the quantifiable increase in the public service, except, if CDBG funds are substituted for federal or private funds, a quantifiable increase in the public service is not necessary. Again, CDBG funds may not be used to substitute for local or commonwealth funds.

### 3. Questions on Eligibility

a. *Define quantifiable increase.*

The regulations do not prescribe what constitutes a quantifiable increase. DCED's policy takes the position, generally, that a quantifiable increase must be legitimate and not artificial, involving additional staff costs and time resulting in an increase in the number of clients served. With these general parameters, DCED considers each request. Examples of what has not been accepted include such requests as: a new van to replace an old one resulting in less breakdowns and less interruptions in service, possibly allowing for serving more clients; a dental service expanding the level of service from performing fillings and cleaning to orthodontics.

b. *How does the three years work?*

After a determination has been made that an activity qualifies as a new service or a quantifiable increase, that activity may be funded for the initial year and two successive years without further evaluation or qualification, provided the level of service stays the same.

Whether CDBG was used only in the first year, for only two years or for all three years, the grantee cannot come back after year three and use CDBG funds for this particular public service on the basis that it is a new activity, or at the quantifiable increase in level of service that originally qualified it. (The "three consecutive year" requirement applies to the activity and not to years of CDBG assistance). After the three years have expired, the activity must be qualified based on a quantifiable increase in the level of service.

c. *Does CDBG funding in a public service trigger other compliance requirements, similar to CDBG funding of an infrastructure project?*

Any private sector professional service or purchase of materials or supplies directly funded by CDBG must adhere to the competitive procurement requirements, as specified in DCED's Contract/Procurement Manual. Provided CDBG funds are not used to fund any construction contract over \$2,000 that may be undertaken to compliment the public service, federal wage rates would not apply. Adhering to the civil rights requirements applies to all activities.

### B. Fundability

Each public service activity must meet either the low and moderate income benefit or slum and blight national objective. Low and moderate income can be met either by area benefit or limited clientele. Limited clientele must be based on documentation that clearly shows that 51% or greater of the beneficiaries will be, or has been in the case of an existing service, low and moderate income. Public service activities may also be qualified based on the area slum and blight category.

## Appendix C – Service Areas and Survey Methodology for Area Benefit Activities

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### **Definition – Area Benefit (570.208 (a)(1)(i))**

An activity, the benefits of which are available to all the residents in a particular area, where at least 51 percent of the residents are low and moderate income persons. Such an area need not be coterminous with census tracts or other officially recognized boundaries, but must be the entire area served by the activity. An activity that serves an area that is not primarily residential in character shall not qualify under the criterion.

### **A. Process**

#### **1. Determine Service Area Boundary**

##### **a. Problem/Solution**

What is/are the problem(s), or need(s)? What is the solution? Where multiple problems or needs are to be addressed, are they clearly delineated, and is there a primary problem or need? Who principally or primarily is to be served?

##### **b. Nature/Type Activity**

Does the nature or type of activity inherently help to determine the service area, i.e., direct benefit, or area wide in nature (new sanitary sewer collection or water distribution; neighborhood park or CBD improvements)?

##### **c. Level of Funding**

Are there sufficient funds to meet the need or solve the problem, or if only partially, will proposed activity be functional, and beneficiaries able to be determined?

##### **d. Document Service Area Boundary**

After considering the activity problem and solution, the nature and type of activity, and the level of funding, determine and document the appropriate boundary of the service area.

#### **2. Document Low and Moderate Income Percent for Activity's Beneficiaries**

##### **a. Census Data**

If service area boundary coincides with HUD census data, determine if the data is equal to or greater than 51% low and moderate income, and document results.

If service area nearly coincides with census data, consult with DCED to evaluate the data and determine if it is reasonable to justify the low and moderate income benefit. Census data for different census geography (i.e., CT, ED, or BG) may be added to determine over all LMI percent.

##### **b. Survey**

If census data cannot appropriately be used, a survey may be conducted to determine the percentage of low and moderate income people within the service area.

Survey's must be conducted and evaluated in accordance with DCED survey methodology.

## Appendix D – Determining Service Areas

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### A. Streets

1. **Dead End/Cul-de-sacs**

Street that serves only those residents living along the street; survey must be done unless it serves presumed low-moderate beneficiaries, i.e., elderly housing.

2. **Local/Neighborhood Street**

- Through street with primary beneficiaries being that street.
- Can be justified by using smallest census geography for a borough or city (i.e., B.G.), or by doing survey of particular street.
- In townships where there may only be E.D.'s, and the village service area does not coincide with an E.D., then survey is needed.

3. **Minor Collector (arterial)**

- Street that certainly serves more than a block group or neighborhood, but due to traffic patterns, land use, etc., the primary beneficiaries are less than the entire City, Borough or Township. This area might combine a number of block groups, C.T.'s of E.D.'s.
- Cannot isolate one smaller area for low-moderate.

4. **Major Collector (arterial)**

- Street that serves the entire municipality (e.g., main street).
- In some instances where main street carries a lot of truck traffic or cars from one municipality to another, it is acceptable to limit the grantee in most instances.
- Can not isolate small area for low-moderate.

### B. Storm Sewers

While rehab of streets only is not too complicated in understanding the improvement, storm sewers can become very complicated.

- What is the problem? Engineer's analysis can be very helpful.
- Is the problem and solution limited or comprehensive in solving a number of problems? Is problem localized or system-wide?
- Is problem more a storm water effect on residences, or a street problem?
- Does solution, i.e., size of line, give indicator to service area intended?

### C. Multiple Problems

- Some activities have multiple problems that need directed to determine if there is a primary reason for activity (storm water, sanitary, water, street problems).
- Engineer's analysis is important.

#### **D. Renovations-Sanitary Sewer/Storm/Water**

- Localized or system-wide effect? What is primary? Source, distribution, collection, treatment, pressure, etc.

#### **E. New Water/Sanitary Sewer**

- Easier to deal with when tap-in to system determines beneficiaries.
- Up until time of fundability determination, grantee responsible for ensuring low-moderate benefit. After fundability determination, grantee not responsible for people moving in or out, and low-moderate not met.
- Size lines may be questionable in relation to service area, or knowledge of new development by grantee that is not included in service area that is under construction.

#### **F. Parks**

- Nature of the park where improvements are made.
- Type of facilities constructed or improved.
- Primary service area & agency responsible for operation/maintenance

#### **G. Fire Stations**

- Logical service area for station, excluding multi-alarm fires.

#### **H. Central Business District (CBD)**

- Logical service area for the downtown will primarily be the municipality.



## ACTIVITY DESCRIPTION

(Complete one for each Activity)

1. APPLICANT/GRANTEE NAME:		2. DATE:																													
3. TYPE <input type="checkbox"/> Original <input type="checkbox"/> Revised		4. FUNDING YEAR																													
5. MULTI-YEAR FUNDED (IF YES, IDENTIFY FY):																															
6a. HUD MATRIX CODE:		6b. ACTIVITY NAME																													
7. ACTIVITY LOCATION:		8. COST:																													
9. NATIONAL OBJECTIVE: <input type="checkbox"/> LMI <input type="checkbox"/> S/B <input type="checkbox"/> UN		<table border="0"> <tr> <td></td> <td>CDBG \$</td> <td></td> <td>Committed</td> </tr> <tr> <td></td> <td></td> <td>Yes</td> <td>No</td> </tr> <tr> <td></td> <td>Federal \$</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td></td> <td>State \$</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td></td> <td>Local \$</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td></td> <td>Private \$</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td></td> <td>TOTAL \$</td> <td></td> <td></td> </tr> </table>			CDBG \$		Committed			Yes	No		Federal \$	<input checked="" type="checkbox"/>	<input type="checkbox"/>		State \$	<input type="checkbox"/>	<input type="checkbox"/>		Local \$	<input type="checkbox"/>	<input type="checkbox"/>		Private \$	<input type="checkbox"/>	<input type="checkbox"/>		TOTAL \$		
	CDBG \$		Committed																												
		Yes	No																												
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	Local \$	<input type="checkbox"/>	<input type="checkbox"/>																												
	Private \$	<input type="checkbox"/>	<input type="checkbox"/>																												
	TOTAL \$																														
10. NATIONAL OBJECTIVE JUSTIFICATION (USE FEDERAL REGULATION CITATION NUMBERS):																															
11. GOAL ADDRESSED:																															

### A. LMI BENEFIT TESTS

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#### D. ACTIVITY DESCRIPTION

Provide a narrative regarding all aspects of the project. It should include a detailed description of the project including how it fits with the overall long-term recovery efforts of the applicant. (Maximum 3 pages)

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(Attach Additional sheets as necessary.)



## PROJECT BUDGET

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3. Labor Standards (\$5,000 max) .....				
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5. Environmental Review .....				
6. Administration (Max. 2.5% of grant) .....				
TOTAL .....				

\* **DO NOT** include any miscellaneous, contingency costs, etc. in budget.



## PROJECT COMPLETION TIMETABLE

APPLICANT NAME:

Beginning with the application submission date, outline below a reasonable timetable for project completion. Include all significant milestones, emphasizing those related to plans, permits, bids, contracts, financing, acquisition of property, construction, and completion.

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## NEEDS ASSESSMENT

---

Please describe the demographics, the targeted population, identify any special needs populations, areas of concentrations of limited English proficiency speaking residents and areas of greatest need using the FEMA, SBA or other data available to support program design and targeted populations.

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## ACTIVITY DESCRIPTION

(Complete one for each Activity)

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#### D. ACTIVITY DESCRIPTION

Provide a narrative regarding all aspects of the project. It should include a detailed description of the project including how it fits with the overall long-term recovery efforts of the applicant. (Maximum 3 pages)

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(Attach Additional sheets as necessary.)



## PROJECT BUDGET

Complete the table below. Immediately following this page, attach itemized cost estimates for each line item.\*

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## PROJECT COMPLETION TIMETABLE

APPLICANT NAME:

Beginning with the application submission date, outline below a reasonable timetable for project completion. Include all significant milestones, emphasizing those related to plans, permits, bids, contracts, financing, acquisition of property, construction, and completion.

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## PROJECT COMPLETION TIMETABLE

APPLICANT NAME:

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## READINESS TO PROCEED CERTIFICATION

The (City/Town/County of \_\_\_\_\_), hereinafter referred to as "Applicant", submits this certification to the Department of Community and Economic Development, Center for Community Financing, hereinafter referred to as "DCED-CCF" respective to the Applicant's application to DCED-CCF for federal Disaster Recovery Community Development Block Grant (CDBG) hereinafter referred to as "CDBG-DR". This certification is submitted to DCED-CCF to assure that the Applicant has attained sufficient readiness in order to complete the subject project within 24-36 months after award of the CDBG-DR grant by DCED-CCF. The Applicant warrants that the project will be completed within 24-36 months following DR grant award, and herein indicates the level of readiness-to-proceed respective to the following areas:

- Project Financing
- Completion of required environmental review process
- Project engineering and/or architectural services
- Control of all interests in real property necessary to complete the project (site control)
- Obtaining necessary local, state and federal permits to complete the project

### **Project Financing**

As Chief Elected Official (CEO) of the Applicant, I hereby certify that all non-DR sources of funding necessary to carry out the project as listed in the project application have been secured and are available for expenditure immediately upon full execution of the DR grant agreement between Applicant and DCED-CCF, and subsequent release of funds by DCED-CCF.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name & Title

\_\_\_\_\_  
Date

***List any comments regarding this section here:***

## Instructions for Completion of Local Effort/User Fee Analysis

---

1. Enter applicant's name.
2. Analysis—Debt Service Portion—User Fee

### A. Current

- 1.) Enter the total amount to be paid for debt repayment for this service only during the current year. If not applicable, enter N/A.
- 2.) Enter the number of units (Equivalent Domestic Units) now served by this system. If not applicable, enter N/A.
- 3.) Enter the total user fee being charged for each unit being serviced by the existing system (per month/quarter, whichever is applicable). If not applicable, enter N/A.
- 4.) Divide the dollar amount in (1) above by the number of units in (2) above.
- 5.) Enter the debt balance as of December 31, last year for this service only.
- 6.) Enter the date upon which all current debt for this service will be retired (paid off).
- 7.) Enter any balance of cash reserves for this system only as of December 31, last year. Submit a copy of the last completed Financial Report.

### B. Proposed Project

- 1.) Enter the total number of units to be served by the proposed project.
- 2.) Enter the proposed user fee and indicate the proposed payment, monthly, quarterly, etc.
- 3.) Enter the total new debt anticipated excluding CDBG financing.
- 4.) Enter the total amount of CDBG funds being requested.



## LOCAL EFFORT/ USER FEE ANALYSIS

1. APPLICANT NAME:

2. ANALYSIS - DEBT SERVICE PORTION - USER FEE

**A. Current (if applicable)**

- (1) Annual Debt Service .....
- (2) Number of Units (E.D.U.'s) Now Served .....
- (3) Existing User Fee .....
- (4) Debt Service Portion of Average Annual user Fee (Divide 1 by 2 above) .....
- (5) Balance Current Debt Projected to .....
- (6) Current Debt Retirement Date .....
- (7) Fund Surplus Investments Cash Balance, etc., as of .....

Water

Sewer


**B. Proposed Project**

- (1) Number of Units (E.D.U.'s) to be Served .....
- (2) Proposed Under Fee and Schedule .....
- ☐ Monthly ☐ Quarterly ☐ Other (Explain) .....
- (3) Total New Debt (Other than CDBG) .....
- (4) Total CDBG Funding Requested .....


3. OPERATION AND MAINTENANCE PORTION - USER FEE

Water

Sewer

- A. Last Year's Operation and Maintenance Cost .....
- B. Operation and Maintenance Portion of Average Annual User Fee .....


4. REPAYMENT RATES AND TERMS

Explain repayment rates and terms of other new-debt listed in 2.b(3) above.

5. CURRENT AND PROJECTED DEBT

Attach additional sheets to illustrate and support current and projected debt as well as why CDBG funds are critical to the completion of the proposed project.

6. AGREEMENT WITH SERVICE PROVIDER

Provide copy of service provider agreement.



## STATUS OF REQUIRED ENVIRONMENTAL REVIEW PROCESS

APPLICANT NAME:

**Submit one form with both signatures – Form must be submitted within 120 days of grant award.**

As Chief Elected Official (CEO) of the Applicant, I hereby certify that the subject project activity will require the following type of environmental review respective to 24 CFR Part 58:

**Fill in the type of activity (i.e., exempt, categorical exclusion, environmental assessment):**

Except for an exempt activity, I further certify that all applicable local, state and federal agencies have been contacted in writing and the present status of the environmental review process for this project is as follows **(you must check one box for every line)**:

**YES    N/A**

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | All agencies have been contacted and all responses by these agencies have been received no negative environmental comments received.  |
| <input type="checkbox"/> | <input type="checkbox"/> | All agencies contacted - all responses received - negative environmental comments received - mitigation necessary; actions necessary to mitigate negative environmental concerns are as follows: <b>(list actions below)</b>  |
| <input type="checkbox"/> | <input type="checkbox"/> | All agencies contacted - no negative environmental comments received from commenting agencies; comments still pending from following agencies: <b>(list agencies below)</b>   |
| <input type="checkbox"/> | <input type="checkbox"/> | The Pennsylvania Historical and Museum Commission has required that an archaeological reconnaissance be conducted, and this reconnaissance has been conducted, and no negative findings resulted there from; OR, negative findings resulted and the following mitigation steps are necessary: <b>(list steps below)</b> |
| <input type="checkbox"/> | <input type="checkbox"/> | Format II Equivalency completed. <i>(N/A for Categorical Exclusion)</i>   |
| <input type="checkbox"/> | <input type="checkbox"/> | Environmental assessment completed - Finding of No Significant Impact (FONSI) determined - ready to publish combined notice <i>(N/A for Categorical Exclusion)</i>  |
| <input type="checkbox"/> | <input type="checkbox"/> | Notice of Intent to request Release of Funds - ready to be published <i>(Categorical Exclusion only)</i>  |

Printed Name & Title

Signature

Date

**List any comments regarding this section here:**

### PROJECT ENGINEERING AND/OR ARCHITECTURAL SERVICES

As Chief Elected Official (CEO) of the Applicant, I hereby certify that all preliminary architectural and/or engineering services necessary to complete the environmental review process have been completed and the Applicant is prepared to immediately proceed with final architectural and/or engineering services upon award of the DR grant by DCED-DR.

Printed Name & Title

Signature

Date

**List any comments regarding this section here:**



## STATUS OF SITE CONTROL

APPLICANT NAME:

**Submit one form with both signatures – Form must be submitted for all projects involving acquisition at application and resubmitted within 120 days of grant award.**

As the Applicant's Legal Counsel and Project Engineer or Architect, respectively, we hereby mutually certify that the following activities have been completed respective to **ALL** interests in real property which are related or involved with the commencement and completion of DR-assisted activities in accordance with the federal Uniform Relocation and Acquisitions Policies Act of 1970, as amended, hereinafter referred to as "URA":

**YES    N/A**

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | All project-related sites, parcels, easements and other real property interests have been identified.  |
| <input type="checkbox"/> | <input type="checkbox"/> | All title searches and title opinions have been completed.   |
| <input type="checkbox"/> | <input type="checkbox"/> | All subject parcels, easements or interests are unencumbered to the extent that the same may be dedicated to the project by the owner(s) of title.   |
| <input type="checkbox"/> | <input type="checkbox"/> | The owner(s) of record for each parcel, easement or other interest has been furnished the HUD-1041-CPD brochure entitled "When a Public Agency Acquires Your Property", and certified mail-return receipts are on file with Applicant. |
| <input type="checkbox"/> | <input type="checkbox"/> | Written notifications to owners of right to accompany appraiser for all parcels or easements have been completed and are on file.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Completion of all fee and review appraisals for all parcels, or market value estimate if below \$10,000.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Where applicable, written waiver of rights in accordance with the URA has been obtained from all applicable owner(s) of record.  |
| <input type="checkbox"/> | <input type="checkbox"/> | All options and easement agreements completed and fully executed by owner(s) of record.  |

The undersigned further certify that the DR-assisted project will **NOT** involve eminent domain or other condemnation proceedings undertaken respective to interests in real property which are applicable to the DR-assisted project.

**APPLICANT'S LEGAL COUNSEL:**

Printed Name & Title

Signature

Date

**APPLICANT'S PROFESSIONAL ENGINEER OR ARCHITECT:**

Printed Name & Title

Signature

Date

**List any comments regarding this section here:**



## STATUS OF PERMITS

APPLICANT NAME:

**Submit one form with both signatures.**

As Chief Elected Official of the Applicant, I hereby certify that all local, state and federal permits necessary to complete the project have been listed in the DR application document and such permits may be secured in sufficient time for the Applicant to complete the project within 24-36 months following grant award.

\_\_\_\_\_  
Printed Name & Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**AFFIRMATION BY APPLICANT'S PROFESSIONAL ENGINEER OR ARCHITECT:**

\_\_\_\_\_  
Printed Name & Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**List any comments regarding this section here:**



## DISPLACEMENT ASSESSMENT

APPLICANT NAME:

Use this page to assess displacement plans and strategy.

☐ N/A - No displacement will occur\*

1. Describe the need for displacement:

2. Substantiate the need for displacement:

3. Explain how displacement will be minimized:

4. Explain how the negative effects of displacement will be minimized:

\* Attach Local Displacement Plan even if displacement will not occur.



## Instructions for Completion of LMI Principal Benefit Determination

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1. Applicant Name – Name of Municipality.
2. Date – Enter date of submission.
3. Submission Type – Check as appropriate.

### Principal Benefit Form

- A. **Activity** – Enter the number and description of the activity using the list from Activities Description Instructions, refer to the HUD IDIS Matrix Codes in Appendix F.
- B. **National Objective met/CDBG** – Enter total CDBG dollars budgeted in support of each activity under the appropriate National Objective met in columns 1-3. If an activity qualifies as meeting the low and moderate income national objective, then 100 percent of CDBG funds budgeted for the activity are counted as benefiting LMI. If less than 51 percent benefit is demonstrated, the activity does not meet the National Objective of Benefit to LMI (except new Housing) and no CDBG funds are counted as benefiting LMI. For example, if 8 of 10 units are to be occupied by LMI persons, and the total costs are \$120,000 - \$100,000 CDBG and \$20,000 other, then \$96,000 is counted toward benefiting the LMI category.
- C. **CDBG Total/Percent LMI** – Enter total amount for all activities in each national objective. Indicate percent of CDBG funds benefiting LMI of total CDBG funds for activities.

*Note: Administration costs should not be included in the determination of principal benefit.*



# LMI PRINCIPAL BENEFIT DETERMINATION

## COMMUNITY DEVELOPMENT BLOCK GRANT DISASTER RECOVERY PROGRAM

1. APPLICANT/GRANTEE NAME:			2. DATE:	
3. TYPE <input type="checkbox"/> Original <input type="checkbox"/> Revised <input type="checkbox"/> Modification		4. FISCAL YEAR	5. CONTRACT NUMBER:	

A. ACTIVITY		B. NATIONAL OBJECTIVE MET/CDBG-DR FUNDS		
HUD Code	Activity	1. LMI Dollars	2. Urgent Need Dollars	3. Total Dollars
01	Acquisition of Real Property .....			
02	Disposition .....			
03A	Senior Center/Facilities .....			
03F	Parks, Recreation Facilities .....			
03G	Parking Facilities .....			
03I	Flood and Drainage Facilities .....			
03J	Water / Sewer Improvements .....			
03K	Street Improvements .....			
03O	Fire Station / Equipment .....			
03*	Public Facilities - Other .....			
04	Clearance and Demolition .....			
05A	Public Service - Senior Centers .....			
05B	Public Service - Handicapped .....			
05D	Public Service - Youth Programs .....			
05L	Public Service - Child Care .....			
05*	Public Service - Other .....			
06	Interim Assistance .....			
08	Relocation .....			
12	Construction of Housing .....			
13	Direct Homeownership Assistance .....			
14A	Rehab: Single-Unit Residential .....			
14E	Rehab: Publicly or Privately Owned Comm./Ind. ....			
14G	Acquisition - for Rehabilitation .....			
15	Code Enforcement .....			
16B	Non-Residential Historic Preservation .....			
18A	ED Direct Financial Assistance to For-Profits .....			
19F	Planned Repayment of Section 108 Loan Principal .....			
___	Other .....			
___	Other .....			
<b>C. CDBG TOTALS .....</b>				
<b>% LMI OF TOTAL .....</b>				

**BUDGET SUMMARY****COMMUNITY DEVELOPMENT BLOCK GRANT DISASTER RECOVERY PROGRAM**

1. APPLICANT/GRANTEE NAME:		2. DATE:	
3. TYPE <input type="checkbox"/> Original <input type="checkbox"/> Revised <input type="checkbox"/> Modification		4. FISCAL YEAR	5. CONTRACT NUMBER:

Code	HUD Code Title / Regulation Citation	CDBG	CDBG Program Income	Other	Total
01	Acquisition of Real Property / 570.201 (a) .....				
02	Disposition / 570.201 (b) .....				
03A	Senior Center/Facilities / 570.201 (c) .....				
03F	Parks, Recreation Facilities / 570.201 (c) .....				
03G	Parking Facilities / 570.201 (c) .....				
03I	Flood and Drainage Facilities / 570.201 (c) .....				
03J	Water / Sewer Improvements / 570.201 (c) .....				
03K	Street Improvements / 570.201 (c) .....				
03O	Fire Station / Equipment / 570.201 (c) .....				
03*	Public Facilities - Other / 570.201 (c) .....				
04	Clearance and Demolition / 570.201 (d) .....				
05A	Public Service - Senior Centers / 570.201 (e) .....				
05B	Public Service - Handicapped / 570.201 (e) .....				
05D	Public Service - Youth Programs / 570.201 (e) .....				
05L	Public Service - Child Care / 570.201 (e) .....				
05*	Public Service - Other / 570.201 (e) .....				
06	Interim Assistance / 570.201 (f) .....				
08	Relocation / 570.201 (i) .....				
12	Construction of Housing / 570.201 (m) .....				
13	Direct Homeownership Assistance / 570.201 (n) .....				
14A	Rehab: Single-Unit Residential / 570.202 .....				
14E	Rehab: Publicly or Privately Owned Comm./Ind. / 570.202 .....				
14G	Acquisition - for Rehabilitation / 570.202 .....				
15	Code Enforcement / 570.202 (c) .....				
16B	Non-Residential Historic Preservation / 570.202 (d) .....				
18A	ED Direct Financial Assistance to For-Profits / 570.203 (b) .....				
19F	Planned Repayment of Section 108 Loan Principal .....				
___	Other .....				
___	Other .....				
Program Administration / 570.205 & 570.206 .....					
General (HUD Code 21A) \$ .....					
Planning (HUD Code 20) \$ .....					
Audit \$ .....					
Pre-Agreement \$ .....					
<b>TOTAL</b> .....					

Activities, including administration (limited to 2.5% of the total grant) may be increased or decreased provided the activity(ies) and beneficiaries do not change. This is considered a revision. Please refer to Appendix F in the Application Kit for modification and revision procedures. The overall contract may not be increased.

**BUDGET SUMMARY | COMMUNITY DEVELOPMENT BLOCK GRANT DISASTER RECOVERY PROGRAM****LIMITATIONS****Administration:**

2.5% of CDBG-DR Amount

Total Grant: \$ \_\_\_\_\_

Administration: \$ \_\_\_\_\_

Percent: \_\_\_\_\_ %

**Public Services:**

15% of CDBG-DR Amount

Total Grant: \$ \_\_\_\_\_

Public Services: \$ \_\_\_\_\_

Percent: \_\_\_\_\_ %

**RELOCATION****Whenever relocation is proposed, provide the following information:**

Number of businesses to be relocated: \_\_\_\_\_

Number of persons to be relocated: \_\_\_\_\_

Number of businesses to receive relocation payments and/or assistance: \_\_\_\_\_

Number of persons to receive relocation payments and/or assistance: \_\_\_\_\_

**GENERAL INSTRUCTIONS**

The Budget Summary provides a general listing of the activities for funding from a municipality's federal fiscal year CDBG grant. The two activities that are marked with an asterisk (\*) are a general category for either public service (05) or public facilities (03) that do not fit under the listed public services or public facilities activities. The "Other" activity listing (bottom of the budget summary) is for activities that do not fit any of the listed activities. The numbering for the budget summary reflects the HUD Integrated Disbursement Information System (IDIS) matrix codes which are included in Appendix E. Only the total for administration, not the individual components (i.e. general, planning, audit, pre-agreement) should be shown in the columns for CDBG, CDBG Program Income, Other and Total.

## Appendix E – HUD Matrix Codes

When you enter this code, you provide detailed information to HUD regarding the expenditure of funds. (In turn, the code determines your setup path.) Some codes are program specific, but most are not. Try to select the most specific code you can (for example use code 05L [Child Care Services] instead of 05 [Public Services].) For detailed information on HUD Matrix Codes refer to the *Definitions of IDIS Matrix Codes* document at the IDIS Web Site ([www.hud.gov/cpd/idisweb.html](http://www.hud.gov/cpd/idisweb.html)).

<b>HUD Code</b>	<b>HUD Code Title - Activity</b>	<b>Regulation Citation</b>
01	Acquisition of Real Property	570.201(a)
02	Disposition	570.201(b)
03	Public Facilities and Improvements (General)	570.201(c)
03A	Senior Centers	570.201(c)
03B	Handicapped Centers	570.201(c)
03C	Homeless Facilities (not operating costs)	570.201(c)
03D	Youth Centers	570.201(c)
03E	Neighborhood Facilities	570.201(c)
03F	Parks, Recreational Facilities	570.201(c)
03G	Parking Facilities	570.201(c)
03H	Solid Waste Disposal Improvements	570.201(c)
03I	Flood Drain Improvements	570.201(c)
03J	Water/Sewer Improvements	570.201(c)
03K	Street Improvements	570.201(c)
03L	Sidewalks	570.201(c)
03M	Child Care Centers	570.201(c)
03N	Tree Planting	570.201(c)
03O	Fire Stations/Equipment	570.201(c)
03P	Health Facilities	570.201(c)
03Q	Abused and Neglected Children Facilities	570.201(c)
03R	Asbestos Removal	570.201(c)
03S	Facilities for AIDS Patients (not operating costs)	570.201(c)
03T	Operating Costs of Homeless/AIDS Patients Programs	
04	Clearance and Demolition	570.201(d)
04A	Clean-up of Contaminated Sites	570.201(d)
05	Public Services (General)	570.201(e)
05A	Senior Services	570.201(e)
05B	Handicapped Services	570.201(e)
05C	Legal Services	570.201(E)
05D	Youth Services	570.201(e)
05E	Transportation Services	570.201(e)
05F	Substance Abuse Services	570.201(e)
05G	Battered and Abused Spouses	570.201(e)
05H	Employment Training	570.201(e)
05I	Crime Awareness	570.201(e)
05J	Fair Housing Activities (if CDBG, then subject to	570.201(e)
05K	Tenant/Landlord Counseling	570.201(e)
05L	Child Care Services	570.201(e)
05M	Health Services	570.201(e)
05N	Abused and Neglected Children	570.201(e)
05O	Mental Health Services	570.201(e)
05P	Screening for Lead-Based Paint/Lead Hazards Poison	570.201(e)
05Q	Subsistence Payments	570.204
05R	Homeownership Assistance (not direct)	570.204

05S	Rental Housing Subsidies (if HOME, not part of 5%	570.204
05T	Security Deposits (if HOME, not part of 5% Admin c	
06	Interim Assistance	570.201(f)
07	Urban Renewal Completion	570.201(h)
08	Relocation	570.201(i)
09	Loss of Rental Income	570.201(j)
10	Removal of Architectural Barriers	570.201(k)
11	Privately Owned Utilities	570.201(l)
12	Construction of Housing	570.201(m)
13	Direct Homeownership Assistance	570.201(n)
14A	Rehab; Single-Unit Residential	570.202
14B	Rehab; Multi-Unit Residential	570.202
14C	Public Housing Modernization	570.202
14D	Rehab; Other Publicly-Owned Residential Buildings	570.202
14E	Rehab; Publicly or Privately-Owned Commercial/Indu	570.202
14F	Energy Efficiency Improvements	570.202
14G	Acquisition - for Rehabilitation	570.202
14H	Rehabilitation Administration	570.202
14I	Lead-Based/Lead Hazard Test/Abate	570.202
15	Code Enforcement	570.202(c)
16A	Residential Historic Preservation	570.202(d)
16B	Non-Residential Historic Preservation	570.202(d)
17A	CI Land Acquisition/Disposition	570.203(a)
17B	CI Infrastructure Development	570.203(a)
17C	CI Building Acquisition, Construction, Rehabilitat	570.203(a)
17D	Other Commercial/Industrial Improvements	570.203(a)
18A	ED Direct Financial Assistance to For-Profits	570.203(b)
18B	ED Technical Assistance	570.203(b)
18C	Micro-Enterprise Assistance	
19A	HOME Admin/Planning Costs of PJ (not part of 5% Ad	
19B	HOME CHDO Operating Costs (not part of 5% Admin ca	
19C	CDBG Non-profit Organization Capacity Building	
19D	CDBG Assistance to Institutes of Higher Education	
19E	CDBG Operation and Repair of Foreclosed Property	
19F	Planned Repayment of Section 108 Loan Principal	
19G	Unplanned Repayment of Section 108 Loan Principal	
19H	State CDBG Technical Assistance to Grantees	
20	Planning	570.205
21A	General Program Administration	570.206
21B	Indirect Costs	570.206
21D	Fair Housing Activities (subject to 20% Admin cap)	570.206
21E	Submissions or Applications for Federal Programs	570.206
21F	HOME Rental Subsidy Payments (subject to 5% cap)	
21G	HOME Security Deposits (subject to 5% cap)	
21H	HOME Admin/Planning Costs of PJ (subject to 5% cap	
21I	HOME CHDO Operating Expenses (subject to 5% cap)	
22	Unprogrammed Funds	
31	HOPWA	
31A	HOPWA Grantee Activity	
31B	HOPWA Grantee Administration	
31C	HOPWA Project Sponsor Activity	
31D	HOPWA Project Sponsor Administration	

## Definitions of IDIS Matrix Codes

The Office of Community Planning and Development is providing this document for your use when working with IDIS. These codes are used to describe the nature of the activity being funded by HUD. The code descriptions are written in easy-to-understand language and contain specific examples.

### Acquisition and Disposition

#### 01 Acquisition

An activity should be coded as Acquisition if CDBG funds will be used only for the acquisition of property for a public purpose. This code is frequently used for the acquisition of property on which a public facility or public improvement will be constructed using other funds, or for the acquisition of property on which housing will be constructed using other funds. **NOTE:** Sometimes it will be necessary to include demolition and relocation expenditures under this category because the grantee will not be able to distinguish these funds from those used for acquisition.) For example, if land is acquired for the development of a senior center and CDBG funds will be used only for acquisition of the property, code the activity as 01. If the property will be acquired and CDBG funds will be used for constructing or rehabilitating a senior center, code the activity 03A, Senior Centers, rather than 01. However, if grantees group acquisition with relocation or disposition, the activity can be coded as acquisition (as this is usually the most expensive portion). When CDBG funds are used to acquire housing that will also be rehabilitated with CDBG funds, code 14G, Acquisition for Rehabilitation, should be used. Use code 17A, Commercial/Industrial Land Acquisition Disposition, if the grantee or subrecipient will acquire land, clear structures, or package land for the purpose of creating an industrial park or encouraging commercial or industrial redevelopment. For the HOME program, use this code for the acquisition of a structure that does not require rehabilitation and that will be used to provide affordable rental housing or homeownership units. Use code 14G for the acquisition of a structure that requires rehabilitation and will be used to provide affordable rental housing or homeownership units. Use code 12 for the acquisition of land on which new housing will be constructed using HOME funds.

ESG funds cannot be used for acquisition activities.

#### 02 Disposition

Disposition can occur through the sale, lease, or donation of property acquired with CDBG funds or under urban renewal. Communities ordinarily use this term to describe costs that are incidental to disposing or transferring real property acquired with CDBG funds, and to describe the costs of temporarily maintaining properties pending disposition (for example, legal service, financial service, appraisal survey, and transfer of ownership costs).

### Public Facilities and Improvements

CDBG, HOPWA, and ESG funds may be used by the grantee or other public or private non-profit entities for public facilities and improvements.

**The matrix codes listed below should be used when the grantee includes the cost of acquiring real property with the cost of construction or rehabilitation of a public facility or improvement.**

(If CDBG funds will **only** be used to acquire property for a public facility, use the Acquisition code, 01.) Examples of public facilities include senior, handicapped, youth, or neighborhood centers, shelters for the homeless, and child care centers. Infrastructure improvements include street, sidewalk, water, sewer, flood, and drainage improvements. Finally, commercial and industrial improvements undertaken by the grantee or a subrecipient for economic development purposes should be coded 17A, 17B, 17C, or 17D, as appropriate.

### **03 Public Facilities and Improvements**

This is the general code for public facilities. This code should not be used unless the activity does not fall under a more specific category.

#### **03A Senior Centers**

Use code 03A for the construction or rehabilitation of senior citizen centers. A facility described as serving "senior citizens and the disabled" may be classified under this category; however, if the facility is intended primarily to serve persons with disabilities, the facility should be classified under 03B, Centers for the Disabled/Handicapped. (If the activity involves rehabilitation of a building to provide permanent housing for the elderly, the activity should be coded in the 14 series, Housing; if the activity involves new construction of such permanent housing, it should be classified under code 12, Construction of Housing.)

#### **03B Centers for the Disabled/Handicapped**

Use code 03B for construction or rehabilitation of group homes or centers for the disabled. (As noted above, if the activity involves rehabilitation of a building to provide permanent housing, it should be coded in the 14 series, Housing; if the activity involves new construction of such permanent housing, it should be classified under code 12, Construction of Housing.)

#### **03C Homeless Facilities (Not Operating Costs)**

Use code 03C for construction, conversion, renovation, or rehabilitation of shelters for the homeless, including shelters for battered spouses. This code should also be used for transitional housing and SROs (single room occupancy units) for the homeless that are funded by CDBG.

**NOTE:** Transitional housing for homeless persons should be coded 03C for CDBG funded activities. However, for activities funded by other programs, transitional housing and SROs may be coded under the 14 series, as housing rehabilitation. ESG funds may not be used for new construction.

Centers for abused children should be coded under 03Q, Abused and Neglected Children's Facilities.

#### **03D Youth Centers/Facilities**

This refers to facilities that will be used primarily to provide services for teenage youth (ages 13 to 19). This includes playground and recreation facilities that are a part of youth centers/facilities. Facilities for children ages 0 to 12 should be coded as 03M, Child Care Centers/ Facilities for Children.

#### **03E Neighborhood Facilities**

Use code 03E for structures that will be used for social services or for multiple purposes, including recreation, and that are principally designed to serve a neighborhood. Such facilities may include libraries and public schools.

#### **03F Parks, Recreational Facilities**

Use code 03F whenever the activity involves developing an open space area or a facility to be used principally for recreation purposes.

#### **03G Parking Facilities**

This code should be used for off-street parking lots and parking garages. If on-street parking is included as part of a street improvement program, the activity should be recorded as street improvements, unless the proposed description of the activity or the accomplishments clearly indicate that the purpose of the activity will be primarily to improve parking. If a parking addition/improvement is the major component of improvements made to a neighborhood facility or other facility under the 03 series, the activity should be classified under 03G as a parking improvement.

#### **03H Solid Waste Disposal Facilities**

This code should be used for any activity that describes the construction and/or rehabilitation of solid waste disposal facilities.



### **03I Flood and Drainage Facilities**

This code should be used for those activities that the grantee indicates will be used for flood control or irrigation (e.g., retention ponds or catch basins). This code does not include storm sewers, street drains, or storm drains. When in doubt, use 03J for water/sewer improvements and 03K for street drains and storm drains.

### **03J Water/Sewer Improvements**

Water/Sewer Improvements include installation or replacement of water lines, sanitary sewers, storm sewers, and fire hydrants. All water/sewer projects undertaken with only minor or no street improvements should be coded as 03J. Repaving of streets is generally required as part of the installation of water/sewer improvements. However, if the activity is primarily for the purpose of street improvements but involves some water/sewer improvements, the activity should be coded as 03K, Street Improvements. For example, an activity that involves paving 6 blocks of Main Street and installing 100 feet of new water lines in one of those blocks should be classified under 03K. Activities classified under the 03J code generally should not include flood and drainage facilities; flood and drainage facilities should be classified under 03I.

### **03K Street Improvements**

A street improvement project may include street drains, storm drains, curb and gutter work, tunnels, bridges, and the installation of street lights or signs. If sidewalks and trees will be installed as a peripheral part of a street improvement, the activity should still be coded as Street Improvements. Street improvements that include landscaping, street lights, and/or street signs (commonly referred to as “streetscapes”) should also be coded 03K.

See also the discussion above in 03J, Water/Sewer Improvements.

### **03L Sidewalks**

Use this code when an activity is for the purpose of sidewalk improvements. Sidewalk improvements that include the installation of trash receptacles, trees, benches, and lighting should also be coded under 03L.

### **03M Child Care Centers/Facilities for Children**

Examples of these include daycare centers and Head Start pre-school centers.

### **03N Tree Planting**

Activities that are limited to tree planting (sometimes referred to as "beautification") should be coded under 03N. As noted under 03K and 03L, tree planting included as part of a streetscape activity should be coded 03K, and tree planting included as part of sidewalks should be coded 03L.

### **03O Fire Station/Equipment**

In addition to the construction or rehabilitation of a fire station, this category includes the purchase of fire trucks, ambulances, and rescue equipment.

### **03P Health Facilities**

This code includes both physical and mental health facilities. If the facility is more accurately classified under another category, such as one for Abused and Neglected Children (03Q), it should be classified as such.

### **03Q Abused and Neglected Children's Facilities**

Use this code when the activity includes daycare, treatment, or temporary housing for abused and neglected children.

### **03R Asbestos Removal**

Use this code when the primary goal of the improvement to any public facility is to remove asbestos.

### **03S Facilities for AIDS Patients (Not Operating Costs)**

Construction or rehabilitation of buildings for treatment or temporary housing for people who are HIV positive or who have AIDS. If the facility is for AIDS education and prevention, the facility should be categorized under Health Facilities (03P).

### **03T Operating Costs of Homeless/AIDS Patients Programs**

Use this code for operating expenses of ESG-funded emergency shelters. This code includes all costs associated with the operation of facilities (such as utilities, maintenance, and insurance) for homeless persons and/or AIDS patients. (**NOTE:** If this code is used for a CDBG-assisted activity, the activity will be included in the public service calculation, because the use of CDBG funds to pay for the cost of operating homeless/AIDS patients programs is a public service.)

## **Public Services**

Examples of public services activities include CDBG-assisted programs for drug and alcohol counseling, meals-on-wheels, daycare, and Head Start; ESG-funded essential services; and HOPWA-funded supportive services. Care should be taken to distinguish a service from construction or rehabilitation of a facility where a service is being provided. For example, the construction or rehabilitation of a senior center is coded as 03A, but the funding of services provided at a facility for senior citizens is coded as 05A. Rental of a facility for a service is considered part of delivery of the service and should be coded as a public service. Public service activities also include the cost of operating and maintaining that portion of a facility in which a service is located. Generally, if the activity is restricted to one client group such as the elderly, use the code for that client group; for example, use code 05A for Senior Services. Exceptions to this rule occur when considering employment services and substance abuse services. A grantee may code an activity such as youth employment services as either 05D, Youth Services, or 05H, Employment Training.

### **05 Public Services (General)**

*Do not use this code unless the activity cannot be classified under a more specific activity code.*

Public service activities include housing referral and counseling services, neighborhood cleanup, homeownership counseling, food distribution (food bank services), health education, or rape prevention education. General or unspecified homeless services, including those described as essential or supportive services, may also be assigned this activity code. Use this code for **essential services** provided by the ESG Program, unless a more specific activity code can be assigned.

### **05A Senior Services**

Use code 05A for services that will be provided to elderly persons (e.g., meals-on-wheels, dial-a-ride). Also use this code for services provided for victims of Alzheimer's disease. (Code 05A, Senior Services, or 05B, Services for the Disabled, may be used for activities that will provide services for both senior citizens and persons with disabilities if the activity is not intended primarily to serve one group rather than the other.)

### **05B Services for the Disabled**

*(Previously Referred to as Handicapped Services)*

Use this code to indicate services for persons with disabilities, regardless of age.

### **05C Legal Services**

Includes programs that provide legal aid to low- and moderate-income persons. If legal services are solely to settle tenant/landlord disputes, use code 05K.

### **05D Youth Services**

Use code 05D for services for teenagers (ages 13 to 19) that include, for example, recreational services limited to teenagers or a teen counseling program. If a counseling program is targeted for youth but includes

counseling for the family as well, it may still be classified as a youth service if the focus is on counseling for youth. However, use 05L, Child Care Services, for services for children up to age 13, and 05N, Abused and Neglected Children, for services for abused children.

**05E Transportation Services**

Use this code for transportation services. Transportation services for a specific client group should be classified under the code for that client group; for example, use code 05A, Senior Services, for transportation services for the elderly.

**05F Substance Abuse Services**

Use this code for substance abuse recovery programs as well as prevention/education activities.

**05G Battered and Abused Spouses**

Use this code only for programs serving adults or families. If the activity is limited to serving abused and neglected children, classify the activity under 05N, Abused and Neglected Children.

**05H Employment Training**

Use this code for assistance that increases self-sufficiency. This includes literacy, independent living skills, job training, and employment service activities. These activities may be administered by the grantee or a subrecipient, such as a social service agency. When financial assistance will be used to provide job training for the creation of a permanent job (or jobs) with a specific business (or businesses), use code 18A, Economic Development Direct: Direct Financial Assistance to For-Profit Business.

**05I Crime Awareness/Prevention**

Use this code for any program that promotes these goals, including crime prevention education programs and paying for security guards.

**05J Fair Housing Activities**

*(If CDBG, subject to 15 percent public service cap)*

Use this code for fair housing services (e.g., counseling on housing discrimination) when the grantee indicates that a national objective will be met. Use code 21D when a national objective is not stated.

**05K Tenant/Landlord Counseling**

Use this code for counseling provided to help prevent or settle disputes that occur between tenants and landlords.

**05L Child Care Services**

Use this code for services that will benefit children (generally under age 13), including parenting skills classes. However, services exclusively for abused and neglected children should be classified under 05N, Abused and Neglected Children.

**05M Health Services**

Health services activities include operation of neighborhood clinics, post-rape counseling, vermin abatement services (also known as "vector control"), and other activities designed to serve the health needs of residents. (Exception: Mental health services, which should be classified under 05O.)

**05N Abused and Neglected Children**

Use this code for daycare or other services exclusively for abused and neglected children.

**05O Mental Health Services**

Use this code for activities designed to address the mental health needs of residents of the community.

**05P Screening for Lead-Based Paint/Lead Hazards Poisoning**

Use this code for activities designed primarily to provide screening for (not removal of) lead-based paint and other lead poisoning hazards.

### **05Q Subsistence Payments**

For CDBG, this code should only be used for activities designed to provide one-time or short-term (no more than three months) emergency grant payments on behalf of an individual or family, generally for the purpose of preventing homelessness. Examples include use of CDBG funds to prevent the loss of utilities, or payment of rent/mortgage to prevent eviction. For other programs, this code may be used for activities that provide tenant subsidies and other payments for expenses **other than** rent or security deposits. If payments are only for rent, code as 05S, Rental Housing Subsidies (HOME Tenant-Based Rental Assistance). Payments for security deposits should be coded 05T, Security Deposits (if HOME, not part of 5 percent Administration cap).

For ESG, this code should be used for projects that provide **a range** of homeless prevention assistance, including short-term subsidies to defray rent and utility arrearages for families, security deposits or first month's rent, payments to prevent foreclosure on a home, mediation and legal services, and other similar programs.

### **05R Homeownership Assistance (Not Direct)**

CDBG: Prior to December 11, 1995, this category should be used for homeownership assistance carried out as a public service. Examples include write-down of mortgage costs, payment of closing costs, and downpayment assistance. When carried out as a public service, generally the recipients are not 100 percent low- and moderate-income. The national objective should be shown as LMH. Effective December 11, 1995, homeownership under 05R is limited to only homebuyer downpayment assistance, and the activity must use the LMH (housing) national objective. (NOTE: Homeownership assistance provided by the authority of the National Affordable Housing Act should be classified under code 13, Direct Homeownership Assistance.)

### **05S Rental Housing Subsidies (HOME Tenant-Based Rental Assistance)**

Use this code for tenant subsidies exclusively for rental payments, including HOME Tenant-Based Rental Assistance. Under CDBG, effective December 11, 1995, an activity to provide assistance for this purpose must be carried out by a community-based development organization (CHDO); prior to December 11, 1995, the activity must have been carried out by an eligible subrecipient under 570.204. For ESG, this code should be assigned to homeless prevention projects that only provide rental subsidies.

### **05T Security Deposits**

For all programs, use this code for activities exclusively providing security deposits as a form of tenant subsidy.

### **03T Operating Costs of Homeless/AIDS Patients Programs**

If this code is used for a CDBG-assisted activity, the activity will be included in the public service calculation, because the use of CDBG funds to pay for the cost of operating homeless/AIDS patients programs is a public service. (NOTE: If this code will be used for an ESG-funded emergency shelter, the activity will be considered a public facility/service.) This code includes all costs associated with the operation of facilities (such as utilities, maintenance, insurance) for homeless persons and/or AIDS patients.

## **Housing**

Housing includes new construction, rehabilitation, and delivery costs. For CDBG, housing rehabilitation includes "handy-person," paint, smoke detector, and lock installation programs as well as water and sewer connections to housing. (Landscaping may be included as part of a rehabilitation project when performed in conjunction with other rehabilitation activities.) Code 14A should be used for single-family housing, and 14B should be used for privately owned multi-family rehabilitation. For CDBG, the rehabilitation of facilities or shelters for homeless persons may not be coded under the 14 series. The construction or rehabilitation of homeless shelters and group homes is not generally considered housing; rather, it is considered "public facilities" under the CDBG program. However, for programs designed to provide

permanent housing for homeless persons (rather than temporary shelter), such rehabilitation may be coded under the 14 series. For CDBG housing service expenses under 201K, which is restricted to assisting HOME projects, use the codes that apply to the particular HOME projects.

## **12 Construction of Housing**

Use code 12 for the construction of new housing, including the acquisition of the land on which the housing will be constructed. ESG funds may not be used for the construction of housing.

## **13 Direct Homeownership Assistance**

Under the HOME program, use this code for homeownership assistance. Under the CDBG program, assistance provided to facilitate homeownership may be in the form of subsidizing interest rates and mortgage principal amounts, payment of closing costs and downpayment assistance for low- and moderate-income homebuyers, acquiring guarantees for mortgage financing from private lenders, and financing the acquisition by low- and moderate-income persons of housing they already occupy. The assistance may be provided by the grantee or through a subrecipient, and the LMH (housing) national objective should be used. However, if all recipients are not low- or moderate-income persons, the activity must be classified 05R, Homeownership Assistance, Not Direct.

## **14A Rehabilitation: Single-Unit Residential**

This category includes loans and grants for the rehabilitation of privately owned homes.

**NOTE:** Under CDBG, single family means one-unit structures.

## **14B Rehabilitation: Multi-Unit Residential**

For CDBG, this category includes the rehabilitation of buildings with two or more residential units. Under the CDBG program, grantees may use 14B for SROs that will provide permanent housing for low- and moderate-income persons, including the elderly or persons with disabilities. SROs intended to provide temporary or transitional housing for homeless persons should be classified under the 03 series, Public Facilities and Improvements, rather than under the 14 series.

## **14C Public Housing Modernization**

This type of activity includes the rehabilitation of housing units owned/operated by a public housing authority (PHA) or an Indian housing authority (IHA).

## **14D Rehabilitation: Other Publicly Owned Residential Buildings**

This type of activity includes housing that is owned by a public entity other than a PHA or an IHA. This category may include SROs that are owned by a public entity other than a PHA or IHA. (CDBG: As discussed under 14B above, if the SROs are to provide permanent housing for low-income persons, including the elderly or handicapped persons, they may be classified under 14D if they are owned by a public entity other than a PHA or IHA. If such SROs are intended to provide temporary shelter or transitional housing for homeless persons, they should be classified under the 03 series, Public Facilities and Improvements, rather than under the 14 series.)

## **14F Energy Efficiency Improvements**

Code 14F should be used only when it is clear that the activity being funded is a rehabilitation program for the sole purpose of promoting energy efficiency (e.g., a weatherization program). If an activity will provide energy-efficiency improvements for public housing units or other publicly owned residential buildings, it should be classified as 14C or 14D, as appropriate.

## **14G Acquisition For Rehabilitation**

CDBG: Use code 14G when property is acquired in order that it may be rehabilitated for housing. (Use codes 01 or 17A for other acquisition activities.) 14G may be used to reflect the cost of only the acquisition if the rehabilitation costs will be paid from another source, or it may also include both the costs of acquisition and rehabilitation if the cost of the rehabilitation is also paid with CDBG funds.

For the HOME program, use this code for the acquisition of a structure that requires rehabilitation and will be used to provide affordable rental housing or homeownership units.

#### **14H Rehabilitation Administration**

Use this code for all activity delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities. Examples of these include architectural, engineering, appraisal, and other professional services; preparation of work specifications and work write-ups; loan processing and loan origination fees; surveys, site, and utility plans; application processing; and other fees involving housing rehabilitation. The costs of administering one or more rehabilitation programs may be classified as separate activities or they may be included as part of the total cost of each rehabilitation activity. Similarly, activities such as "rehabilitation counseling" may be included as part of housing rehabilitation activities coded 14A -14D and 14F. When housing rehabilitation administration is classified in the 14 series, a national objective must be identified. However, housing rehabilitation administration may be included under General Program Administration, code 21, without a national objective being identified. If classified in this manner, though, the activity will be included under the 20 percent Planning and Administration cap.

#### **14I Lead-Based Paint/Lead Hazard Test/Abatement**

Use this code when the primary goal of a housing rehabilitation activity is for lead-based paint and hazard evaluation and reduction.

#### **16A Residential Historic Preservation**

This code should only be used for the rehabilitation of historic residential structures.

#### **19A Do not use this code for new activities**

Refer to code 21H, Funding of Admin/Planning Costs of PJ.

#### **19B Do not use this code for new activities**

Refer to code 21I, Funding of CHDO Operating Costs

### **Commercial/Industrial Improvements by Grantee or Non-Profit**

These codes may be used to identify special economic development activities carried out by the grantee or through a public or private non-profit subrecipient. Under this series, CDBG funds are not given to a specific for-profit business or businesses. Assistance to for-profits for economic development projects should be classified under the 18 series.

#### **17A Commercial/Industrial Land Acquisition/Disposition**

Use code 17A if the grantee or subrecipient will acquire land, clear structures, or package commercial or industrial property for a special economic development activity, like creating an industrial park.

#### **17B Commercial/Industrial Infrastructure Development**

Use code 17B if the grantee or subrecipient will make street improvements, water improvements, parking additions, rail transport improvements, or other improvements to a site for a special economic development activity. This category may include installation of public improvements in an industrial site or construction of streets/roads to and through commercial/industrial areas.

#### **17C Commercial/Industrial Building Acquisition, Construction, Rehabilitation**

Use code 17C if the grantee or subrecipient will acquire, construct, or rehabilitate a commercial/industrial building for a special economic development activity.

#### **17D Other Commercial/Industrial Improvements**

Use this code for other commercial and industrial improvements undertaken by the grantee or a non-profit for a special economic development activity that is not covered by 17A, 17B, or 17C.

## Direct Economic Development Assistance to Private For-Profits

Direct assistance to a for-profit entity, provided either by the grantee or through a subrecipient, should be classified under the 18 series.

### **14E Rehabilitation: Publicly or Privately Owned Commercial/Industrial**

Use code 14E only if the rehabilitation will be limited to improvements to the exterior of a commercial building (generally referred to as "facade improvements") or to the correction of code violations.

**NOTE:** Rehabilitation of public facilities should be classified under the 03 series, Public Facilities and Improvements. Also, code 17C (Commercial/Industrial Building Acquisition, Construction, Rehabilitation) should be used for commercial and industrial building rehabilitation conducted by the grantee or a non-profit as part of a special economic development activity. Code 17B (Commercial/Industrial Infrastructure Development) should be used to indicate funds a grantee or non-profit subrecipient uses to rehabilitate a privately owned commercial/industrial building.

### **18A ED Direct: Direct Financial Assistance to For-Profit Business**

Use code 18A if the grantee or subrecipient will provide financial assistance to a for-profit business. Examples may include loans, loan guarantees, or grants to acquire property, clear structures, construct or rehabilitate a building, and/or purchase equipment. Activities coded 18A generally use a national objective code of LMJ (indicating a benefit to low-and moderate-income persons on the basis of the creation or retention of jobs) and report job creation/retention accomplishments.

### **18B ED Direct: Technical Assistance**

Use code 18B if a grantee or subrecipient will provide technical assistance to for-profit businesses. This includes workshops, marketing, or referrals.

### **18C Micro-Enterprise Assistance**

Use code 18C for activities that involve providing financial assistance, technical assistance, or general support services/programs to owners of and persons developing micro-enterprises. (A micro-enterprise is a business with five or fewer employees, including the owner(s).)

## General Administrative and Planning Costs

### **20 Planning**

Use code 20 for planning activities identified by the grantee—except those planning activities conducted by HOME participating jurisdictions (PJs), which should be coded 21H. Examples of the types of activities included under planning and capacity building include development of comprehensive plans (for example, a consolidated plan), energy strategies, community development plans, environmental studies, area neighborhood plans, and functional plans. **NOTE:** A national objective is not required for planning activities.

### **21A General Program Administration**

This code is used to indicate reasonable costs of overall program management, coordination, monitoring, and evaluation. Such costs include (but are not limited to) salaries, wages, and related costs of the recipient's staff or other staff engaged in program administration, which includes (but is not limited to) providing information about the program, preparing program budgets and schedules, preparing reports, and other costs for goods or services needed for administration of the program. This code should also be used to report the use of CDBG funds to administer a federally designated Empowerment Zone or Enterprise Community, or to administer the HOME program.

### **21B Indirect Costs**

Use this code to indicate costs charged to a program under an indirect cost allocation plan.

### **21C Public Information**

This code is used for the provision of information and other resources to residents and citizen organizations participating in the planning, implementation, or assessment of activities.

### **21D Fair Housing Activities (Subject to 20% Admin cap)**

Use code 21D to identify fair housing activities that are to be included among General Program Administration activities. Fair housing activities classified under 21D are subject to the 20 percent Planning and Administration cap but do not have to have a national objective identified.

(NOTE: Fair housing activities carried out as a public service rather than as part of program administration may be classified under 05J, Fair Housing Activities.)

### **21E Submissions or Applications for Federal Programs**

Use this code for the preparation of documents required for submission to HUD to receive funds under the CDBG program and to prepare applications for other federal programs when the grantee has determined that such activities are necessary to achieve its community development needs.

### **21F This is not a valid code**

Refer to code 05S, Rental Housing Subsidies (HOME Tenant-Based Rental Assistance).

### **21G This is not a valid code**

Refer to code 05T, Security Deposits.

### **21H Funding of Admin/Planning Costs of PJ**

Administration and planning costs of a HOME participating jurisdiction (PJ) subject to the respective programs's Admin cap (20% for CDBG, 10% for HOME). Activities may include program management, coordination, planning, monitoring, and evaluation activities.

### **21I Funding of CHDO Operating Costs**

Use this code to indicate expenses incurred for operating costs associated with a CHDO carrying out its activities. (Subject to the respective programs's Admin cap, 20% for CDBG, 10% for HOME.) The actual costs of new housing construction, acquisition, and rehabilitation should not be assigned this code.

## **Other**

### **04 Clearance and Demolition**

Included under this code are activities that involve the clearance or demolition of buildings and improvements, or the movement of structures to other sites.

### **04A Clean-up of Contaminated Sites/Brownfields**

Use this code for activities that are designed primarily for cleaning toxic/environmental waste or contamination from a site.

### **06 Interim Assistance**

There are two circumstances under which the Interim Assistance code may be used: a. When making limited improvements (e.g., repair of streets, sidewalks, or public buildings) to areas with determinable signs of physical deterioration when the improvements are intended to arrest deterioration prior to permanent improvements being made. b. When the activity will alleviate an emergency condition threatening public health and safety, such as emergency removal of tree limbs or other debris after a major storm.

### **07 Urban Renewal Completion**

This code should be used only if the assistance will be used for the completion of urban renewal projects. (This code refers to the close-out of the urban renewal categorical grant program that preceded CDBG; active urban renewal projects that are now being completed are generally located in large cities.) Activities



involving downtown renewal, downtown redevelopment, or urban renewal should NOT be coded 07 unless it is clear that the activity will result in the closing out of an urban renewal project.

#### **08 Relocation**

Funds may be used for relocation payments and assistance to displaced persons, including individuals, families, businesses, non-profit organizations, and farms.

#### **09 Loss of Rental Income**

This activity involves the use of funds to pay housing owners for the loss of rental income incurred by holding (for temporary periods) housing units to be used for the relocation of individuals and families displaced by CDBG-assisted activities.

#### **10 Removal of Architectural Barriers**

**NOTE: This code should NOT be used for activities assisted on or after December 11, 1995.** Effective December 11, 1995, assisted activities must be classified as either Housing under the 14 series or as Public Facilities and Improvements under the 03 series. Use this code for activities assisted prior to December 11, 1995, when the activity was undertaken for the purpose of improving the accessibility of facilities for persons with disabilities. Some common activities within this category include curb cuts, wheelchair ramps, or alterations to buildings for increasing handicapped accessibility, such as wider doorways or elevators. This code should be used for public facilities, buildings, or private residences where CDBG funds are used to remove barriers for increasing handicapped accessibility.

#### **11 Privately Owned Utilities**

This code should be used for an activity that involves the use of CDBG funds to acquire, reconstruct, rehabilitate, or install the distribution lines and facilities of privately owned utilities, including placing new or existing distribution facilities and lines underground.

#### **15 Code Enforcement**

Code enforcement involves the payment of salaries and overhead costs directly related to the enforcement of local codes. Use this code only for payment of costs associated with property inspection and follow-up action, such as legal proceedings. If CDBG funds will be used to correct code violations, use the appropriate rehabilitation code.

#### **16B Non-Residential Historic Preservation**

This code should be used for any non-residential historic building that will be rehabilitated. Examples include the rehabilitation of an historic building for use by an historic preservation society, the renovation of an historic building for use as a museum, or the renovation of an historic building for use as a neighborhood facility.

#### **19C CDBG Non-Profit Organization Capacity Building**

Use this code for activities funded under the CDBG program that increase the capacity of non-profit organizations to carry out eligible neighborhood revitalization or economic development activities. Activities that strengthen non-profits may include providing staff with specialized training and technical assistance.

#### **19D CDBG Assistance to Institutions of Higher Education**

Use this code when assistance is provided to institutions of higher education that have demonstrated a capacity to carry out eligible activities.

#### **19E CDBG Operation and Repair of Foreclosed Property**

This code should be used for activities that use CDBG funds to make essential repairs and to pay operating expenses necessary to maintain the habitability of housing units acquired through tax foreclosure in order to prevent abandonment and deterioration of such housing primarily in low- and moderate-income neighborhoods.

**19F Repayments of Section 108 Loan Principal**

Use this code to indicate repayment of principal for a Section 108 Loan Guarantee.

**19G Unplanned Repayment of Section 108 Loan Principal**

Use this code to indicate Unplanned Repayment of Section 108 Loan Principal.

**19H State CDBG Technical Assistance to Grantees**

Use this code to indicate State CDBG Technical Assistance to Grantees. This code should be used only for states and only for CDBG. CDBG State grantees should use this matrix code for activities that fall under the 1% set aside for Technical Assistance in the CDBG program.

**22 Unprogrammed Funds**

This code should only be used to identify funds that have not been programmed for use. This category may include funds identified as reserve or contingency funds.

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## Appendix F – Modifications and Revisions

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### Purpose

This appendix will serve to set forth the appropriate procedures for processing modifications and revisions to the CDBG program.

#### 1. Modifications

- A. **Defined:** Change(s) to a fiscal year CDBG program that triggers the Citizen Participation requirements which include:
  - (1) A new activity is proposed or an approved activity is to be deleted.
  - (2) The service area and/or beneficiaries of an activity are to be changed from what was approved by DCED.
- B. **Approval Process:** DCED must review and approve these proposed changes. Grantees will receive written approval or denial of the modification request.
- C. **Procedures:** Submit to DCED Central Office with copy to the Regional Office the following:
  - (1) Transmittal letter that covers these concerns:
    - (a) Brief description of existing and revised scope of work, and reason for change(s).
    - (b) Address eligibility and fundability.
    - (c) Certify compliance with Citizen Participation requirements.
  - (2) Revised Activities Description.
  - (3) Revised Budget Summary, if applicable (three (3) copies to Central Office).
  - (4) Revised LMI Principal Benefit, (if applicable.)

#### 2. Revisions

- A. **Defined:** Change(s) to a fiscal year CDBG program that does not trigger Citizen Participation requirements, including:
  - (1) Increases or decreases to existing (DCED approved) line items on the Budget Summary, provided the activity and beneficiaries remain the same.
  - (2) Design/programmatic change(s) to some activity(ies) as previously approved, amended, or modified.
  - (3) An activity that is funded in more than one CDBG fiscal year is added or deleted from a fiscal year(s), but the activity is still funded in another fiscal year(s).

- B. **Approval Process:** DCED must review these proposed changes for compliance with the program rules. Grantees will not receive written approval of the revision. However, if there is a question regarding program compliance, grantees will be notified.
- C. **Procedures:** Submit to DCED Central Office with a copy to the Regional Office, the following:
- (1) Transmittal letter explaining the change(s) and reason(s) for them and any impact on the eligibility and fundability of the activity.
  - (2) Revised Activities Description.
  - (3) Revised Budget Summary, if applicable (three (3) copies to Central Office).
  - (4) Revised LMI Principal Benefit, (if applicable.)

**NOTE: All modifications and revisions must be approved by the local governing body.**

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## APPENDIX G-1

# Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

### EXEMPT ACTIVITIES (58.34)

- ☐ Studies and plans
- ☐ Site inspections, testing or sampling
- ☐ Engineering plans, designs and associated costs
- ☐ Information and financial services
- ☐ Administrative and management activities
- ☐ Public services (re: no physical impacts or changes)
- ☐ Purchase of tools or insurance
- ☐ Technical assistance and training
- ☐ Payment of principal and interest on loans

### Environmental Review (ER) process that needs to be followed and documentation to be included in your ER Record:

- Describe your activity and make a written determination of Exemption
- Determine compliance with 58.6 ("Other Requirements" checklist)
- Exempt Form signed by your Certifying Officer – place a copy in your file and send a copy to DCED

## APPENDIX G-2

# Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

### **CATEGORICALLY EXCLUDED ACTIVITIES NOT SUBJECT TO REVIEW under the Related Federal Laws and Authorities 58.35 (b) Such activities include:**

These activities are usually associated with (ESG Projects):

- ☐ Tenant based rental assistance
- ☐ Supportive services
- ☐ Operating costs
- ☐ Equipment purchases
- ☐ Homeownership assistance
- ☐ Pre-development costs

### **Environmental Review (ER) process that needs to be followed and documentation to be included in your ER Record:**

- Describe your activity and make a written determination of Exemption
- Determine compliance with 58.6 ("Other Requirements" checklist)
- Exempt Form signed by your Certifying Officer – place a copy in your file and send a copy to DCED

## APPENDIX G-3

# Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

### **CATEGORICALLY EXCLUDED SUBJECT TO REVIEW under the Related Federal Laws and Authorities 58.35 (a) Such activities include:**

- ☐ Acquisition, repair, improvement, reconstruction, or rehabilitation of public facilities and improvements (other than buildings) when the facilities and improvements are already in place and will be retained in the same use without change in size or capacity of more than 20%
- ☐ Projects to remove barriers restricting mobility and accessibility to elderly and handicapped persons
- ☐ Rehabilitation of residential buildings (with one to four units), when the density is not increased beyond four units, the land use is not changed, and the footprint of the building is not increased in a floodplain or in a wetland
- ☐ Rehabilitation of multifamily residential buildings when the unit density is not changed more than 20 percent, the project does not involve changes in land use from residential to non-residential, and the estimated cost of rehabilitation is less than 75 percent of the total costs of replacement after rehabilitation
- ☐ For non-residential structures (including commercial, industrial and public buildings), the facilities and improvements are in place and will not change in size or capacity by more than 20 percent, and the activity does not involve a change in land use
- ☐ An individual action on up to four dwelling units, where there is a maximum of four units on any one site
- ☐ An individual action on a project of five or more housing units developed on scattered sites, when the sites are more than 2,000 feet apart and there are not more than four housing units on any one site
- ☐ Acquisition (including leasing) or disposition of existing structures, or acquisition of vacant land, provided that the structure or land acquired or disposed of will retain the same use

*Combinations of the above activities.*

### **Environmental Review process that needs to be followed and documentation to be included in your ER Record:**

- Determination of Level of Review
- Statutory Check list 58.5
- Checklist 58.6 (Other Requirements)
- Source Documentation (Firm Maps, aerial maps, letters sent to any agencies, agency websites consulted, agency responses, and any other relevant information that provides support for your findings within the Statutory Checklist)
- Finding of No Significant Impact/Notice of Intent to Request for Release of Funds–(FONSI/NOI) Publication
- Affidavit of Proof of Publication/Advertisement
- Request for Release of Funds (RROF) Certification Form (Signed)

## APPENDIX G-4

# Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

### ENVIRONMENTAL ASSESSMENT (58.36)

**All other activities – projects that create a new, or relocate existing activities or result in a substantial increase in size.**

**EXAMPLE:**

- Demolition
- Distribution lines for a new water system
- Paving a new road
- Infrastructure for a 25 unit new subdivision for low income housing
- Construction of an addition to a homeless shelter
- Substantial rehab

**Environmental Review process that needs to be followed and documentation to be included in your ER Record:**

- Determination of Level of Review
- Statutory Check list 58.5
- Environmental Assessment Checklist
- Checklist 58.6 (Other Requirements)
- Source Documentation (firm maps, aerial maps, letters sent to any agencies, agency websites consulted, agency responses, and any other relevant information that provides support for your findings within the Statutory Checklist)
- Finding of No Significant Impact/Notice of Intent to Request for Release of Funds–(FONSI/NOI) Publication
- Affidavit of Proof of Publication/Advertisement
- Request for Release of Funds (RROF) Certification Form (Signed)

**Environmental Impact Statements (EIS) – if your project would require an EIS contact your Grant Manager for guidance.**

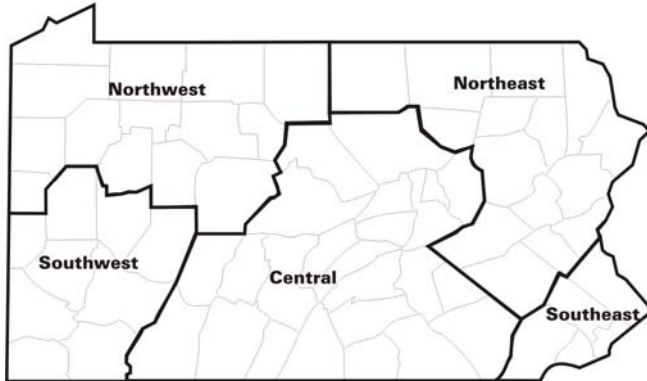
*All forms and templates necessary to complete any of these areas may be found on DCED's website: [www.newPA.com](http://www.newPA.com)*



# Regional Offices

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## Pennsylvania Department of Community and Economic Development newPA.com



### **Southeast**

Bucks, Chester, Delaware, Montgomery and Philadelphia counties

Department of Community  
and Economic Development  
Lisa Worden, Director  
200 South Broad Street 11<sup>th</sup> Floor  
Philadelphia, PA 19102  
(215) 560-5830  
Fax: (215) 560-5832  
lisaworden@pa.gov

### **Northeast**

Berks, Bradford, Carbon, Lackawanna, Lehigh,  
Luzerne, Monroe, Northampton, Pike, Schuylkill,  
Sullivan, Susquehanna, Tioga, Wayne and Wyoming  
counties

Department of Community  
and Economic Development  
Gary Baker, Director  
409 Lackawanna Avenue  
3<sup>rd</sup> Floor, Oppenheim Building  
Scranton, PA 18503  
(570) 963-4122  
Fax: (570) 963-3439  
garybaker@pa.gov

### **Central**

Adams, Bedford, Blair, Cambria, Centre, Clinton,  
Columbia, Cumberland, Dauphin, Franklin, Fulton,  
Huntingdon, Juniata, Lancaster, Lebanon, Lycoming,  
Mifflin, Montour, Northumberland, Perry, Snyder,  
Somerset, Union, and York counties

Department of Community  
and Economic Development  
Bradley Cary, Director  
400 North Street, 4<sup>th</sup> Floor  
Commonwealth Keystone Building  
Harrisburg, PA 17120-0225  
(717) 525-5796  
Fax (717) 783-4663  
bracary@pa.gov

### **Southwest**

Allegheny, Armstrong, Beaver, Butler, Fayette,  
Greene, Indiana, Washington, and Westmoreland  
counties

Department of Community  
and Economic Development  
Albert D'Alessandro, Director  
301 Fifth Avenue, Suite 250  
Pittsburgh, PA 15222  
(412) 565-5098  
Fax: (412) 565-2635  
aldalessan@pa.gov

### **Northwest**

Cameron, Clarion, Clearfield, Crawford, Elk, Erie,  
Forest, Jefferson, Lawrence, McKean, Mercer, Potter,  
Venango, and Warren counties

Department of Community  
and Economic Development  
Alison Schmidt, Acting Director  
100 State Street, Suite 205  
Erie, PA 16507  
(814) 217-9700  
Fax: (814) 454-7494  
aschmidt@pa.gov

## **Appendix H – Resources**

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For Eligible CDBG Activities Statutes and Regulations, visit HUD's website at:

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/communitydevelopment/rulesandregs](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/rulesandregs)

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