
Community Development Block Grant Program

Application Forms

August 2016

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Commonwealth of Pennsylvania
Tom Wolf, Governor

Department of Community & Economic Development



dced.pa.gov

Community Development Block Grant (CDBG) Application Kit Forms and Instructions

Introduction

The Department of Community and Economic Development's vision for the commonwealth is to play a more strategic role in local government and municipal interaction by investing in our communities to provide assistance and support jobs that pay for all Pennsylvanians. The Department's 2016-17 priority is to revive Pennsylvania's economy by providing tax credits and targeted assistance to; distressed areas and low income populations with a strategic focus on community participation and collaborations among residents, nonprofits, and businesses.

Pennsylvania's renaissance will be driven by the need to increase community revitalization efforts, and this translates into the importance of programs such as the Community Development Block Grant program to provide support and opportunity for every neighborhood and community in the commonwealth. The Community Development Block Grant program will offer a proactive approach, with respect to its goals, which aim to offer additional resources in assisting neighborhoods with fiscal difficulties, averting adverse impacts on health, safety and the welfare of their residents helping to put communities back on the right track to good fiscal well-being.

All Applicants:

The original application must be submitted to the Department of Community and Economic Development, Center for Community Development Operations.

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

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

Counties Applying for County Allocations as well as Entitlement Borough/Township Allocation(s):

In addition to the above, counties applying for multiple allocations are to submit an overall budget summary totaling the county and on behalf of allocations **(on two pages, not one, with no page numbers at top or bottom of page)**. This overall budget summary is in addition to budget summaries for each allocation.

Direct any questions in preparing the Application to your designated Grant Manager.

CDBG Application Contents & Checklist

Please place the information in the application in the following order so that the DCED staff can review the information efficiently. Please organize the application as follows:

APPLICANT NAME:

- Cover Sheet indicating:**
 - PA CDBG Program
 - Name of Applicant
 - County
 - Date of submission
 - Completed Application Checklist

Section I

- Single Application** – *Completed online (copy)*
- General Application Description/Certifications** – *All blanks completed or marked N/A*
- Resolution: Application Submission**
- Statement of Assurances** – *Signed and dated*
 - Citizen Participation Report
- Disclosure Report** – *All blanks completed or marked N/A*
- Fair Housing / MWBE Requirements / Section 3**
 - Submit Fair Housing Advertisement
 - Fair Housing Resolution
 - Actions taken to affirmatively further fair housing in accordance with your Fair Housing Analysis.
 - M/WBE Plan must be officially adopted and in file for review.
 - Section 3 Plan adopted & in file for review
 - Four Factor Analysis
- DCED Land Use Implementation**
 - Letter from appropriate local and county planning agency certifying compliance *(if applicable) or marked N/A.*

Section II

- Management Plan/Local Staff Capacity**
 - Comprehensive description of how CDBG program will be managed and administered.
 - All bullet points have been addressed.
- Timeliness** – *All blanks completed or marked N/A*

Section III

- Three Year Community Development Plan** includes *(modified for competitiveness)*:
 - Description of low and moderate income and minority persons based on Census data and/or surveys.
 - Benefits to Minorities form done or marked N/A.
 - Assessment of community development needs relating to housing, public community facilities and improvements, public services and economic development.
 - Explanation of how the community development objectives address the identified needs with emphasis on benefit to low/moderate income persons.
 - Short term (1 year) and long term (3 year) plan which identifies activities that are designed to meet the CD objectives.
 - Completed Three Year Activities Summary.
 - List the resources that were considered when developing the local and/or area wide plans.
 - Maps included that depict:
 - Census geography w/boundaries.
 - Location of low/mod income persons.
 - Location of each activity selected.
 - Identify the service area benefiting the funds.

Section IV

- Activity Description(s)** – The Activity Description should include: 1) the need being met; 2) explanation of the need for CDBG funding; 3) proposed construction start and completion dates; 4) quantity and location of activity within the service area; 5) cost of the activity and breakout of unit/material costs; 6) how the activity meets a national objective; 7) purpose of the activity; and 8) beneficiaries, including total, VLI and LMI, of the activities.
 - Map w/jurisdiction boundaries shown, project area shown as well as service area, and survey area corresponds to survey area.
 - Multi-year project? Yes or No
 - Project timetable included (*beginning with the application submission date, outline 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*).
 - Project completed within 36 months of grant.
 - Have other funds been committed (*if applicable*)
 - Appropriate National Objective selected.
 - Answered all questions related to the selected national objective.
 - Before pictures of the project (*strongly recommended*)
- Appendix B - CDBG Public Service Activities** (*if applicable*)
- Appendix C - Service Areas & Service Methodology** (*if applicable*)
 - Description of survey methodology
 - Copy of sample survey form
 - Map of survey area
 - Survey Worksheet included (*if applicable*)
 - Survey Results (K-2 form) included
- Appendix D - Determining Service Areas** (*if applicable*)
- Local Effort/User Fee Analysis** (*if applicable*)

Section V

- LMI Principal Benefit Determination**

Section VI

- CDBG Budget Summary**
 - Admin no more than 18%
 - Public Service no more than 15%

Section VII

- Other Supporting Documents Included** (*if applicable*)

Single Application

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. 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.

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GENERAL APPLICATION DESCRIPTION/CERTIFICATIONS COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

1. CDBG PROGRAM YEAR:
2. APPLICATION DEADLINE DATE:

3. APPLICANT'S NAME:	COUNTY:	ON BEHALF OF:
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4. DUNS NUMBER:	5. FEDERAL EMPLOYER IDENTIFICATION NUMBER:	6. CCR EXPIRATION DATE:
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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: _____
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8. CHIEF ELECTED OFFICIAL OF APPLICANT: (NAME, TITLE, ADDRESS, ZIP CODE, TELEPHONE)	9. GRANT ADMINISTRATOR: (NAME, TITLE, ADDRESS, ZIP CODE, TELEPHONE, EMAIL)
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10. CDBG 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		
B. Other State		
C. Other Federal		
D. Local		
E. Other/Private		
F. Program Income (CDBG)		
G. Total Project Cost (A-F)		

GENERAL APPLICATION DESCRIPTION/CERTIFICATIONS | COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

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

28. 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?	
29. IN WHAT PA SENATE DISTRICT(S) IS THIS PROJECT?	30. STATE SENATOR(S) REPRESENTING THIS DISTRICT:
31. IN WHAT PA HOUSE OF REPRESENTATIVES DISTRICT(S) IS THIS PROJECT?	32. STATE REPRESENTATIVE(S) REPRESENTING THIS DISTRICT:
33. IN WHAT US CONGRESSIONAL DISTRICT IS THIS PROJECT?	

34. Certification of Community Development Plan (CDP) for Boroughs and Townships administering their own grants and for county grants.	
<p>For Counties: I hereby certify that all nonentitlement municipalities were provided with the notification specified in 2.a. of the Community Development Plan instructions and that the County of _____ has approved the CDP for nonentitlement municipalities.</p> <p>For Cities, Boroughs, and Townships: I hereby certify that _____ has approved the CDP. <i>(Name of Municipality)</i></p> <p>As Chief Elected Official of the grantee, I certify compliance with the Community Development Plan requirements.</p>	
_____ Signature of Chief Elected Official	_____ Date
_____ Name/Title of Chief Elected Official	_____ Municipality
	_____ County

GENERAL APPLICATION DESCRIPTION/CERTIFICATIONS | COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

35. Certification of Community Development Plan (CDP) for counties administering grants on behalf of one or more entitlement boroughs & townships.

For Counties with "On Behalf Of" Entitlements:

I hereby certify that the County of _____, which will administer the CDBG grant, has developed the CDP in cooperation with _____ and that said Municipality has approved the CDP or applicable portion of the CDP.
(Name of Municipality)

County:

Signature of Chief Elected Official Date

Name/Title of Chief Elected Official Municipality County

"On Behalf Of" Entitlements:

Signature of Chief Elected Official Date

Name/Title of Chief Elected Official Municipality County

(A copy of this form must be submitted for each grant applied for by the County on behalf of an Act 179 entitlement borough or township.)

36. Certification of Mandatory Tap in Fees:

As Chief Elected Official of a municipality in which CDBG 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.



STATEMENT OF ASSURANCES

APPLICANT NAME:

The Grantee makes assurances that it will carry out its responsibilities under this Contract in compliance with the following statutes, regulations or guidelines:

(A) Legal Authority:

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

(B) Official Resolution:

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.

(C) Citizen Participation

It has established a citizen participation mechanism which:

- (1) Provides an opportunity for citizens to participate in the development of the application at minimum one public meeting, encourages the submission of views and proposals, particularly by residents of blighted neighborhoods and citizens of low and moderate income, and provides for timely responses to the proposals submitted.
- (2) Provides citizens with adequate information concerning the amount of funds available for proposed community development and housing activities, the range or activities that may be undertaken, and other important program requirements.
- (3) Provides citizens with an opportunity to submit comments concerning the community development performance of the applicant.
- (4) Provides for one or more public hearings on the proposed application before adoption of a resolution or similar action by the local governing body authorizing the filing of the application.
- (5) Adheres to the Department's CDBG Citizen Participation Plan and directives or guidance provided.
- (6) Provides for a timely written answer to written complaints and grievances, within 15 working days where practicable.
- (7) Identifies how the needs of non-English speaking residents, in the implementation of the Citizen Participation Plan, will be met in the case of public hearings where a significant number of non-English speaking residents can be reasonably expected to participate.
- (8) Identify how the needs of physically disabled, including hearing and visually impaired persons, will be met, if necessary.
- (9) In the event the applicant or grantee wishes to request a modification to its original application or subsequent grant, the applicant or grantee will provide for public hearings to obtain the views of citizens on community development and housing needs and proposed revisions.

(D) Public Access to Records

a. Units of General Local Government and Non-Profit Organizations:

Recipients shall provide citizens reasonable access to records regarding the use of CDBG funds, consistent with applicable State and local laws regarding privacy and obligations of confidentiality. However, in accordance with 2 CFR 200.336 public access to records held by Federal, State, local governmental entities or non-profit organizations are not subject to the Federal Freedom of Information Act (5 U.S.C. 552) and unless required by Federal, State, or local law, grantees and sub-grantees are not required to permit public access to their records.

Both Units of General Local Government and Nonprofit Organizations are subject to requests for records made pursuant to the Pennsylvania Right-To-Know Law, 65 P.S. §§ 67.101-3104, when such requests relate to or arise out of the grant agreement into which the Units of General Local Government and Nonprofit Organizations have entered into with the Department of Community and Economic Development. The Pennsylvania Right-To-Know-Law provisions appear in Section (k) of Article V, Compliance with Applicable Statutes and Department Regulations, of the grant agreement.

(E) Program Priorities:

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 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 70 percent of funds received as a result of this application will be used for activities that principally benefit persons of low and moderate income.

(F) Financial Requirements:

It will comply with the requirements and policies of 2 CFR Part 200: "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards".

(G) Architectural Barriers:

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

(H) Fair Housing and Civil Rights

- (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".

Title VI, Section 601 provides the **Limited English Proficiency (LEP)** Statutory Authority.

Executive Order 13166 (Issued in the Federal Register 65 FR 50121 on August 16, 2000) mandates improved access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency.

Grantees are required to make reasonable efforts to provide language assistance to ensure meaningful access for LEP persons to the grantee's programs and activities that have any federal financial assistance.

- (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. 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.
- (4) Age Discrimination Act of 1975, P.L. 94-135 (42 U.S.C. 6101 et. Seq
- (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.
- (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 46504), 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). (2 CFR 200.321 Contracting with small and minority businesses, women's business enterprises and labor surplus area firms.)
- (8) Executive Order 12138, May 18, 1979 (44 FR 29637) which creates a National Women's Business Enterprise Policy. (2 CFR 200.321 Contracting with small and minority businesses, women's business enterprises and labor surplus area firms.)
- (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.

(I) Employment

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.

(J) Displacement

It certifies that it has developed and adopted a residential anti-displacement and relocation assistance plan in accordance with Section 104 (d) of the Housing and Community Development Act of 1974.

(K) Acquisition/Relocation

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

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.

(L) Benefit Assessments for Public Improvements.

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.

(M) Hatch Act

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.

(N) Labor Standards

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) DOL regulations at 29 CFR Parts 1, 3, 5, 6, and 7. These regulations implement the Davis-Bacon Act, the Contract Work Hours and Safety Standards Act and the Copeland Act.

(O) PA Prevailing Wage Act

It will comply with the PA Prevailing Wage Act of 1961, as amended (43 P.S. 165-1 through 165-17), when applicable.

(P) Environmental Clearance

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.

General Responsibilities

Grantee is responsible for compliance with the National Environmental Policy Act of 1969 (NEPA) and the related authorities listed in HUD's implementing regulations at 24 CFR Parts 50 and 58 and must comply with all requirements and actions for each activity that it carries out with federal funds, in accordance with the requirements imposed by this agreement and in accordance with Title 24 Part 58 of the Code of Federal Regulations. Grantee will provide information necessary for DCED to determine the environmental effects of each activity to be carried out with Federal funds. Grantee may not commit or obligate any Federal or non-federal funds to the project or any activity that is in any way binding without an Authority to use grant funds form in writing from DCED. A copy of the Environmental Review Record (ERR) shall be maintained by both the GRANTEE until at least three years after project closeout unless a longer period is required in writing as an amendment to the agreement by DCED.

Grantee is responsible for assuring that any SUBRECIPIENT to which it provides funds complies with the environmental review requirements.

Project Approvals Subject to Environmental Review Clearance:

No CDBG project funds will be advanced, and no costs can be incurred, until DCED has received sufficient information about the project as required under 24 CFR Part 58. The environmental review may result in a decision to proceed with, modify or cancel the project. Notwithstanding any provision of this Agreement, the parties hereto agree and acknowledge that this Agreement does not constitute a commitment of funds or site approval for a specific project, and that such commitment of funds or approval may occur only upon satisfactory completion of the environmental review and receipt by DCED of a Request for Release of Funds form from the grantee under 24 CFR Part 58 and a copy of the approved Authority to Use Grant Funds form.

Further, the Grantee will not permit any SUBRECIPIENT to undertake or commit any funds to physical or choice-limiting actions, including property acquisition, demolition, movement, rehabilitation, conversion, repair or construction prior to completion of the environmental clearance. Any violation of this provision may result in the denial of any funds under the agreement.

Flood Disaster Protection

In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001), the grantee shall assure that for activities located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, flood insurance under the National Flood Insurance Program is obtained and maintained as a condition of financial assistance for acquisition or construction purposes (including rehabilitation).

Historic Preservation

The grantee agrees to comply with the Historic Preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) and the procedures set forth in 36 CFR Part 800, Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, insofar as they apply to the performance of this agreement.

(Q) Violating Facilities List

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.

(R) Conflict of Interest

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. (2 CFR 200.112 Conflict of Interest)

(S) Lead Based Paint

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 Part 35).

(T) Energy Conservation

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).

(U) Flood Plain

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)

(V) Steel Products

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.).

(W) Separation Act

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.

(X) Resource Conservation

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.

(Y) Lobbying

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 grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than 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 sub-awards at all tiers (including subcontracts, sub-grants and contracts under grants, loans and cooperative agreement) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. (2 CFR 200.450 Lobbying)

(Z) Excessive Force

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.

(AA) Drug Free Workplace

It has adopted and will enforce a policy creating a drug-free workplace in keeping with the spirit and intent of the Drug-Free Workplace Act of 1988.

(AB) Fire Protection and Safety Standards:

It will comply with the provisions of the Fire Administration Authorization Act of 1992 (P.L. 102-522)

Signature of Chief Elected Official

Date

Name/Title of Chief Elected Official

Municipality

County



CITIZEN PARTICIPATION REPORT

APPLICANT NAME:

CDBG INFORMATION TO THE PUBLIC	DATE
--------------------------------	------

Notice of first public hearing:	
Date of first public hearing:	
Notice of second public hearing:	
Date of second public hearing:	

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

Denote any adverse comments/complaints received and describe resolution:

- Immediately following this page, attach the documents below in the order listed:**
- Hearing Ad/Proof of Publications
 - Sign-In Sheets
 - Hearing Minutes
 - Copy of response(s) to comments and/or complaints.
- * Competitive applicants are required to conduct two public hearings.*

I hereby certify, subject to the penalties of perjury, the above public hearing was conducted in accordance with all state and federal regulations.

Signature, Chief Elected Official _____
Date

Typed Name and Title:

** Note: Counties and counties applying on behalf of entitlement municipalities may have to attach additional sheets for this information.*

Instructions for Completion of Disclosure Report

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

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 Action 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 "YES", then you must complete the remainder of this report. If the answer to both 1. and 2. of Part II is "NO", 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

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

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Instructions for Compliance with Fair Housing and Civil Rights Requirements in the Application Process

I. Fair Housing

A. Entitlement Grantee

1. Fair Housing Advertisement:

Entitlement applicants must submit with their applications a copy of a published advertisement re-designating a Fair Housing Officer within their municipality. This advertisement must also inform residents of their rights under the Fair Housing law and that cases of suspicious discrimination are to be reported to the Fair Housing Officer. Communities that cannot identify a person qualified to serve as a Fair Housing Officer must publish an advertisement that provides an alternative agency, who will take discrimination complaints.

If a community designates a Fair Housing Officer, that officer will be *responsible* for the following:

a. Forwarding all complaints of housing discrimination to:

Pennsylvania Human Relations
Commission
Pittsburgh Regional Office
301 Fifth Avenue
Suite 390, Piatt Place
Pittsburgh, PA 15222
(412) 565-5395
(412) 565-5711 TTY users only

AND

U.S. Department of Housing
and Urban Development
FHEO/Regional III Office Mid-Atlantic Office
100 Penn Square East, 12th Floor
Philadelphia, PA 19107
(215) 861-7643
Fax: (215) 656-3449
TTY: (800) 927-9275

OR

Pennsylvania Human Relations
Commission
Philadelphia Regional Office
110 North 8th Street, Suite 501
Philadelphia, PA 19107
(215) 560-2496
(215) 560-3599 TTY users only

OR

U.S. Department of Housing
and Urban Development
PITTSBURGH FHEO FIELD OFFICE
Moorhead Federal Building
1000 Liberty Avenue
Pittsburgh, PA 15222
(412) 644-5449 or (412) 644-6353
Fax: (412) 644-6516
TTY: (800) 927-9275

OR

Pennsylvania Human Relations
Commission
Harrisburg Regional Office
333 Market Street, 8th Floor
Harrisburg, PA 17101-2210
(717) 787-9780
(717) 787-7279 TTY users

- b. Maintaining a record of all complaints filed, dates forwarded to appropriate agencies, and evidence of resolution. This record will be part of the grantees annual reporting to the Department for compliance and will be reviewed during monitoring.
2. Adoption of a Fair Housing Resolution by the Applicant/Grantee
Entitlement applicants must have a fair housing resolution adopted annually affirming its dedication to further Fair Housing Practices within its jurisdiction. This notice identifies typical discriminatory acts, informs residents of their rights under the fair housing law and that cases of suspected discrimination are to be reported to the Fair Housing Officer. This Notice must be posted at prominent locations throughout the municipality and record of the postings must be kept on file for monitoring.
3. All Entitlement applicants must annually undertake and report on actions to affirmatively further fair housing in accordance with the Fair Housing Guidance located in the Federal Resource Library: dced.pa.gov/download/fair-housing-tip-sheet/59662

B. Competitive Applicants

1. Competitive applicants are not required to address the Fair Housing requirements at the application stage. Those competitive applicants that are selected for funding will be instructed to fulfill these requirements subsequent to notification of grant award.

II. Section 504

A. Entitlement Grantee with more than Fifteen 15 Employees

1. Section 504 Officer:
Entitlement applicants with over fifteen (15) employees must re-designate a Section 504 Officer annually within their municipality. This designation must be made in writing and at a public meeting. A copy of this notice must be submitted with this application.

The Officer's duties include:

- a. Compile and maintain a Self - Evaluation of the grantee's facilities, hiring practices, and citizen participation, as well as each activity funded with the CDBG grant, to assure that there has been no discrimination in the providing of services based on race, color, national origin, sex, disability, religion, familial status, age, or ancestry. From this self-evaluation, the municipality will develop a Transitional Plan to provide a timetable and responsible entity to bring the municipality into compliance. The Section 504 Officer will oversee that the municipality follows the Transition Plan and brings the municipality into compliance. Please refer to the Federal Resource Library on DCED's website dced.pa.gov/library Federal Resource Library\CDBG\Required Plans\Template for Plans.
- b. The municipality will develop and maintain a grievance procedure that must also be adopted publically, incorporating due process standards and allowing for prompt local resolution of any complaints of discrimination based on disability. Existing grievance procedures can often be adapted to satisfy this requirement. Any individual or authorized representative who believes that they have been denied opportunities or treated differently due to their race, color, national origin, sex, disability, religion, familial status, age or ancestry may file a complaint with the Section 504 Officer. The Officer must act on the complaint and maintain the records of the process for monitoring.

B. Competitive Applicants

Competitive applicants are not required to address the Section 504 requirements at the application stage. Those competitive applicants that are selected for funding will be instructed to fulfill these requirements subsequent to notification of grant award.

III. Minority/Women Business Enterprise (MBE/WBE) Plan

It is required that all grantees receiving federal funds from DCED must promote the opportunity for full participation by minority and women's business enterprises ("MBEs" and "WBEs") in all housing and community development programs receiving funds from the Pennsylvania Department of Community and Economic Development. This includes all forms of procurement and contracting. Grantees are required to maintain sufficient documentation to verify that this requirement has been met.

- A. All **entitlement** applicants are reminded that they are to adopt and provide a good faith, comprehensive and continuing endeavor to their MBE/WBE Outreach Plan. One portion of the plan establishes minority owned business enterprise (MBE), and women owned business enterprise (WBE), minimum participation levels (MPLs) to be used as a guide in determining bidders compliance with Federal MBE and WBE requirements.

As part of the application process, the applicant, on grantee letterhead, must indicate:

1. the minimum participation level as established in their plan
 2. the previous calendar year's achievement of the MBE and WBE goals with the actual percentage of total contract awards that went to each category. (ie: 2016 ap = 2015 achievement percentage)
 3. actions to be taken by the applicant to achieve these goals in the current year if not achieved
- B. Competitive applicants that are awarded competitive grants will be required to adopt and follow an MBE/WBE Outreach Plan subsequent to notification of grant award, including minimum participation levels.

NOTE: Applicants for Competitive CDBG Funding – Non-entitlement municipalities are encouraged to seek assistance in applying for funds through the County administrators.

Limited English Proficiency Guidance

for CDBG Applicants

In Compliance with:

- Section 601 of Title VI the Civil Rights Act of 1964 (LEP Statutory Authority) “No person 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 *subjected to discrimination* under any program or activity receiving Federal financial assistance.”

And

- Executive Order 13166 (Issued in the Federal Register 65 FR 50121 on August 16, 2000)
Mandates improved access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency.

Grantees are required to make reasonable efforts to provide language assistance to ensure meaningful access for LEP persons to the contractor’s programs and activities that has any federal financial assistance.

DCED is providing this guide to its grantees of federal financial assistance to aid in the analysis of determining if the beneficiaries of the proposed projects have limited English proficiency. Please use the following template to document your analysis of your program or activity and to determine if the certification can be signed by the grantee as not having an affected population or if a Language Access Plan is required. *DCED will provide additional guidance if necessary.*

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**CERTIFICATION OF COMPLETION OF A
FOUR-FACTOR ANALYSIS
FOR LIMITED ENGLISH PROFICIENCY PERSONS**

and

**CERTIFICATION OF THE ACTIVITIES TO BE INCLUDED
IN THE LANGUAGE ACCESS PLAN**

**COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (CDBG)
(Includes CDBG Competitive, CDBG-DR, and NSP)**

For:

GRANTEE NAME: _____

PROGRAM and CONTRACT # (CDBG/ C0000045678) _____

CONTACT PERSON (Name, Telephone Number & E-mail) _____

Purpose:

In compliance with Section 601 of Title VI the Civil Rights Act of 1964 (LEP Statutory Authority) and Executive Order 13166, _____ (*Grantee*) has conducted the following Four Factor Analysis for Limited English Proficiency (LEP) persons for the federally funded program listed above.

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.

Executive Order 13166 (Issued in the Federal Register 65 FR 50121 on August 16, 2000) mandates improved access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. The order also requires a Language Access Plan for the program or activity if a qualifying population is determined. To determine if there is an affected population of beneficiaries having limited English proficiency, all grantees receiving federal financial assistance must conduct the four-factor analysis as outlined below.

Grantee Four-Factor Analysis

The following Four-Factor Analysis serves as the guide for determining which language assistance measures the Grantee will be required to undertake to guarantee access to Grantee's Community Development Block Grant (CDBG) programs by LEP persons.

Factor One - Methodology: The grantee must analyze the number or proportion of LEP persons served or encountered in the eligible service area population (served or encountered includes those persons who would be served by the program or activity if the person received education and outreach and the grantee provided sufficient language services).

Select the paragraph(s) below that best describes your methodology for the analysis by placing a check mark in the box beside the description. Also please fill in the blanks or circle the correct statement were indicated. These paragraphs may be modified or replaced with narrative that more accurately reflects the grantee's methodology.

- The Grantee utilized the PA Census tabulation for persons that speak English "Less than Well" provided by DCED to determine the **county's** LEP population(s). Based on this data, the Grantee (*chose one*) meet the 1,000 or 5% LEP persons threshold for any language(s) identified.
- The Grantee utilized the PA Census tabulation for persons that speak English "Less than Well" provided by DCED to determine its **municipalities'** LEP population(s). Based on this data, the Grantee (*chose one*) have any municipalities within its borders that meet the 1,000 or 5% LEP persons threshold for any language(s) identified.
- The Grantee is administrating the CDBG program **on behalf of:** _____ (*list other municipalities where federal financial assistance will be used*). The grantee utilized the PA Census tabulation for persons that speak English "Less than Well" provided by DCED. Based on this data, _____ (*OBO municipality*) (*chose one*) meet the 1,000 or 5% LEP persons threshold for any language(s) identified.

(Add additional lines if needed to address all OBO municipalities the Grantee is administering)

- Income surveys were conducted to determine eligibility in the program or activity service area. Questions were asked to determine if any LEP persons were located in the potential project area. According to the results of the surveys, there were _____ (*number*) LEP persons located in the proposed project area. The proposed project area has a total population of _____ (*number*). The number of LEP persons affected by the project or activity (*chose one*) meet the 1,000 or 5% LEP persons in the service area threshold for any languages identified.

(Add additional lines if needed to address all projects or activities the Grantee is administering and used the above LEP analysis methodology)

- Local elected officials, clergy, medical personnel, and school administrators were polled by telephone/questionnaire to request input regarding their knowledge of LEP persons within the community and/or proposed project area(s). Based on the results of the telephone poll/questionnaires, there are an _____ (*estimated number*) LEP persons out of _____ (*total persons benefitting from the program or activity*) located in _____ (*Grantee or service area name*). This (*chose one*) meet the 1,000 or 5% LEP persons of total service area threshold for any language(s) identified.

(Add additional lines if needed to address all projects or activities the Grantee is administering and used the above LEP analysis methodology)

Please list below all municipalities and/ or service areas under this program that qualify as meeting the threshold of 1,000 or 5% LEP person's threshold for any language(s) identified as indicated by the methodology used above. Include the name of the municipality/service area, the language(s) identified, and the number or percentage of persons. For example:

Apple Township	Germanic	16%
----------------	----------	-----

If any of the blocks above contains a “does” meet the 1,000 or 5% LEP person threshold for any language(s) identified, the grantee must complete a Language Access Plan for that municipality and may stop further completion of this Four Factor Analysis. Please proceed to the Language Access Plan Certification on page 7 of this guidance. Please submit this page, along with the Language Access Plan Certification with your application.

If the grantee, after completing this section of the analysis, has **all** blocks above marked with “does not” meet the 1,000 or 5% LEP persons threshold for any languages identified, they must continue analyzing their **program or activity** with the following questions.

Additional Questions to be Answered:

Factor Two - The frequency with which LEP persons come into contact with the program or activity.

Select the paragraph below that best describes the amount of public contact of your program by placing a check mark in the box beside the description. These paragraphs may be modified or replaced with narrative that more accurately reflects the grantee's program or activity.

- The proposed program or activities that provide direct assistance to the resident, which would include but not be limited to acquisition, relocation, housing rehabilitation, water/sewer laterals, and public services. Therefore, residents are likely to have considerable direct contact with the program and its staff.
- The proposed project is a program or activity that does not provide direct assistance to individuals, such as road reconstruction, water/sewer line replacement, and commercial building demolition. As a result, LEP persons are not directly affected by the CDBG program or activity and no direct assistance will be provided to the residents. However, all citizen participation activities are open to the general public and every effort should be made to provide the needed materials to all residents.

If the first block above is marked, the grantee must complete a Language Access Plan for the program or activity and may stop further completion of this Four Factor Analysis. Please proceed to the Language Access Plan Certification on page 7 of this guidance. Please submit all pages of this analysis, along with the Language Access Plan Certification with your application.

If the second block is marked, the grantee must continue on with their analysis of their program or activity.

Factor Three - The nature and importance of the program, activity, or service provided by the program or activity.

- The proposed project does provide direct assistance to program and activity service area beneficiaries related to; housing rehabilitation, water/sewer laterals, public services, therefore, the nature of the activity or service is of significant importance to the proposed program and activity area(s) residents.
- The proposed program or activity does not provide direct assistance to individuals, such as road reconstruction, public facility architectural barrier removal, water/sewer line replacement. As a result, LEP persons may not be as directly affected by the program or activity with the CDBG program. However, all citizen participation activities are open to the general public and every effort should be made to provide the needed materials to all residents.

If the first block above is marked, the grantee must complete a Language Access Plan for the program and may stop further completion of this Four Factor Analysis. Please proceed to the Language Access Plan Certification on page 7 of this guidance. Please submit all pages, along with the Language Access Plan Certification with your application.

If the second block is marked, the grantee must continue on with their analysis of their program or activity.

Factor Four 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 program or activity are available in multiple languages on the HUD and DOL websites. Additionally, translation activities are an eligible CDBG administrative or delivery expense. Therefore, limited LEP measures are reasonable given the resources available to Grantee. So grantees may not use this factor as the only factor determining the need for a Language Access Plan.

Please continue to Certification on the next page.

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CERTIFICATION OF THE COMPLETION AND FINDINGS OF THE FOUR FACTOR ANALYSIS

_____ (Grantee) has completed the Four Factor Analysis and has determined that there are **no** items identified from the analysis above for this grantee, program or activity that will trigger the need for a Language Access Plan.

If the grantee determines that a LAP is not required, then the certification below should be signed and dated by the chief elected official and submitted with their application.

Certification: Based on the above Four-Factor Analysis, the Grantee is **not** required to develop a Language Access Plan. However, the Grantee will make all reasonable attempts to accommodate language access needs of residents requesting oral translation during citizen participation, income surveys and/or direct assistance intake activities including but not inclusive of public hearings, public notices, advertisements, income surveys and direct assistance intake documents.

Chief Elected Official *(signature and printed)* _____
Date

Attest _____
Grantee Name & Program

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LANGUAGE ACCESS PLAN CERTIFICATION for

(Grantee, Program or Activity)

As a result of the preceding Four-Factor Analysis, _____ (*Grantee*) has identified the following types of language assistance to be provided by the Grantee throughout the implementation of its CDBG program dependent on need:

Below are the minimum requirements to meet the needs of your identified Limited English Proficiency Populations. Some programs or activities do not require all items to be followed. Those marked "Required" are mandatory of all grantees having any LEP populations in any municipality or within their programs' service areas. Additional activities may be added to meet the needs of the grantees' LEP population(s).

All CDBG citizen participation materials, public notices, and project-related resolutions, will be published/posted in the LEP language(s) identified, in community newsletters, on bulletin boards at the offices and meeting location of the grantee, on the grantee website and in public places throughout the proposed project area(s) and/or the community, especially those areas with high concentration of the affected population. **Required**

Additionally, all published/posted citizen participation notices will include a statement in the identified LEP language(s) indicating that other "program materials are available in the LEP language(s) upon request". This statement must be in as many languages as has been identified during the grantee's analysis. **Required**

All citizen participation notices will include a statement that translators will be available at public meetings upon at least 72 hours' notice. This will be in the identified LEP language(s) in the English notification and also in the complete LEP language(s)' notification. **Required**

All public notices of income surveys and the income survey itself will be provided in the LEP language(s) identified. **As Needed**

All direct assistance program application documents and outreach materials will be provided in the LEP language(s) identified. **As Needed**

For income surveys in service areas meeting the threshold of LEP and/or direct assistance intakes, if needed, a translator will be retained to provide oral translation at the site of the income survey or intake to assist in filling out the survey/intake documents and explaining the program. The grantee may not require the LEP applicant to provide their own translator, though the applicant may bring someone if they choose. **As Needed**

If other populations of LEP persons are identified in the future, Grantee will provide additional measures to serve the language access needs of those persons. **Required**

The Grantee will complete a Language Access Plan which delineates how these activities will be carried out, by whom, and who will monitor the effectiveness of the activities for possible revision. This Plan once adopted by the grantee must be retain in the grantees' master file and utilized throughout the program.

Adopted:

Chief Elected Official (*signature and printed*)

Date

Attest (*Name and Title*)

Grantee Name & Program

DCED Land Use Implementation

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.

Obtaining Information about Planning and Zoning

For projects funded with CDBG funds (beginning with the 2001), 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 Application. Prior to submitting this letter, CDBG 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.



MANAGEMENT PLAN/ LOCAL STAFF CAPACITY

APPLICANT NAME:

GRANT ADMINISTRATOR:

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

Identify the required tasks needed to accomplish your proposed activities and the staff/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 but are not limited to: environmental review requirements; financial recordkeeping, including but not limited to the Integrated Disbursement and Information System (IDIS); procurement; contracting and labor standards; day to day administration and oversight of 3rd party agreements, contracts; closeout and audits.
- 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.

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TIMELINESS

APPLICANT NAME: _____

Each applicant must provide an analysis of its past use of CDBG funds. The lack of timely performance must be addressed by the applicant and considered by the Department prior to contracting 2015 funds. Counties administering multiple grants are to indicate the total CDBG funds contracted to the County for each corresponding year.

Grant Year	(A) Amount of Grant	(B) Amount Expended as of Application Submission	(C) Percent Expended	(D) Amount Remaining for Expenditure	(E) % Remaining for Expenditure
2011					
2012					
2013					
2014					
(F) TOTALS			(G)		(H)
2015 Grant: \$ _____			(I) 2016 Grant: \$ _____		
Date you received fully executed 2015 contract: _____			(J) Unexpended Funds Ratio: _____		

Instructions:

- In column (A) list the amounts of any CDBG grants (excluding Planning grants) that your municipality received for each corresponding year.
- In column (B) list the amounts expended, as of the date of the application, for each grant listed in column (A).
- In column (C) list the percent of funds expended by dividing the amount in column (B) by the amount in column (A).
- In column (D) list the amounts remaining to be expended, as of the date of this application, for each grant listed in column (A).
The amount expended in column (B) plus the amount remaining in column (D) must equal the corresponding grant amount in column (A).
- In column (E) list the percent of funds remaining to be expended by dividing the amount in column (D) by the amount in column (A).
- In line (F) provide the totals of columns (A), (B), and (D).
- Indicate at (G) the percentage of total funds expended by dividing the total of column (B) by the total of column (A).
- Indicate at (H) the percentage of total funds unexpended by dividing the total of column (D) by the total of column (A).

The above analysis is to be evaluated by all applicants and the Department to determine if each program year is achieving adequate levels of performance and where particular rates of expenditure may indicate problems.

9. Now indicate at (I) the amount of your municipality's 2016 allocation of CDBG funds.

10. Divide the total of column (D) by the amount at (I) and enter the result at (J). If this amount exceeds 1.5, proceed to address the remainder of this form.

If the result obtained in item 10. exceeds 1.5, this means that you have previous unexpended CDBG funds which amount to more than 1 1/2 times your 2016 grant. Please address the following:

- List any problems that are delaying particular year grants. Indicate the grant year and the reasons for delay.
- What steps have been taken, or are being taken, to alleviate the problems identified.

Your responses to the above are intended to provide you and DCED with a better understanding of existing and potential impediments to your timely performance. You should consider all of the above as you proceed to address your management plan for this year's Program.

If the problems you have outlined on this timeliness form are due to inadequate capacity on the part of your administering agency, this is expected to be considered and addressed in your Management Plan.

Instructions for Completion of Three Year Community Development Plan

A. Purpose

In order to rationally and effectively determine community development needs, set long and short term objectives, and to design programs to meet these objectives, applicants must develop a Three Year Community Development Plan (CDP). The CDP is to be submitted with the grant application and must be approved by the Department. The Plan is to be developed in a timely and meaningful fashion, and in a manner that permits concerned citizens to participate in its development, as well as to examine, appraise and comment on its contents. The activities proposed in the CDP should consider local and area wide plans. A properly prepared CDP should result in an approach that is coordinated with and mutually supportive of other programs. Activities proposed should address critical community development needs without reducing ongoing local financial support of these activities. All activities proposed in the CDP must clearly meet the identified needs of low and moderate income persons.

B. Instructions

1. Complete the Three Year Community Development Plan (CDP) by addressing each element listed below in a narrative with accompanying documentation. The CDP must be thoroughly addressed by entitlement applicants. A county that is applying for the county allocation, as well as the allocations of one or more entitlement boroughs and/or townships, must prepare a CDP for the county as well as for each entitlement municipality. (Competitive applicants are not required to submit a three year community development plan; however, an assessment of needs as specified in b. below is required.) The elements of the CDP are as follows:
 - a. A description of the incidence and concentration of low and moderate income and minority persons within the jurisdiction of the applicant. This description must be based on the 2009-14 ACS data and/or surveys.

In addition to this narrative description, entitlement applicants must complete the Benefits To Minorities form that follows these instructions. For each of the three previous years, list by federal fiscal year the activities undertaken, CDBG funds budgeted for each activity, the service area of the activity and the percent of minorities within the service area.
 - b. An assessment of the applicant's community development needs relating to each of the following: housing, public community facilities and improvements, public services and economic development.
 - c. A discussion of community development objectives. These objectives are to be developed as a result of the applicant's consideration of (a) and (b) above. Objectives must be developed to address identified needs with emphasis on objectives which are likely to benefit the low/moderate income and minority persons.
 - d. A short term (1 year) and long term (3 year) plan which identifies activities that are designed to meet the community development objectives. The plan must include a description of the criteria considered in establishing the short and long-term plans.
 - e. A summary of the CDP indicating each activity, the amount and source of funds needed for each activity and the national objective that each activity is intended to meet. Utilize the Three Year Summary form to complete this element.

- f. Indicate that the CDP was developed in consideration of local and/or area wide plans by listing those resources that were considered.
- g. **A map of the applicant's jurisdiction which clearly depicts the following:**
- 1) census geography with boundaries relative to clearly identified landmarks.
 - 2) location/incidence/concentration of low and moderate income and minority persons based upon ACS data or surveys.
 - 3) location of each activity selected for funding, clearly delineating the area of benefit.
2. Other Requirements for Entitlement Municipalities: The following other CDP requirements apply to entitlement municipalities as indicated.
- a. Counties administering grants for non-entitlement municipalities shall submit CDPs which are related only to the non-entitlement municipalities and which are developed in cooperation with said municipalities. Each county must notify, in writing, each of the non-entitlement municipalities: (1) that the county will be preparing its annual application for CDBG funds; (2) of the amount of funds available for use in addressing the community development needs of the nonentitlement municipalities; (3) that each non-entitlement municipality is invited to submit in writing, a list of needs it would like to have considered and; (4) of the deadline by which such needs are to be submitted to the county. The county CDPs shall contain a certification that all non-entitlement municipalities were provided with the above notification. Counties must approve CDPs for nonentitlement funds.
 - b. Counties administering grants on behalf of other entitlement municipalities shall submit a CDP (or CDPs) which includes all the elements for each entitlement grant administered.

These CDPs are to be developed by the counties in cooperation with each entitlement municipality. Each entitlement municipality must approve its CDP or that portion of the CDP affecting the municipality.

Instructions for Completion of 3 Year Activities Summary

Purpose

All Entitlement Applicants must develop and identify activities that are to be carried out over a three year funding period. The requirement does not apply to competitive applicants. Entitlement applicants are to identify project activities that will be funded through their CDBG entitlement allocations for the next three years. The first year is the federal fiscal year funds being applied for with this application. This will require a careful analysis of the Three Year Community Development Plan, as well as short and long-term objectives. The objective of the Three Year Activities Summary is to enable Entitlement applicants to plan for and implement significant community development projects. The entitlement applicant, through the preparation of the Three Year Activities Summary, will be able to:

- State various activities required to fulfill short and long term objectives.
- Determine the need and time of needed staff expertise.
- Plan the submission of applications to other funding sources and thereby leverage other financial sources.
- Coordinate local community development activities.

The Three Year Activities Summary includes:

- Listing of all activities for three fiscal years.
- Projected CDBG and other sources of funding.
- Indication of national objectives with calculation to demonstrate 70% or greater low and moderate income benefit.

The Three Year Activities Summary is a projection, and is intended to demonstrate that the Entitlement Application is attempting to undertake needed community development activities. It is recognized that both the Three Year Community Development Plan and the Three Year Activities Summary are documents which are periodically amended to reflect changing needs and past accomplishments.

**THREE YEAR
 ACTIVITIES SUMMARY**

Name of Applicant:

For Entitlement Municipalities Only

LIST OF ACTIVITIES	FUNDING / NATIONAL OBJECTIVES BY YEAR														
	Year 1					Year 2					Year 3				
	CDBG \$	OTHER \$	CDBG LMI \$	SB	UN	CDBG \$	OTHER \$	CDBG LMI \$	SB	UN	CDBG \$	OTHER \$	CDBG LMI \$	SB	UN
01 Acquisition of Real Property															
02 Disposition															
03A Senior Center/Facilities															
03F Park, Recreation Facilities															
03G Parking Facilities															
03I Flood & Drainage Facilities															
03J Water/Sewer Improvements															
03K Street Improvements															
03L Sidewalks															
03O Fire Station/Equipment															
03 Public Facilities Other															
04 Clearance & Demolition															
05A Public Services 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/Private Owned Comm															
14G Acquisition For Rehabilitation															
15 Code Enforcement															
18A ED Direct Financial Assistance to For Profits															
19F Planned Repayment of Section 108 Loan Principal															
Other _____															
Other _____															
Other _____															
Low and Moderate Income Benefit	CDBG \$	CDBG LMI \$	% LMI			CDBG \$	CDBG LMI \$	% LMI			CDBG \$	CDBG LMI \$	% LMI		

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 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 and fiscal year programs that may trigger the citizen participation requirements.

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:

Activity: STORM SEWER	Activity: STREET IMPROVEMENTS
Components: Acquisition of R.O.W. Construction Sewer Street/Road Improvements	Components: 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. Seventy percent (70%) of each grant amount must benefit low and moderate income persons.

List of Activities

When identifying the activities for CDBG funding, utilize the HUD IDIS Matrix Codes contained in Appendix E. Each activity must have a name that includes the location of the activity followed by the type of activity.

B. Specific Instructions for National Objectives

Refer to Section 570.483 – 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 appropriate 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 (LMI) persons.

Surveys must be conducted in accordance with DCED's standards.

- 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 (DCED’s *Housing Rehabilitation Guidebook* prescribed standards) 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. Countywide/Area-Wide Activities (Referred to as Fair Share)

If a county uses any part of its county allocation for a countywide or areawide activity, it must determine if this activity will benefit any federal or state entitlement municipality. If any federal or state entitlement municipality benefits from an activity undertaken with a county’s allocation, then the proportional cost of the project benefiting the entitlement municipality(ies) must be met by funds other than the county’s allocation.

D. Environmental Review Requirements

As you plan your activities for the Fiscal Year, information has been provided in Appendix E 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.

E. Public Facilities and Improvements - HUD Matrix Code 03 series

For public community facilities that receive CDBG funds, the following information must be included in the activity description form to support the requirements at 570.201(c) 570.482 and 570.200(b):

1. Who owns the facility?
2. Is the facility open to the general public?
3. What are the hours of operation?
4. What are the fees for membership or to rent the facility?
5. Are the fees reasonable when compared to similar facilities in the general area so as not to preclude low and moderate income persons from using the facility?
6. Provide a list of services/programs available.
7. Provide the website, if applicable, for the facility.

Appendix B. CDBG Public Service Activities

A. Eligibility

Eligibility defined at 24 CFR 570.201(e) and 570.482 of CDBG Entitlement Regulations. For additional information, please refer to the *State Community Development Block Grant Program -- Guide to National Objectives and Eligible Activities*.

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

Definition – Area Benefit (570.483 (b)(1))

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 2009-14 ACS 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 ACS data, consult with DCED to evaluate the data and determine if it is reasonable to justify the low and moderate income benefit. ACS data for different census geography (i.e., CT, ED, or BG) may be added to determine over all LMI percent.

b. Survey

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

Surveys must be conducted and evaluated in accordance with HUD's most current CPD Notice on Survey Methodology.

Appendix D. Determining Service Areas

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.

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ACTIVITY DESCRIPTION

(Complete one for each Activity Eligibility)

1. APPLICANT/GRANTEE NAME:		2. DATE:																									
3. TYPE <input type="checkbox"/> Original <input type="checkbox"/> Revised		4. FUNDING YEAR																									
6a. HUD MATRIX CODE:		5. MULTI-YEAR FUNDED (IF YES, IDENTIFY FY):																									
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 style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">CDBG \$ _____</td> <td style="width: 10%; text-align: center;">Committed</td> <td style="width: 10%; text-align: center;">Yes</td> <td style="width: 10%; text-align: center;">No</td> </tr> <tr> <td>Federal \$ _____</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>State \$ _____</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Local \$ _____</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Private \$ _____</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>TOTAL \$ _____</td> <td></td> <td></td> <td></td> </tr> </table>		CDBG \$ _____	Committed	Yes	No	Federal \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	State \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Local \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Private \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TOTAL \$ _____			
CDBG \$ _____	Committed	Yes	No																								
Federal \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																								
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Local \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																								
Private \$ _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																								
TOTAL \$ _____																											
10. NATIONAL OBJECTIVE JUSTIFICATION (USE FEDERAL REGULATION CITATION NUMBERS):																											
11. GOAL ADDRESSED:																											

A. LMI BENEFIT TESTS

1. LMI AREA BENEFIT (CHOOSE ONE): <input type="checkbox"/> ACS DATA C.T.: _____ B.G.: _____ Area Pop.: _____ LMI Pop.: _____ % LMI: _____ <input type="checkbox"/> SURVEY Date of Survey: _____ Total Families: _____ # Responses: _____ # Persons: _____ # LMI Persons: _____ % LMI Persons: _____ <input type="checkbox"/> Required Survey Info Provided	2. LMC LIMITED CLIENTELE: <input type="checkbox"/> Income Eligibility <input type="checkbox"/> Nature/Location <input type="checkbox"/> Presumed Benefit <input type="checkbox"/> Abused Children <input type="checkbox"/> Battered Spouse <input type="checkbox"/> Elderly Persons <input type="checkbox"/> Homeless Persons <input type="checkbox"/> Illiterate Adults <input type="checkbox"/> Persons w/ Aids <input type="checkbox"/> Migrant Farm Worker <input type="checkbox"/> Severly Disabled	3. LMH HOUSING INCOME ELGIBILITY: <input type="checkbox"/> Rehabilitation <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 10%; text-align: center;">Yes</td> <td style="width: 10%; text-align: center;">No</td> </tr> <tr> <td>One-Unit Structures- Each Household LMI?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Two-Unit Structures- At least 1 Unit is LMI?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Multi-Unit Structures- 51% of Units are LMI?</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table> <input type="checkbox"/> New Construction # of New Rental Units: _____ % LMI units (20% - 50%): _____ CDBG funds limited to: _____		Yes	No	One-Unit Structures- Each Household LMI?	<input type="checkbox"/>	<input type="checkbox"/>	Two-Unit Structures- At least 1 Unit is LMI?	<input type="checkbox"/>	<input type="checkbox"/>	Multi-Unit Structures- 51% of Units are LMI?	<input type="checkbox"/>	<input type="checkbox"/>	4. LMJ JOB CREATION/RETENTION: Number of Jobs Created _____ Retained _____ Number of LMI Jobs Created _____ Retained _____ % LMI Jobs Created _____ Retained _____
	Yes	No													
One-Unit Structures- Each Household LMI?	<input type="checkbox"/>	<input type="checkbox"/>													
Two-Unit Structures- At least 1 Unit is LMI?	<input type="checkbox"/>	<input type="checkbox"/>													
Multi-Unit Structures- 51% of Units are LMI?	<input type="checkbox"/>	<input type="checkbox"/>													
Describe how this activity will benefit the above designated clientele:															

B. SLUMS/BLIGHT TEST

1. Area: <input type="checkbox"/> Area has been designated as slum, blighted or deteriorated under state or local law <input type="checkbox"/> Activity Addresses Conditions
2. Spot: <input type="checkbox"/> Acquisition <input type="checkbox"/> Relocation <input type="checkbox"/> Clearance <input type="checkbox"/> Rehab <input type="checkbox"/> Historic Preservation <input type="checkbox"/> Conditions detrimental to public safety & health

C. URGENT NEED TEST

<input type="checkbox"/> Serious, Immediate Threat	<input type="checkbox"/> Critical Within 18 months
<input type="checkbox"/> Urgent Condition	<input type="checkbox"/> Insufficient Local Funds

D. ACTIVITY DESCRIPTION

Describe the activity sufficiently to demonstrate that it is an eligible activity, and that its scope is adequate to meet the identified needs of intended beneficiaries. Particular attention must be focused on the impact the proposed solution will have upon low and moderate income people, e.g. user fees, benefit assessments, etc. (For activities with user fees, complete "Local Effort/User Fee Analysis".)

For Competitive Applicants - Due to the competitive review process, the activity should be described comprehensively to substantiate the cause and magnitude of the need, and "third party" support (reports, newspaper articles, letters from affected residents, businesses, etc.), should be provided. Focus as specifically as possible on the impact of the problem on the residents of the affected area.

Please provide a satellite image or photography of the project area.

1. Identify what is the problem and location of the problem. Identify the location of the project by street name(s) if applicable.

2. How will the problem be corrected: Specify type and quantity of materials to be used to correct the problem.

3. Who are the primary beneficiaries; who will receive the daily benefits of the proposed project. The project and service area must be identified on the map and may be different. (Include photos)

4. Public Facilities and Improvements -HUD Matrix Code 03 series

For public community facilities that receive CDBG funds, the following information must be included in the activity description form to support the requirements at 570.201(c), 570.482 and 570.200(b):

1. Who owns the facility?
2. Is the facility open to the general public?
3. What are the hours of operation?
4. What are the fees for membership or to rent the facility?
5. Are the fees reasonable when compared to similar facilities in the general area so as not to preclude low and moderate income persons from using the facility?
6. Provide a list of services/programs available.
7. Provide the website, if applicable, for the facility?

(Attach Additional sheets as necessary.)



LIMITED CLIENTELE WORKSHEET REPORTING

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

For LMC Benefit Activities ONLY

(Use One Form per Activity that you are qualifying as LMC)

Activities in this category provide benefits to a specific group of persons rather than everyone in an area. It may benefit particular persons without regard to the area in which they reside, or it may be an activity that provides a benefit on an area basis but only to a specific group of persons who reside in the area. In either case, at least 51 percent of the beneficiaries of the activity must be L/M income persons.

Examples of activities that qualify under the limited clientele category include:

- Acquisition of a building to be converted into a shelter for the homeless;
- Rehabilitation of a center for training severely disabled persons to enable them to live independently;
- Clearance of a structure from the future site of an neighborhood center that will exclusively serve the elderly; and
- Public services activities like the provision of health services

With respect to determining the beneficiaries of activities as LMI and qualifying under the limited clientele category, activities must meet one of the following tests:

- **Exclusively** benefit a clientele who are generally presumed by HUD to be principally L/M income persons. The following groups are currently presumed by HUD to be made up principally of L/M income persons:
 - ✓ Abused children,
 - ✓ Elderly persons,
 - ✓ Battered spouses,
 - ✓ Homeless persons,
 - ✓ Adults meeting Bureau of Census' definition of severely disabled adults *,
 - ✓ Illiterate adults,
 - ✓ Persons living with the disease AIDS, and
 - ✓ Migrant farm workers.

Reference: 24 CFR 570.483(b)(2)(ii)(A) or

- Require information on family size and income so that it is evident that at least 51 percent of the clientele are persons whose family income does not exceed the L/M income limit. (This includes the case where the activity is restricted exclusively to L/M income persons). *Reference: 24 CFR 570.483(b)(2)(ii)(B) and (C); or*
- Be of such nature and in such location that it may reasonably be concluded that the activity's clientele will primarily be L/M income persons (for example, a day care center that is designed to serve residents of a public housing complex). *Reference: 24 CFR 570.483(b)(2)(ii)(D); or*
- Be an activity that serves to remove material or architectural barriers to the mobility or accessibility of elderly persons or of adults meeting the Bureau of the Census' Current Population Reports definition of "severely disabled," provided it is restricted, to the extent practicable, to the removal of such barriers by assisting:
 - ✓ The reconstruction of a public facility or improvement, or portion thereof, that does not qualify under the L/M Income Area Benefit criteria;
 - ✓ The rehabilitation of a privately-owned nonresidential building or improvement that does not qualify under the L/M Income Area Benefit criteria or the L/M Income Jobs criteria; or
 - ✓ The rehabilitation of the common areas of a residential structure that contains more than one dwelling unit and that does not qualify under the L/M Income Housing criteria. *Reference: 24 CFR 570.483(b)(2)(iii); or*
- Be a microenterprise assistance activity carried out in accordance with the provisions of HCDA Section 105(a)(22) or 24 CFR 570.482(c) with respect to those owners of microenterprises and persons developing microenterprises assisted under the activity during each program year who are low- and moderate-income persons. (Note that, for these purposes, once a person is determined to be L/M income, he/she may be presumed to continue to qualify as such for up to a three year period. This would enable the provision of general support services to such a person during that three-year period, without having to check to determine whether the person's income has risen.) *Reference: 24 CFR 570.483(b)(2)(iv); or*

LIMITED CLIENTELE WORKSHEET REPORTING

- Be an activity designed to provide job training and placement and/or other employment support services, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services, in which the percentage of low- and moderate-income persons assisted is less than 51 percent which qualifies under the Limited Clientele national objective in the following **limited circumstance**:
 - ✓ In such cases where such training or provision of supportive services assists business(es), and the only use of CDBG assistance is to provide the job training and/or supportive services; and the proportion of the total cost of the services borne by CDBG funds is no greater than the proportion of the total number of persons benefiting from the services who are L/M income. *Reference: 24 CFR 570.483(b)(2)(v)*

Activities Excluded from Limited Clientele Qualification

There are two sets of activities that are precluded from qualifying under this category based on statutory limitations:

- Activities involving the acquisition, construction, or rehabilitation of property for housing, including homeownership assistance (these must qualify under the Housing subcategory, because of Section 105(c)(3) of the authorizing statute) or
- Activities where the benefit to L/M income persons is the creation or retention of jobs (these must qualify under the Jobs subcategory with certain exceptions as noted under the previous Area Benefit section, because of the different presumptions provided under Sections 105(c)(1)(C) and (4) of the authorizing statute)

Please go to the next page to complete the form for your LMC activity

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LIMITED CLIENTELE WORKSHEET REPORTING

To Be Completed as part of the Application for CDBG Funding – LMC Activity

NAME OF ACTIVITY:	CONTRACT YEAR:
-------------------	----------------

PART 1: IDENTIFY THE CLIENTELE TO BENEFIT

PRESUMED BENEFIT

To qualify under Limited Clientele criteria, the activity must exclusively benefit clientele who are generally presumed by HUD to be principally low-moderate income (L/M) persons (24CFR570.483(b)(2)(ii)(A). Please select one of the following groups that are generally presumed by HUD to be principally L/M persons for this project.

Please select one of the presumed categories that the beneficiaries of the proposed activity will be qualified as.

- | | |
|---|---|
| <input type="checkbox"/> Abused children
<input type="checkbox"/> Elderly persons (age 62 and older)
<input type="checkbox"/> Battered spouses
<input type="checkbox"/> Homeless persons | <input type="checkbox"/> Severely disabled adults (as defined by Bureau of Census*)
<input type="checkbox"/> Illiterate adults
<input type="checkbox"/> Persons living with AIDS
<input type="checkbox"/> Migrant farm workers |
|---|---|

*Persons are considered severely disabled if they:

- Use a wheelchair or another special aid for 6 months or longer;
- Are unable to perform one or more functional activities (seeing, hearing, having one's speech understood, lifting and carrying, walking up a flight of stairs and walking);
- Need assistance with activities of daily living (getting around inside the home, getting in or out of bed or a chair, bathing, dressing, eating and toileting) or instrumental activities or daily living (going outside the home, keeping track of money or bills, preparing meals, doing light housework and using the telephone);
- Are prevented from working at a job or doing housework;
- Have a selected condition including autism, cerebral palsy, Alzheimer's disease, senility or dementia or mental retardation; or
- Are under 65 years of age and are covered by Medicare or receive Supplemental Security Income (SSI).

Note: Exclusively means that all of the beneficiaries of the activity must meet the criteria for being presumed.

If the beneficiaries fall into any other category but those above, then Presumed Benefit category may not be used to qualify for Limited Clientele.

OTHER OPTIONS FOR QUALIFYING FOR THE LIMITED CLIENTELE CATEGORY

Please select one of the other options you are using to qualify your activity as LMC, if you cannot use the Presumed Benefit option above.

- Require documentation on family size and income in order to show that at least 51 percent of the clientele are LMI; For example: A summer lunch program that uses other funding with an income requirement; or
- Have income eligibility requirements limiting the activity to LMI persons only; For example construction of a waterline that will only service a senior (62 or older) housing complex; or
- Be of such a nature and in such a location that it can be concluded that clients are primarily LMI. For example is a day care center that is designed to serve residents of a public housing complex.

Please complete Part 2 to complete this form

LIMITED CLIENTELE WORKSHEET REPORTING

NAME OF ACTIVITY:	CONTRACT YEAR:
-------------------	----------------

PART 2: DOCUMENTATION

(attach separate sheets of paper if necessary)

Provide the following information as applicable to the proposed activity based on your responses in Part 1 of this form.

PRESUMED BENEFIT

Number of estimated beneficiaries in the Service Area: _____
(This may be from Census, ACS, or actual membership information)

What is the Source of your information : _____

ACTIVITIES REQUIRING DOCUMENTATION ON FAMILY SIZE AND INCOME

Number of estimated beneficiaries (families/households): _____

How Many LMI _____ % _____

**Please attach a blank sample of the intake document used to acquire this information.*

INCOME ELIGIBILITY REQUIREMENTS THAT LIMIT THE ACTIVITY EXCLUSIVELY TO LMC PERSONS

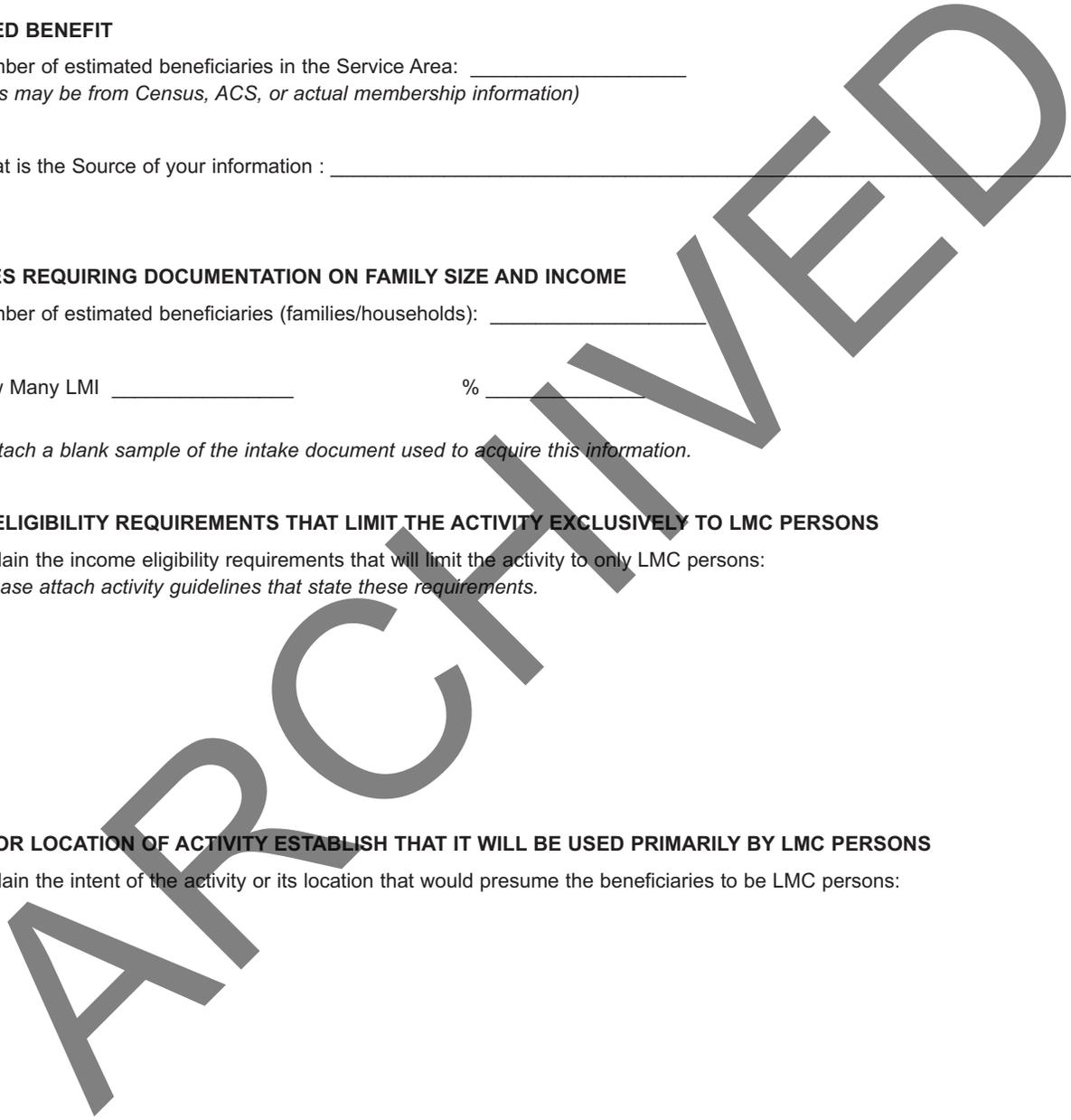
Explain the income eligibility requirements that will limit the activity to only LMC persons:

**Please attach activity guidelines that state these requirements.*

NATURE OR LOCATION OF ACTIVITY ESTABLISH THAT IT WILL BE USED PRIMARILY BY LMC PERSONS

Explain the intent of the activity or its location that would presume the beneficiaries to be LMC persons:

**Please attach a map of the location of the activity and the service area.*





FORCE ACCOUNT CERTIFICATION

Grantee: _____ Contract Number: _____

County: _____

The Grantee must complete the Force Account form and include it with its CDBG application submission prior to using Force Account for a project. Approval will be the approved application unless otherwise notified. For modifications and revision, this form must be submitted with the formal request and approval will be the approved modification or revision unless otherwise notified.

1) Description of the construction activities to be completed by force account:

2) Justification for doing the work by force account:

3) Details of the Grantee's experience with projects of like or similar nature:

4) Information on workload as it may affect capacity to do the work within time frame or work schedule:

5a) A complete estimated cost breakdown showing the number of work hours and cost per hour for each category of labor:

Labor Type	Job Description	# of Employees	Work	Hourly Wage	Subtotal Cost
Estimate Total Labor Costs					\$0.00

5b) List of materials and supplies owned or to be purchased by the Grantee

Materials	Owned or to be Purchased	UOM*	Qty	Unit Price	Subtotal Cost
Estimate Total Material Costs					\$0.00

5c) List of equipment owned by the Grantee and/or equipment that must be rented (Evidence of ownership must be submitted with this form).

7) I certify the following:

1. That the persons performing force account work are W-2 form registered employees, (and not 1099 form contractors) of the Grantee; and
2. If temporary workers are hired, that they will be W-2 form registered employees (and not 1099 form contractors), and that the employer's policies for temporary employees will be followed.

Signature of Chief Elected Official *Date*

Printed Name *Title*

DCED Use Only

Grant Manager Approval *Date*

DCED Comments

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PROJECT BUDGET

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

APPLICANT NAME:

Total Source of Funds				
Activity	CDBG	Local (with eligible in-kind)	Program Income	Total
1 Construction Costs				
2 Professional Fees				
3 Labor Standards				
4 Land Acquisition (if any)				
5 Environmental Review				
TOTAL				

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

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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 environmental clearance, procurement of third party services, plans, permits, bids, contracts, financing, acquisition of property, construction, and completion.

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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

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 E-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 percent
- 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)

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: dced.pa.gov

Instructions for Completion of Local Effort/User Fee Analysis

Must be completed for all sewer and water system improvements receiving CDBG assistance.

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

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

Water	Sewer

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.

Instructions for Completion of LMI Principal Benefit Determination

1. Applicant Name – Name of Municipality.
2. Date – Enter date of submission.
3. Submission Type – Check as appropriate.
4. Fiscal Year – Enter the Federal Fiscal Year of the grant application.
5. Contract Number – If this submission is to revise or amend an existing CDBG grant, enter the CDBG Contract Number otherwise, leave blank.

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 E.
- 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. When counting CDBG funds benefiting LMI for assistance to Housing Rehab and New Housing, CDBG dollars benefiting LMI are determined by multiplying the total costs (CDBG and non-CDBG costs) of the acquisition, construction, or rehabilitation by the percent of the units in such housing that will be occupied by persons of low and moderate income households. 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. (Must be 70 percent or greater.)

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



LMI PRINCIPAL BENEFIT DETERMINATION

COMMUNITY DEVELOPMENT BLOCK GRANT 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			
HUD Code	Activity	1. LMI CDBG Dollars	Slums/Blight CDBG Dollars	Urgent Need CDBG Dollars	4. Total CDBG Dollars
01	Acquisition of Real Property				
02	Disposition				
03A	Senior Center/Facilities				
03F	Parks, Recreation Facilities				
03G	Parking Facilities				
03I	Flood Drainage Facilities				
03J	Water / Sewer Improvements				
03K	Street Improvements				
03L	Sidewalks				
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	Homeownership Assistance				
14A	Rehab: Single-Unit Residential				
14E	Rehab: Publicly or Privately Owned Comm./Ind.				
14G	Acquisition for Rehabilitation				
15	Code Enforcement				
18A	Direct Financial Assistance to For-Profits				
19F	Planned Repayment of Section 108 Loan Principal				
	Other _____				
	Other _____				
C. CDBG TOTALS					
% LMI OF TOTAL					

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

BUDGET SUMMARY | COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

LIMITATIONS

Administration:

18% of CDBG Amount

Total Grant: \$ _____

Administration: \$ _____

Percent: _____ %

18% of Program Income

Total Program Income: \$ _____

Administration: \$ _____

Percent: _____ %

Public Services:

15% of CDBG Amount

Total Grant: \$ _____

Public Services: \$ _____

Percent: _____ %

PROGRAM INCOME

Program income must be accounted for separate from the CDBG grant. For grantees with open CDBG grant contracts, program income is governed by the regulations, procedures and requirements of the CDBG Program for the grant year to which the income is to be utilized. Interest earned on the drawdown of CDBG funds is not considered program income. However, interest earned on CDBG draws is governed by the CD&H Alert dated July 2013. Program Income Reuse Guidelines including Reuse Plan is available on the federal resources library dced.pa.gov/community/federal-program-resource-library/cdbg.

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).

HUD Code	HUD Code Title - Activity	Regulation Citation
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	570.201(c)
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	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	Renewal Completion	570.201(h)	
08	Relocation	570.201(i)	
09	of Rental Income	570.201(j)	
10	of Architectural Barriers	570.201(k)	
11	Owned Privately	570.201(l)	
12	Construction of Housing	570.201(m)	
13	Homeownership Assistance		
14A	Rehab; Single-Unit Residential		
14B	Multi-Unit Residential	570.202	
14C	Housing Modernization		
14D	Other Publicly-Owned Residential Buildings		570.202
14E	Rehab; Publicly or Privately-Owned Commercial/Indu		570.202
14F	Efficient Energy Improvements		
14G	- for Accessibility	570.202	
14H	Rehabilitation Administration	570.202	
14I	Lead-Based Paint Abate		
15	Enforcement Code	570.202(c)	
16A	Historic Preservation	570.202(d)	
16B	Non-Historic Preservation		
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	Commercial Industrial Improvements		570.203(a)
18A	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	Non-profit Organization Capacity Building		
19D	CDBG Assistance to Institutes of Higher Education		
19E	Operation of Repair of Foreclosed Property		
19F	Repayment of Section 108 Loan Principal		
19G	Unplanned Repayment of Section 108 Loan Principal		
19H	CDBG Technical Assistance to Grantees		
20	Planning	570.205	
21A	Program Administration		
21B	Costs Indirect	570.206	
21D	Housing Activities (subject to 20% Admin cap)		570.206
21E	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.

ARCHIVED

Supplemental CDBG Required Plans and Documentation

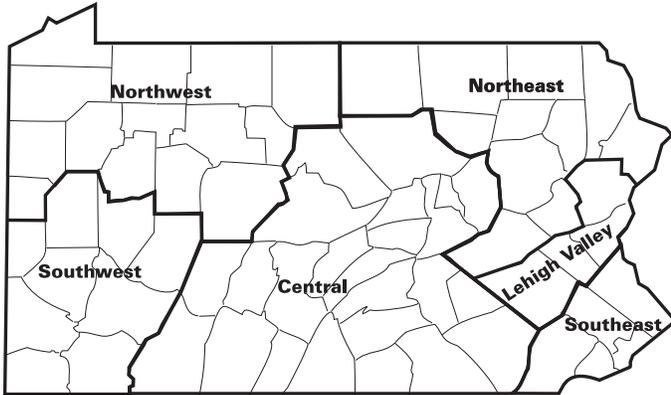
The following documents, plans, templates, and other resources are available on DCED's website at the following link: dced.pa.gov/community/federal-program-resource-library/cdbg

- **Citizen Participation Plan and Sample Public Notices**
(Municipally adopted and reviewed annually)
- **Definition of Family versus Household Income**
(Required for eligibility)
- **Environmental Tip Sheets**
(Guidance and Required Documentation)
- **Fair Housing Notice and Sample Ad and Resolution**
(Required with application submission and annual action steps)
- **MBE/WBE Plan**
(Municipally adopted and implemented, when applicable)
- **Residential Anti-Displacement and Relocation Plan**
(Municipally adopted and reviewed annually)
- **Revisions and Modifications Templates**
- **Section 3 Plan**
(Municipally adopted and implemented, when applicable)
- **Three year Activity Extension Template**

Please review and note which items require an annual review and update. This list will be updated periodically as the Center for Community Development Operations updates program resources.

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