

— PENNSYLVANIA. BUILT TO ADVANCE. —

Community Development Block Grant Program

Application Forms



August 2015

Commonwealth of Pennsylvania
Tom Wolf, Governor

Department of Community & Economic Development



newPA.com

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 2015-16 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. One copy must be submitted to the Regional Office.

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.



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

10. CDBG 20____ PROGRAM SUMMARY
11. ACTIVITIES. <i>Briefly describe activities to be undertaken and municipality(ies) or neighborhood(s) where located.</i>

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:
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:</p> <p>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, Town and Townships:</p> <p>I hereby certify that _____ has approved the CDP. <small>(Name of Municipality)</small></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 applicant or grantee hereby assures and certifies that:

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

LEGAL
AUTHORITY

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

OFFICIAL
RESOLUTION

(C) It has established a citizen participation mechanism which:

CITIZEN
PARTICIPATION

(1) Provides an opportunity for citizens to participate in the development of the application, 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 of 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.

(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 will be met in the case of public hearings where a significant number of non-English speaking residents can be reasonably expected to participate.

(D) In the event the applicant or grantee wishes to request a major revision 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.

(E) It will provide citizens with reasonable access to records regarding its CDBG assisted activities and management.

ACCESS TO
INFORMATION

(F) 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.

PROGRAM
PRIORITIES

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

FINANCIAL
REQUIREMENTS

(H) 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.

ARCHITECTURAL
BARRIERS

(I) It will comply with:

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

CIVIL
RIGHTS

Title VI states that:

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

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

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

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

FAIR
HOUSING

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

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

EQUAL
OPPORTUNITY

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

AGE

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

HANDICAPPED
PERSONS

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

- (7) Executive Order 11625, October 13, 1971 which prescribes additional arrangements for developing and coordinating a national program for Minority Business Enterprise (36 FR 19967).
- (8) Executive Order 12138, May 18, 1979 (44 FR 29637) which creates a National Women's Business Enterprise Policy.
- (9) Pennsylvania Human Relations Act of October 27, 1957, P.L. 744, (43 P.S. 951-963) which provides that no employee, applicant for employment, independent contractor, or any other person shall be discriminated against because of race, color, religious creed, ancestry, national origin, age, or sex.

<p>(J) 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.</p>	<p>EMPLOYMENT</p>
<p>(K) It certifies that it has developed and adopted a residential antidisplacement and relocation assistance plan.</p>	<p>DISPLACEMENT</p>
<p>(L) 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</p> <p>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</p> <p>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.</p>	<p>ACQUISITION/ RELOCATION</p>
<p>(M) 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.</p>	<p>BENEFIT ASSESSMENTS FOR PUBLIC IMPROVEMENTS</p>
<p>(N) 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.</p>	<p>HATCH ACT</p>

<p>(O) 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:</p>	<p>LABOR STANDARDS</p>
<p>(1) The Davis-Bacon Act, P.L. 86-624, as amended (40 U.S.C. 276a-276a-5).</p>	
<p>(2) Contract Work Hours & Safety Standards Act, P.L. 87-581 (40 U.S.C. 327 et. seq.).</p>	
<p>(3) Copeland "Anti-kickback" Act (40 U . S. C. 276c).</p>	
<p>(4) 29 CFR Parts 1, 3, 5, 6, and 7.</p>	
<p>(P) 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.</p>	<p>ENVIRONMENTAL CLEARANCE</p>
<p>(Q) 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.</p>	<p>VIOLATING FACILITIES LIST</p>
<p>(R) 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.</p>	<p>CONFLICT OF INTEREST</p>
<p>(S) It will comply with Title IV of the Lead Base Paint Poisoning Prevention Act, P.L. 91-695, as amended, (42 U.S.C. 4831) and the regulations issued pursuant thereto (24 CFR PAINT Part 35).</p>	<p>LEAD BASED PAINT</p>
<p>(T) 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).</p>	<p>ENERGY CONSERVATION</p>
<p>(U) 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)</p>	<p>FLOOD PLAIN</p>
<p>(V) 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.).</p>	<p>STEEL PRODUCTS</p>
<p>(W) 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.</p>	<p>SEPARATIONS ACT</p>
<p>(X) 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.</p>	<p>RESOURCE CONSERVATION</p>

(Y) 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.

LOBBYING

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

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

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

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

EXCESSIVE
FORCE

Signature of Chief Elected Official

Date

Name/Title of Chief Elected Official

Municipality

County



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 only required to conduct one public hearing*

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

PART IV - INTERESTED PARTIES			
Alphabetical List of All persons with a Reportable Financial Interest in the Project	Social Security Number or Employer ID Number	Type of Participation in Project	Financial Interest in Project (\$ and %)

Instructions for Compliance with Fair Housing and Minority/ Women Business Enterprise Requirements

I. Fair Housing

A. Entitlement Grantees

1. Fair Housing Advertisement:

Entitlement applicants must submit with their applications a copy of a published advertisement redesignating a Fair Housing Officer within their community. 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 alternate ad.

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
101 South Second Street, Suite 300
Harrisburg, Pennsylvania 17105;

and

U.S. Department of Housing and Urban Development
FHEO/Regional Office
Liberty Square Building
105 South Seventh Street
Philadelphia, Pennsylvania 19106-3392

or

U.S. Department of Housing and Urban Development
FHEO/Area Office
Old Post Office and Courthouse Building
7th and Grant Streets
Pittsburgh, Pennsylvania 15219-1361; and

b. Maintaining a record of all complaints filed, dates forwarded to appropriate agencies, and evidence of resolution.

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.

3. All *entitlement* applicants must undertake actions to affirmatively further fair housing in accordance with the Fair Housing Guidance located in the Federal Resource Library:
www.newPA.com/community/federal-program-resource-library/cdbg.

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. Minority/Women Business Enterprise (M/WBE) Plan

All **entitlement** applicants are reminded that they are to follow the M/WBE Plan they previously adopted in the administration of all of their CDBG projects including annual goals for participation.

Competitive applicants that are awarded competitive grants will be required to adopt and follow an M/WBE Plan subsequent to notification of grant award.

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

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

FOUR-FACTOR ANALYSIS
and
LANGUAGE ACCESS PLAN
FOR LIMITED ENGLISH PROFICIENCY PERSONS

COMMUNITY DEVELOPMENT
BLOCK GRANT PROGRAM

COMMUNITY NAME

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4. The resources available and costs to the recipient.

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

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

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

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

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

Chief Elected Official

Date

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

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

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

Adopted:

Date Adopted

Chief Elected Official Signature

Attest

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.



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
2010					
2011					
2012					
2013					
(F) TOTALS			(G)		(H)
2014 Grant: \$ _____			(I) 2015 Grant: \$ _____		
Date you received fully executed 2014 contract: _____			(J) Unexpended Funds Ratio: _____		

Instructions:

1. In column (A) list the amounts of any CDBG grants (excluding Planning grants) that your municipality received for each corresponding year.
2. In column (B) list the amounts expended, as of the date of the application, for each grant listed in column (A).
3. In column (C) list the percent of funds expended by dividing the amount in column (B) by the amount in column (A).
4. 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).
5. 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).
6. In line (F) provide the totals of columns (A), (B), and (D).
7. Indicate at (G) the percentage of total funds expended by dividing the total of column (B) by the total of column (A).
8. 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 2015 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 2015 grant. Please address the following:

1. List any problems that are delaying particular year grants. Indicate the grant year and the reasons for delay.
2. 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.



BENEFITS TO MINORITIES

(Past Three Years - 2012, 2013, 2014)

Activity	CDBG Amount	Service Area Location (Area Benefit) (CT, ED, BG)	% Minorities within Service Area	Census or Survey
Fiscal Year:				
Fiscal Year:				
Fiscal Year:				

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/Privatey 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 \$					CDBG \$				
	CDBG LMI \$					CDBG LMI \$					CDBG LMI \$				
	% LMI					% 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/ROAD IMPROVEMENTS
Components: Acquisition of R.O.W. Sewer Construction 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 570.208 – Criteria for National Objectives in the September 1988, HUD Regulations, for guidance along with the following information to complete this section:

1. **LMI Benefit Test** – Determine if the activity meets the LMI criteria in one of the four categories listed below. If an activity qualifies as meeting the LMI test and another national objective, such as slums and blight, it should be qualified under LMI.
 - a. **Area Benefit** – Check the 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 (Section 8 standards minimum) before less critical deficiencies are completed.

b. **Spot Basis**

Activities Limited To

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

Rehabilitation Limitation

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

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

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

C. Countywide/Area-Wide Activities

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) 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) of CDBG Entitlement Regulations. Also refer to *Guide to National Objectives & Eligible Activities*, pages 22-26.

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

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

Eligible public service costs include labor, supplies and materials.

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

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

1. New Service

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

2. Quantifiable Increase

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

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

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

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

3. Questions on Eligibility

a. *Define quantifiable increase.*

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

b. *How does the three years work?*

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

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

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

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

B. Fundability

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

Appendix C. Service Areas and Survey Methodology for Area Benefit Activities

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

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

A. Process

1. Determine Service Area Boundary

a. Problem/Solution

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

b. Nature/Type Activity

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

c. Level of Funding

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

d. Document Service Area Boundary

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

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

a. Census Data

If service area boundary coincides with HUD 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 DCED 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.



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	5. MULTI-YEAR FUNDED (IF YES, IDENTIFY FY):																												
6a. HUD MATRIX CODE:		6b. ACTIVITY NAME																													
7. ACTIVITY LOCATION:		8. COST:																													
9. NATIONAL OBJECTIVE: <input type="checkbox"/> LMI <input type="checkbox"/> S/B <input type="checkbox"/> UN		<table style="width: 100%; border-collapse: collapse;"> <tr> <td></td> <td style="text-align: right;">Committed</td> <td></td> <td></td> </tr> <tr> <td>CDBG \$ _____</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">No</td> <td></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></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></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></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></td> </tr> <tr> <td>TOTAL \$ _____</td> <td></td> <td></td> <td></td> </tr> </table>			Committed			CDBG \$ _____	Yes	No		Federal \$ _____	<input type="checkbox"/>	<input type="checkbox"/>		State \$ _____	<input type="checkbox"/>	<input type="checkbox"/>		Local \$ _____	<input type="checkbox"/>	<input type="checkbox"/>		Private \$ _____	<input type="checkbox"/>	<input type="checkbox"/>		TOTAL \$ _____			
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Local \$ _____	<input type="checkbox"/>	<input type="checkbox"/>																													
Private \$ _____	<input type="checkbox"/>	<input type="checkbox"/>																													
TOTAL \$ _____																															
10. NATIONAL OBJECTIVE JUSTIFICATION (USE FEDERAL REGULATION CITATION NUMBERS):																															
11. GOAL ADDRESSED:																															

A. LMI BENEFIT TESTS

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 <input type="checkbox"/> New Construction One-Unit Structures- Each Household LMI? <input type="checkbox"/> Yes <input type="checkbox"/> No Two-Unit Structures- At least 1 Unit is LMI? <input type="checkbox"/> Yes <input type="checkbox"/> No Multi-Unit Structures- 51% of Units are LMI? <input type="checkbox"/> Yes <input type="checkbox"/> No # of New Rental Units: _____ % LMI units (20% - 50%): _____ CDBG funds limited to: _____	4. LMJ JOB CREATION/RETENTION: Number of Jobs Created _____ Retained _____ Number of LMI Jobs Created _____ Retained _____ % LMI Jobs Created _____ Retained _____
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) 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.)



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.



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.

APPENDIX E-1

Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

EXEMPT ACTIVITIES (58.34)

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

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

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

APPENDIX E-2

Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

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

These activities are usually associated with (ESG Projects):

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

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

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

APPENDIX 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%
- Projects to remove barriers restricting mobility and accessibility to elderly and handicapped persons
- Rehabilitation of residential buildings (with one to four units), when the density is not increased beyond four units, the land use is not changed, and the footprint of the building is not increased in a floodplain or in a wetland
- Rehabilitation of multifamily residential buildings when the unit density is not changed more than 20 percent, the project does not involve changes in land use from residential to non-residential, and the estimated cost of rehabilitation is less than 75 percent of the total costs of replacement after rehabilitation
- For non-residential structures (including commercial, industrial and public buildings), the facilities and improvements are in place and will not change in size or capacity by more than 20 percent, and the activity does not involve a change in land use
- An individual action on up to four dwelling units, where there is a maximum of four units on any one site
- An individual action on a project of five or more housing units developed on scattered sites, when the sites are more than 2,000 feet apart and there are not more than four housing units on any one site
- Acquisition (including leasing) or disposition of existing structures, or acquisition of vacant land, provided that the structure or land acquired or disposed of will retain the same use

Combinations of the above activities.

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

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

APPENDIX E-4

Environmental Tips Sheet

Check the proposed activity below that best describes your project:

1. APPLICANT NAME:
2. ACTIVITY:

ENVIRONMENTAL ASSESSMENT (58.36)

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

EXAMPLE:

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

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

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

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

All forms and templates necessary to complete any of these areas may be found on DCED's website: www.newPA.com

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	2. Slums/Blight CDBG Dollars	3. 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 and 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	Direct Homeownership Assistance				
14A	Rehab: Single-Unit Residential				
14E	Rehab: Publicly or Privately Owned Comm./Ind.				
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				
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

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

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

Note: One (1) Budget Summary must be completed for each fiscal year CDBG Grant.

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 www.newPA.com/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	
04	Clearance and Demolition	570.201(d)
04A	Clean-up of Contaminated Sites	570.201(d)
05	Public Services (General)	570.201(e)
05A	Senior Services	570.201(e)
05B	Handicapped Services	570.201(e)
05C	Legal Services	570.201(E)
05D	Youth Services	570.201(e)
05E	Transportation Services	570.201(e)
05F	Substance Abuse Services	570.201(e)
05G	Battered and Abused Spouses	570.201(e)
05H	Employment Training	570.201(e)
05I	Crime Awareness	570.201(e)
05J	Fair Housing Activities (if CDBG, then subject to	570.201(e)
05K	Tenant/Landlord Counseling	570.201(e)
05L	Child Care Services	570.201(e)
05M	Health Services	570.201(e)
05N	Abused and Neglected Children	570.201(e)
05O	Mental Health Services	570.201(e)
05P	Screening for Lead-Based Paint/Lead Hazards Poison	570.201(e)
05Q	Subsistence Payments	570.204
05R	Homeownership Assistance (not direct)	570.204

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

Definitions of IDIS Matrix Codes

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

Acquisition and Disposition

01 Acquisition

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

ESG funds cannot be used for acquisition activities.

02 Disposition

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

Public Facilities and Improvements

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

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

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

03 Public Facilities and Improvements

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

03A Senior Centers

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

03B Centers for the Disabled/Handicapped

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

03C Homeless Facilities (Not Operating Costs)

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

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

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

03D Youth Centers/Facilities

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

03E Neighborhood Facilities

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

03F Parks, Recreational Facilities

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

03G Parking Facilities

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

03H Solid Waste Disposal Facilities

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

03I Flood and Drainage Facilities

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

03J Water/Sewer Improvements

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

03K Street Improvements

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

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

03L Sidewalks

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

03M Child Care Centers/Facilities for Children

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

03N Tree Planting

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

03O Fire Station/Equipment

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

03P Health Facilities

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

03Q Abused and Neglected Children's Facilities

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

03R Asbestos Removal

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

03S Facilities for AIDS Patients (Not Operating Costs)

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

03T Operating Costs of Homeless/AIDS Patients Programs

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

Public Services

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

05 Public Services (General)

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

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

05A Senior Services

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

05B Services for the Disabled

(Previously Referred to as Handicapped Services)

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

05C Legal Services

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

05D Youth Services

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

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

05E Transportation Services

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

05F Substance Abuse Services

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

05G Battered and Abused Spouses

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

05H Employment Training

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

05I Crime Awareness/Prevention

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

05J Fair Housing Activities

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

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

05K Tenant/Landlord Counseling

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

05L Child Care Services

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

05M Health Services

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

05N Abused and Neglected Children

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

05O Mental Health Services

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

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

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

05Q Subsistence Payments

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

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

05R Homeownership Assistance (Not Direct)

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

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

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

05T Security Deposits

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

03T Operating Costs of Homeless/AIDS Patients Programs

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

Housing

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

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

12 Construction of Housing

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

13 Direct Homeownership Assistance

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

14A Rehabilitation: Single-Unit Residential

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

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

14B Rehabilitation: Multi-Unit Residential

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

14C Public Housing Modernization

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

14D Rehabilitation: Other Publicly Owned Residential Buildings

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

14F Energy Efficiency Improvements

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

14G Acquisition For Rehabilitation

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

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

14H Rehabilitation Administration

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

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

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

16A Residential Historic Preservation

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

19A Do not use this code for new activities

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

19B Do not use this code for new activities

Refer to code 21I, Funding of CHDO Operating Costs

Commercial/Industrial Improvements by Grantee or Non-Profit

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

17A Commercial/Industrial Land Acquisition/Disposition

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

17B Commercial/Industrial Infrastructure Development

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

17C Commercial/Industrial Building Acquisition, Construction, Rehabilitation

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

17D Other Commercial/Industrial Improvements

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

Direct Economic Development Assistance to Private For-Profits

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

14E Rehabilitation: Publicly or Privately Owned Commercial/Industrial

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

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

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

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

18B ED Direct: Technical Assistance

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

18C Micro-Enterprise Assistance

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

General Administrative and Planning Costs

20 Planning

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

21A General Program Administration

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

21B Indirect Costs

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

21C Public Information

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

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

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

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

21E Submissions or Applications for Federal Programs

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

21F This is not a valid code

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

21G This is not a valid code

Refer to code 05T, Security Deposits.

21H Funding of Admin/Planning Costs of PJ

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

21I Funding of CHDO Operating Costs

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

Other

04 Clearance and Demolition

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

04A Clean-up of Contaminated Sites/Brownfields

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

06 Interim Assistance

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

07 Urban Renewal Completion

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

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

08 Relocation

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

09 Loss of Rental Income

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

10 Removal of Architectural Barriers

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

11 Privately Owned Utilities

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

15 Code Enforcement

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

16B Non-Residential Historic Preservation

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

19C CDBG Non-Profit Organization Capacity Building

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

19D CDBG Assistance to Institutions of Higher Education

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

19E CDBG Operation and Repair of Foreclosed Property

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

19F Repayments of Section 108 Loan Principal

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

19G Unplanned Repayment of Section 108 Loan Principal

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

19H State CDBG Technical Assistance to Grantees

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

22 Unprogrammed Funds

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

Supplemental CDBG Required Plans and Documentation

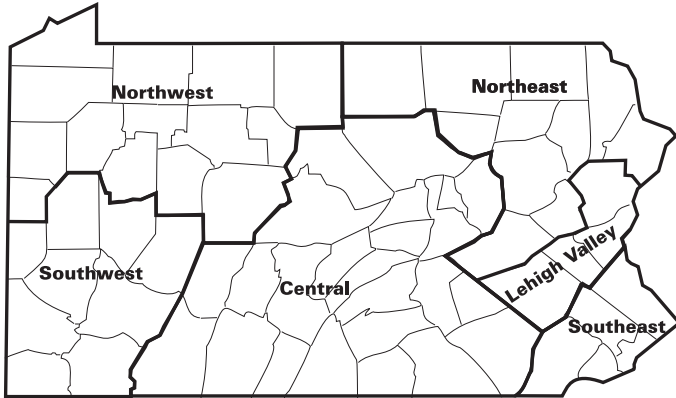
The following documents, plans, templates, and other resources are available on DCED's website at the following link: www.newPA.com/community/federal-program-resource-library/cdbg

- **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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