

NORTH CAROLINA

DEPARTMENT OF COMMERCE

2020

North Carolina Neighborhood Revitalization Program
Community Development Block Grant (CDBG-NR) with
special consideration for COVID-19 focused projects (rev 7-13-20)

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North Carolina Neighborhood Revitalization Program

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PROGRAM GUIDELINES

COVID-19 Response and the 2020 NC Neighborhood Revitalization Program

The North Carolina Department of Commerce will administer nearly \$28.52 million in Community Development Block Grant Coronavirus (CDBG-CV) funds awarded to the State by the U. S. Department of Housing and Urban Development (HUD) to support North Carolina's COVID-19 response efforts. This allocation was authorized by the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), Public Law 116-136, which was signed by President Trump on March 27, 2020, to respond to the growing effects of this historic public health crisis.

The CARES Act made available \$5 billion for HUD grants such as CDBG for special allocations to states and individual communities. As required, the North Carolina State CDBG-CV allocation will be allocated to non-entitlement areas across the state, which include incorporated municipalities under 50,000 and counties under 200,000 in population.

While the CDBG-CV program is being planned, non-entitlement local units of government are encouraged to apply for the **NC Neighborhood Revitalization Program** (CDBG-NR) to assist with local needs identified by the community in collaboration with state and/or local health officials to prepare, prevent, and respond to the Coronavirus. Projects could include, but are not limited to, stabilizing housing, rehabilitating homes for vulnerable populations, and repurposing buildings into patient treatment centers. Please note that NR does not include any CARES Act funds, but rather using the regular CDBG program funding.

If you are uncertain whether an activity is an eligible activity or need a program waiver, please email your questions and requests to Valerie D. Moore, CDBG Section Chief, at Valerie.Moore@nccommerce.com.

INTRODUCTION

The **North Carolina Neighborhood Revitalization Program (NC Neighborhood)** will offer a non-entitlement municipality or county the opportunity to tailor a project to meet the community development needs specific and most critical to their locality, primarily for their low- and moderate-income residents with special consideration for activities that prepare, prevent, or respond to COVID-19. The **NC Neighborhood Revitalization Program** incorporates several previous Rural Economic Development Division (REDD) Community Development Block Grant (CDBG) programs and activities such as **Scattered Site Housing and Supportive Housing**.

North Carolina received approximately \$47.5 million in CDBG funds for 2019. Of this amount, approximately \$10.0 million will be made available for the 2020 **NC Neighborhood Revitalization Program**. The state makes these funds available through awarding grants to non-entitlement governments throughout North Carolina.

The **NC Neighborhood Revitalization Program** will support the three livability principles that helps guide sustainability and resiliency throughout areas that receive funding. Regardless of the program activity or activities local governments pursue, **NC Neighborhood Revitalization Program** projects must incorporate at least one of the following three livability principles as an area of focus:

NC Neighborhood Revitalization 3 Livability Principles

- **Promote equitable, affordable housing.** Expand location and energy-efficient housing choices for people of all ages, incomes, races, and ethnicities to increase mobility and lower the combined cost of housing and transportation.
- **Support existing communities.** Target federal funding toward existing communities - through strategies like transit-oriented, mixed-use development, and land recycling - to increase community revitalization and the efficiency of public works investments and safeguard rural landscapes.
- **Value communities and neighborhoods.** Enhance the unique characteristics of all communities by investing in health, safe, and walkable neighborhoods - rural, urban, or suburban.

NATIONAL OBJECTIVES

Since the **NC Neighborhood Revitalization Program** uses Community Development Block Grant (CDBG) funds, all project activities must meet at least one of three national objectives to be eligible. The three national objectives in the CDBG program are: (1) benefiting low-and-moderate income (LMI) persons; (2) preventing or eliminating slums or blight; and (3) meeting other community development needs that are deemed to be urgent because of existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet the need. *Please note that **NC Neighborhood Program** activities generally will not qualify for the urgent need national objective.*

National Objectives Defined:

1. **Benefit to LMI persons:** Benefit to LMI persons may be either **direct** or **area-wide** benefit.
 - Direct benefits are those activities that serve certain persons (e.g., housing rehabilitation).
 - Area-wide benefits are those activities that benefit communities and are not participant specific (e.g., neighborhood parks).

Please note that applicants must ensure that both area-wide benefit at least 51% low and moderate-income (LMI) persons, and direct activities benefit 100% low and moderate-income (LMI) persons. If

proposing economic development activities, 60% of beneficiaries must be LMI. Additionally, applicants must ensure that NC Neighborhood Program projects do not benefit moderate-income persons to the exclusion of low-income persons.

□ **Slum or Blight:** The elimination of slum and blighting conditions may be undertaken on an area or spot basis. Activities on an area basis must have an area officially designated by the grantee. Activities to be assisted with CDBG funds must be limited to those that address the conditions which contribute to the deterioration of the area. Activities on a spot basis (those outside an officially designated slum and blight area) are limited to acquisition, clearance, relocation, historic preservation, and rehabilitation of buildings to the extent that it is causing detriment to public health and safety. Local governments are encouraged to certify areas under North Carolina Redevelopment Law (G.S. 160A.500).

Please note that slum or blight activities proposed in the NC Neighborhood Revitalization grant application are only eligible if there is a redevelopment plan for that space to be completed within the life-cycle (30 months) of this grant (e.g., new and affordable housing development, community garden, community park, etc.) In addition, slum or blight activities with a plan for redevelopment must benefit LMI households.

Low- and Moderate-Income (LMI) Households Defined:

Low-and-moderate-income households in metropolitan areas are defined as those with incomes equal to or less than eighty percent (80%) of the median family income of the metropolitan area. For families residing in non-metropolitan areas, low and moderate income is defined as eighty percent (80%) or less of the median income of the county. “2019 or the most current Income Limits,” published by the Department of Housing and Urban Development (HUD), defines income limits for low and moderate-income families per family size for non-metropolitan and metropolitan areas of the state. The document is available on the HUD Exchange Website using this link <https://www.huduser.gov/portal/datasets/il.html> or can be obtained from the Rural Economic Development Division (REDD).

PROJECTS WITH MULTIPLE ACTIVITIES

Applicants may complete projects that include multiple activities in the **NC Neighborhood Revitalization Program**. Excluding administration, each activity funded must meet a national objective. There are instances when activities can qualify under more than one national objective category. When this happens applicants must select only one.

Important to Note: *Proposed activities that fails to meet a national objective and/or program requirement may result in the REDD eliminating the activity from the project and disqualifying the project for funding.*

THRESHOLD REQUIREMENTS

Threshold requirements address the minimum expectations pertaining to the application process, submission requirements, and minimum program requirements. The Rural Economic Development Division (REDD) will not consider any **NC Neighborhood Revitalization Program** applications for competition if one or more of the following requirements are not met:

Application will be deemed ineligible for the following reasons:

- Application is physically received by the REDD past the date due (documented deadline);
- Applicant is ineligible to apply if previously awarded an NC Neighborhood grant within the prior last two funding cycles (i.e., projects awarded in 2018 and 2019);
- Applicant is not an eligible non-entitlement local government;
- Applicant did not submit two complete original applications bound as instructed;
- The Application Summary form in each application was not completed and signed by the chief elected official or another documented authorized certifying officer;
- All required attachments were not included in the application;
- All or some identified eligible activities in the application did not address a national objective;
- The project does not include housing and housing-related activities;
- Applicant's CDBG NC Neighborhood Revitalization funding request exceeds the maximum grant amount of \$750,000.00 and/or the maximum activity grant amount;
- Previous CDBG grants were not administered in compliance with applicable regulations, and all monitoring and audit findings on closed or open grants were not resolved; and
- Applicant or identified sub-recipient appears on the Federal or State Suspension of Funds list.

Please Note: A waiver may be granted by the NC Department of Commerce if current funding request exceeds \$1,250,000 in applications for local governments in any of the CDBG categories and demonstration programs except Urgent Needs and Capacity Building grants.

ELIGIBLE RECIPIENTS

All municipalities are eligible to receive State CDBG funds with special consideration for storm impacted areas except for entitlement communities. Entitlement communities receive funds directly from HUD. North Carolina's 24 entitlement municipalities are: **Asheville, Burlington, Cary, Chapel Hill, Charlotte, Concord, Durham, Fayetteville, Gastonia, Goldsboro, Greensboro, Greenville, Hickory, High Point, Jacksonville, Kannapolis, Lenoir, Morganton, New Bern, Raleigh, Rocky Mount, Salisbury, Wilmington, and Winston-Salem.**

In addition, all counties are eligible to receive State CDBG funds except **Mecklenburg County, Wake County, Union, and Cumberland County**, which have been designated by HUD as urban entitlement counties. As entitlement counties, neither the counties nor their municipalities are eligible for Small Cities funding, except for the towns of **Holly Springs** and **Linden**.

ELIGIBLE APPLICANTS

Eligible applicants are local governments that (1) meet specific funding and threshold criteria, (2) meet a specific level of readiness to proceed, and (3) are acknowledged by REDD in writing as eligible to apply. Local governments that are eligible to apply must meet or exceed a set percentage of severe and moderate need and a set percentage of benefit for low and moderate-income households.

These minimum performance requirements measure an applicant's capacity to adequately implement and administer a CDBG program. REDD will review progress on CDBG programs currently underway in the locality and will consider all unresolved audit and monitoring findings on active CDBG grants in determining capacity.

Eligible local governments may submit applications to undertake eligible activities within their jurisdictions. The jurisdiction may be the corporate limits of the municipality, its extraterritorial jurisdiction (ETJ) or areas outside of the extraterritorial jurisdiction, depending on project activities. Each applicant is required to certify that it possesses legal authority to carry out the proposed activities. Unless contradictory evidence is submitted to REDD, the Division will accept the applicant's certification of legal authority.

AWARD AMOUNTS

The maximum grant amount is **\$750,000** per grantee with some restrictions for specific activities. There is no minimum grant amount. However, applicant should consider feasibility as it relates to the overall cost of any project.

GRANT PERIOD (Lifecycle)

The grant period for the **NC Neighborhood Revitalization Program** projects is 30 months.

MATCHING FUNDS REQUIREMENT

The **NC Neighborhood Program** does not have a matching fund requirement.

NC NEIGHBORHOOD ALLOWABLE PROJECTS

Activities must be based on need or needs substantiated by the local government applicant. Each activity must meet one of following two national objectives: low and moderate-income (LMI), or elimination of area-wide/spot slum and blight. Since the State must meet a 70% low and moderate-income requirement for its yearly allocation from HUD, most single activity projects will need to meet the LMI national objective.

Please note that proposed projects funded by the NC Neighborhood Program must consist of housing and housing related activities to be completed within the life cycle of the grant (30 months).

DESCRIPTION OF PROJECT CATEGORIES

Community Revitalization Activities Description

The primary purpose of **Community Revitalization** activities is to revitalize an area, through improvements, preservation or development in a residential neighborhood.

Eligible Community Revitalization activities includes:

1. **Infrastructure** and **public improvements** that support existing housing in the designated area (e.g., streets, sidewalks/pedestrian ways, curbs and gutters, parks, playgrounds, greenways, water and sewer lines, flood and drainage improvements, and trees).

Please Note: The community revitalization area must be defined by boundaries that are clearly defined and mapped in the **NC Neighborhood** application. At least **two needs in the area must be identified with housing as one need**. All housing activities must benefit 100% LMI persons or meet the slum or blight national objective.

Please note that slum or blight activities proposed in the NC Neighborhood grant application are only eligible if there is a redevelopment plan for that space to be completed within the life-cycle (30 months) of this grant (e.g., new and affordable housing development, community garden, community park, etc.) In addition, slum or blight activities with a plan for redevelopment must benefit LMI households.

Housing Rehabilitation Activities Description

- A. Rehabilitation** - The purpose of rehabilitation is to take an existing unit and bring it up to the required standards set by HUD and REDD. To qualify as rehabilitation, parts of the existing house must be used in the process.
- B. Clearance/Remediation** - Clearance, demolition, and removal of buildings and improvements, including movement of structures to other sites and remediation of known or suspected environmental contamination related to rehabilitation activities. (Please note that this activity must be directly tied to a housing activity to be completed within the 30 months grant period.) This activity is eligible if it is determined that the housing unit cannot be rehabilitated.
- C. Relocation** - Relocation payments and other assistance for temporarily relocated individual families related to rehabilitation activities. (Please note that this activity must be directly tied to a housing rehabilitation activity to be completed within the 30 months grant timeline.)
- D. Substantial rehabilitation** - Projects are defined as the ones that have rehabilitation costs above \$72,000 per unit or \$70 per square foot including Lead Based Paint treatment costs and any other additional eligible costs associated with substantial rehabilitation projects. **Grantees are required to submit such projects to REDD for prior approval.**
- E. Reconstruction.** Reconstruction is defined as the rebuilding of a structure on the same lot in substantially the same manner. Reconstruction will be used when a house because of high cost (lead base paint cost, high building material cost, etc.) makes rehabilitation not feasible and replacing it on the same site.
- F. Replacement housing** - Replacement Low/Moderate-Income units may be provided by any government agency or private developer but, only after it is determined that rehabilitation, substantial rehabilitation or reconstruction on the same lot is not feasible. Replacement units must be located within the Sub-recipient's jurisdiction, and to the extent feasible and consistent with other statutory priorities, the units shall be in the same neighborhoods as the units replaced. Replacement units must be comparable in size and number to those units demolished or converted so that at least the same number of individuals can be housed in the replacement units. Replacement units must not be smaller than those they replace (e.g., demolition of one 2-bedroom unit and construction of two 1-bedroom units). Replacement units must be in standard condition. Replacement units may include vacant units that have been raised to standard condition if a) no person was displaced from the unit because of an assisted project activity, and b) the unit was vacant for at least 3 months before execution of the agreement between the Sub-recipient and the Property Owner. Replacement units can be counted if, available 1 year prior to the demolition and ending 3 years after the demolition or conversion. Replacement units must be designed to remain as Low/Moderate-Income dwelling units for at least 10 years from the date of initial occupancy, and replacement units may include public housing or existing housing receiving Section 8 assistance under the Housing Act of 1937.
- G. Emergency repairs** - Emergency repair that provide for the repair of certain elements of a housing unit in emergency situations, such as repairs to a roof that is leaking, but the whole house is not rehabilitated.

Please see 24 CFR 570.201 for a complete list of eligible housing activities.

REQUIREMENTS IMPACTING ALL CATEGORIES WITH HOUSING ACTIVITIES

Eligible Properties for Rehabilitation

Owner occupied units that are designated as real property whether stick built, manufactured after 1978 or modular housing may be rehabilitated in the **NC Neighborhood Revitalization Program**. However, manufactured homes rehabilitated with CDBG funds must have been converted into real property (according to G.S. 105-273 paragraph 13) that is owned and occupied by the homeowner prior to selection.

Clearance and relocation are an option, if the local government determines and documents that rehabilitation of the property is not feasible.

Substantial rehabilitation - Projects that have rehabilitation costs above \$72,000 per unit or \$70 per square foot including Lead Based Paint treatment costs and any other additional funds. **Grantees are required to submit such projects to REDD for prior approval.**

Scattered-Site Housing Defined

***Please Note:** There are no project boundaries for any of the activities in the housing category. The applicant may choose to do scattered site housing or housing in a concentrated area or a combination. There is no limit on the number of houses or the number of activities for the project. The applicant will need to decide how many houses can be treated during the 30-month grant period. The applicant can also design their housing project to meet their own special needs. This project can be very well defined with boundaries, scattered or a combination of both contiguous and scattered boundaries. Housing projects in this category must benefit 100% LMI persons.*

Public Facilities Activities Defined

A public facility is defined as a place open to the general public that provides services that are traditionally provided by the government or owned and operated by a nonprofit.

Funds may be spent on shelters for victims of domestic violence or homeless/homeless families, transitional facilities/housing for the homeless/homeless families, senior and community/neighborhood/recreational center. Benefit must be limited clientele or 51% low and moderate-income. The applicant must be able to complete the facility prior to the end of the 30 months grant period.

In certain cases, nonprofit entities and sub-recipients including those specified in § 570.204 may acquire title to public facilities. When such facilities are owned by nonprofit entities or sub-recipients, they shall be operated to be open for use by the general public during all normal hours of operation. Public facilities and improvements eligible for assistance under this paragraph are subject to the policies in § 570.200(b).

Eligible Activities for Public Facilities:

- A. **Acquisition, construction, reconstruction, rehabilitation or installation of public facilities and improvements**, per guidance provided in § 24 CFR, Part 570.207(a), carried out by the recipient or other public or private nonprofit entities.

- B. **Removal of material and architectural barriers** that restrict the mobility and accessibility of elderly or severely disabled persons to public facilities and improvements, including those provided for in § 570.207(a)(1).)
- C. Inclusion of **design features and improvements** which promote energy efficiency may be included.
- D. Inclusion of the **execution of architectural design features**, and similar **treatments** intended to enhance the aesthetic quality of facilities and improvements receiving CDBG assistance, such as **decorative pavements, railings, sculptures, pools of water and fountains**, and other works of art.
- E. Facilities designed for use in **providing shelter for persons having special needs** are considered public facilities and not subject to the prohibition of new housing construction described in § 570.207(b)(3). Such facilities include **shelters for the homeless; convalescent homes; hospitals, nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally challenged/disabled persons and temporary housing for disaster victims.**
- F. **Improvements** such as **parks, playgrounds, and greenways.**

Benefit Requirements for Public Facilities

Project must benefit 51% of LMI households or Limited clientele that are presumed by HUD to be principally LMI income persons such as elderly, youth, domestic violence victims, severely disabled adults, persons living with HIV/AIDS, homeless persons, illiterate adults, and migrant farm workers.

Housing Development

The **NC Neighborhood** grant program funds can only provide infrastructure support to Housing Development projects focused on the creation of single-family homeownership and multi-unit rental developments for low and moderate-income families. **Please Note:** *Evidence of the funding for the construction of the housing must be documented in the application and will be considered as part of the leverage component.*

Single-Family Homeownership Developments

The maximum grant for infrastructure support to single-family, homeownership development is **\$750,000.00** maximum grant not to exceed **\$50,000 per unit**. Activities eligible for funding under the single-family projects are limited to:

- A. **Installation of public infrastructure** that supports housing development category may include water and sewer lines, parks, playgrounds, streets, curb and gutters, flood and drainage, and sidewalks/pedestrian improvements. Applicants are not limited to just one activity but should keep in mind the time frames for the grant to ensure that the project can be completed in the 30-month grant period. These projects must be in a project area with boundaries and must be residential. All infrastructure funded with CDBG funds must be owned and maintained by the unit of local government with benefit as follows:
 - ☐ On-site: 51% of the units must benefit low and moderate-income (LMI) people;
 - ☐ Off-site: 51% of the units must benefit low and moderate-income (LMI) people and
 - ☐ Census tract must be 51% LMI.

- B. **Removal of hazardous material**
- C. **Land acquisition (vacant only)** must benefit 100% LMI persons and be done in partnership with eligible Community-based Development Organizations (CBDO) as described in 24 CFR 570.204. REDD will determine if an organization is an eligible CBDO, and applicants should contact REDD for this determination and further information.
- D. **Historic vacant building acquisition (on a case-by-case basis) by for profit or non-profit developer**
- E. **Historic vacant building rehabilitation (on a case-by-case basis)**
- F. **Rent- to-own (RTO).**

Multi-Family Rental Housing Developments

The maximum grant for infrastructure support to multi-family projects is **\$750,000.00** not to exceed **\$25,000.00** per unit. The maximum grant for the rehabilitation of properties for multi-family housing with 5 or more units is **\$750,000** not to exceed **\$25,000** per unit. Multi-family projects can be used with the North Carolina Housing Tax Credit Program. Activities eligible for funding under the multi-family rental housing project are the same as for single-family except for rent-to-own.

The following activities are allowed under this category:

- A. Rehabilitation (including substantial rehabilitation and reconstruction),
- B. Disposition,
- C. Acquisition,
- D. Demolition,
- E. Clearance,
- F. Historic vacant building acquisition (on a case-by-case basis) by for profit or non-profit developer
- G. Historic vacant building rehabilitation (on a case-by-case basis)
- H. Rent- to-own (RTO).
- I. Relocation, and
- J. Emergency repair.

Eligible Developers for Housing Development Projects

1. Non-Profit Developers

A non-profit must have already been designated a 501(c)(3) organization by the IRS for federal tax purposes and have the characteristics of an eligible community-based development organization (CBDO) in order to participate in the Small Cities CDBG Program as a sub-recipient. An eligible organization must have the following characteristics:

- ✓ Be a non-profit association or corporation organized under State or local law to engage in community development activities within an identified geographic area of operation including the jurisdiction of the recipient in addition to having the 501(c)(3).
- ✓ Be a non-profit organization with federal tax status as a 501(c) (3) organization.
- ✓ Have as its primary purpose the improvement of the physical, economic or social environment of its geographic area with particular attention to the needs of persons of low and moderate income.

- ✓ Maintain at least 51% of its governing body's membership for low and moderate-income residents of its geographic area of operation or representatives of low and moderate-income organizations located in its geographic area of operation.
- ✓ Not be an agency or instrumentality of the recipient and does not permit more than one-third of the membership of its governing body to be appointed by, or to consist of, elected or other public officials or employees or officials of an ineligible entity.
- ✓ Require members of its governing body to be nominated and approved by the general membership of the organization, or by its permanent governing body.
- ✓ Be an active and substantive partner of the project development team.
- ✓ Not be subject to requirements under which its assets revert to the recipient upon dissolution.
- ✓ Be free to contract for goods/vendors of own choosing.
- ✓ Also note that a Community Housing Development Organization (CHDO); an entity organized under the Small Business Investment Act (non-profit only); and a Small Business Administration approved Section 501 State Development Company or Section 502 Local Development Company or Section 503 Company (all non-profit only) will also qualify as a CBDO.

2. For-Profit Developers

- Developer is limited to 15% profit; and
- If a loan is made to the developer, the local government must have a plan for reuse of CDBG funds (program income) subject to REDD approval. Program income over \$25,000 in a year must be returned to REDD.

3. All Developers

If the project is funded, as part of the agreement, the local government is required to execute a **Legally Binding Commitment (LBC)** contract with the developer. The LBC outlines the duties of each (local government and developer). This document at a minimum should include the following:

- ✓ Reference to the release of CDBG conditions
- ✓ Roles and responsibilities of each party
- ✓ Use of funds (both grant and loan)
- ✓ Project requirements for Housing Development grants
- ✓ Insurance and bonding
- ✓ Enforcement of the agreement
- ✓ CDBG program requirements (State and Federal)

It is recommended that legal counsel should be used to prepare this document. The purpose of the LBC is to make sure all parties are clear on the responsibilities in undertaking this HD project. Ultimate responsibility for meeting all state and federal regulations, however, rests with the local government.

Water and Sewer Connections to Existing Housing

The water and sewer connection category is viewed as rehabilitation and includes the activities allowed under the REDD former Infrastructure Hook-Up Program. Local governments may use funds to connect or “hook-up” low-and-moderate (LMI) households to non-CDBG funded existing public water and/or sewer line(s). CDBG funds may only be used to connect LMI owner-occupied and LMI tenant-occupied dwellings provided the landlord is also LMI. Low-and-moderate income households are defined as households at 80% or less of the median family income for the county or Metropolitan Statistical Area (MSA) in which the residence is located.

CDBG funds may also be used to connect manufactured homes that LMI owner-occupied, but the lot is rented. However, the owner of the rented lot must also be LMI. Also, if an LMI unit is located on a corner lot with a line on either of the unit’s sides and/or its front, that unit may be connected if the unit is eligible per the CDBG guidelines.

Basic Criteria for Water and Sewer Connections

- A. The line is completely installed in the ground and in use by households along the line prior to the submission of the **NC Neighborhood** application.
- B. Installation of the line was not funded in whole or in part by CDBG funds.
- C. Funds can be used only to connect LMI household to the public line.
- D. Residences to be connected must already have indoor plumbing in working order.
- E. Eligible household must be identified in the application.

Eligible Activities for Water and Sewer Connections

- A. Tap-on or assessment fee to connect to the line
- B. The service connection for the private property
- C. Use of special equipment such as grinder pumps or vacuum pits to transport residential wastewater to the existing sewer lines
- D. Cost to remove septic tanks or cap wells, as required by the health department
- E. Repairs for leaking water pipes if it is documented that the leaking pipes are a result of connecting to the public water line
- F. Other problems caused by the installation of public water or sewer must be requested in writing by the grantee and approved in writing by REDD

Benefit Requirements for Water and Sewer Connections

- ✓ Project must benefit 100% of LMI households.
- ✓ Applicant must identify the number of households to be connected, not persons in the application.
- ✓ An **Income and Need Survey** for each household must be submitted with the application.

Housing Distribution Plan

The Housing Distribution Plan is a major component of this application for housing rehabilitation activities. The plan must detail how the lead local government and the interested municipalities will distribute the **NC Neighborhood Program** housing funds. All questions in the application about the plan must be answered. The responses constitute the plan that will govern the **NC Neighborhood Program** for the grantee's housing rehabilitation program.

Housing Selection Committee Responsibilities

Housing Selection Committee is responsible for developing and implementing a process for how the houses selected for this grant was determined. The Housing Selection Committee must hold meetings and maintain meeting minutes as part of the selection process. The above should be incorporated as part of the Housing Selection Committee By-Laws maintained by the local government.

Additionally, any changes to the beneficiaries approved by the Housing Selection Committee and submitted as part of this application will require a formal decision documenting the change to beneficiaries in the Housing Selection Committee's minutes. Applicants are encouraged to review the Housing Selection Committee Guidance included with this guidance below.

Housing Selection Committee Guidance

This guidance is designed to outline the expectations and requirements for Community Development Block Grant (CDBG) programs that require a Housing Selection Committee. Generally, the committee requirement applies to the Neighborhood Revitalization (NR) program; however, occasionally the Rural Economic Development Division (REDD)/CDBG Program receives special allocations of CDBG funds, administers non-CDBG funding sources, and also develops new CDBG initiatives. This guidance is intended for all CDBG administered programs that contain housing components. For additional clarity, please refer to the program guidelines and applications or contact CDBG's Program and Compliance staff.

Organization of the Housing Selection Committee

CDBG does not specify how the local unit of government organizes the Housing Selection Committee. However, CDBG does hold the local government, as the grantee, responsible for ensuring the committee is formed and administered appropriately.

With each grant application, CDBG requires the local unit of government to submit and keep on file the following:

- a list of the names and titles of each member of the Housing Selection Committee;
- a description of the responsibilities of the committee;
- a copy of the by-laws for the Housing Selection Committee; and
- a copy of the written minutes of the meeting(s) selecting the beneficiaries.

Format of Minute Contents

All Housing Selection Committee minutes must include the following:

- a title identifying the document as minutes or a meeting summary;
- a list of all meeting attendees;
- identification of committee members present and absent;
- the location, date and time of the meeting;

- a clear description of decisions made at each meeting;
- documentation of individuals recommending decisions by name; and
- a list of handouts or presentations made at the meeting.

Housing Selection Committee meeting minutes must be adopted and maintained as part of the beneficiary selection process. This should be incorporated as part of the Housing Selection Committee By-Laws maintained by the local government. Additionally, any changes to the Committee's approved beneficiaries and submitted as part of this application, require a formal decision to be reflected in the Housing Selection Committee's minutes.

Requirements for the Beneficiary Selection Process

Local units of governments must prepare and keep on file a description of the beneficiary selection process. The description should include a:

- description of the application for assistance process;
- list of the potential and selected beneficiary and alternate names and addresses;
- process description and documentation for the verification of income, assets, and property ownership; and
- description of the method used to identify and select eligible beneficiaries.

Timing of the Beneficiary Selection

All data submitted with the application must be no older than 12 months from the date of the Chief Elected Official's signature on the Application Summary Form of each application. For example, if the CEO signs the Application Summary Form on December 31, 2018, the information must have been collected no earlier than December 31, 2017. This includes the minutes from the program Selection Committee and the approved beneficiary and alternate lists. If applicable, all income and need surveys must be completed prior to the selection of the beneficiaries.

Verification of Household Income

Part of the income and household verification process is the use of the CDBG Income and Need Survey form. Please refer to the form's instructions (Page 39 of this guidance). As a reminder, the signature of the local unit of government's Chief Elected Official on the Application Summary certifies that all the data on this form and all other application contents are true and correct. Applicants are required to verify household income prior to obligation, as per applicable program category requirements. The documentation of this income will be reviewed and requested during program monitoring. Where program category guidelines do not require income verification prior to application submission, the local government is still responsible for ensuring and documenting that potential beneficiaries are income-eligible. In this situation, local government files will be monitored to ensure income eligibility was determined using generally accepted industry practices prior to expenditure of CDBG funds.

Affordable Rents

Per 24 CFR Part 570.483 (B) (3), rental housing activities, occupancy by low- and moderate-income households must be at affordable rents to qualify for CDBG funding. The recipient shall adopt and make public its standards for determining "affordable rents". Please note that to be in compliance with this standard, the determination must be done prior to receipt of CDBG funds. If you are considering activities involving rental housing, please contact the NC Department of Commerce, Rural Economic Development, CDBG and Compliance staff for additional guidance.

Effective Date

This guidance applies to all CDBG administered programs initiated beginning with fiscal year 2011.

CDBG Financial Assistance

CDBG financial assistance must be in the form of a loan and not a grant.

CDBG loans may be deferred, deferred forgivable, or amortized with low interest. A deferred loan is repaid when the house is sold, or the recipient no longer occupies the home such as going into a nursing home or death during the recapture period. A deferred forgivable loan is proportionally forgiven over an applicable term of recapture. An amortized loan is repaid monthly during the term of the loan.

Housing Financial Design Model

Applicants with projects that use CDBG funds for housing rehabilitation must adopt and follow a written policy that includes a Housing Financial Design Model. The Housing Financial Design Model must be submitted for review by the Rural Economic Development Division and available for monitoring. Owner-occupied units are the only housing types that may be rehabilitated or relocated in the program.

By signing the “State CDBG Program Regulations”, the applicant’s authorized official agrees that the applicant will adopt a Housing Financial Design Model that meets the following minimum requirements:

- Low -income property owners that also occupy the house to be rehabilitated are not required but, **may** contribute to the cost of rehabilitation for the life of the grant.
- Grantees must review existing loan(s) on the property to determine whether the CDBG loan in conjunction with the existing loan(s) will create a situation that causes the loans to equal or exceed the value of the unit. In instances when this scenario occurs, the grantee must inform the loan recipient of the circumstances in writing.
- Programs, which propose amortized loans, should describe terms and interest rates for the loans. Terms should be selected that enable low and moderate-income owners to afford the monthly payments. Programs proposing deferred forgivable loans that become payable at the time the property is sold or the recipient owner no longer occupies the home must ensure that the loan recipient **clearly understands** the terms of this type of loan.
- As the level of CDBG assistance increases, the recapture period must lengthen according to the following table:

| <u>CDBG Assistance</u> | <u>Recapture Period</u> |
|------------------------|-------------------------|
| Less than \$12,000 | 5 years |
| \$12,001-16,000 | 6 years |
| \$16,001-\$20,000 | 7 years |
| \$20,001 or more | 8 years |

- After the rehabilitation project is completed, if other non-CDBG financial assistance for rehabilitation is obtained prior to the expiration of the CDBG recapture period or CDBG repayment period, the CDBG loan may be subordinated to the new rehabilitation loan.
- CDBG loans, regardless of the type of loan, may not be subordinated to **any other type of loan** other than a first mortgage that existed prior to the rehabilitation. All CDBG loans must be secured with a Note and Deed of Trust. The Deed of Trust must be filed with the Register of Deeds prior to signing a contract for rehabilitation.

A **Notice of the Right to Cancel** and a **Truth-in-Lending Statement** must accompany every Deed of Trust and be provided to each owner at closing.

CDBG Applicable Notices and Bulletins

Clarification of Program Activity Terms (Bulletin 10-2)

On July 19, 2010, REDD issued **Bulletin 10-2** to all CDBG Recipients. The purpose of the bulletin was to clarify the following program activity terms:

Reconstruction: Reconstruction is defined as the rebuilding of a structure on the **same lot** in substantially the same manner. Reconstruction will be used when a house because of high cost (lead base paint cost, high building material cost, etc.) makes rehabilitation not feasible and replacing it on the same site.

Rehabilitation: The purpose of rehabilitation is to take an existing unit and bring it up to the required standards set by HUD and REDD. To qualify as rehabilitation, parts of the existing house must be used in the process.

Relocation: Relocation is defined as a person(s) being displaced from their present lot and relocated to a **different lot**. Local governments should adopt and submit their Optional Coverage Relocation Plan to REDD that explains how the local government plans to handle the relocation activity.

Temporary Relocation: Temporary relocation can be given to person(s) who has/have voluntarily been displaced on a temporary basis while their unit is being treated on the same site. The activities associated with this occurrence are reconstruction or rehabilitation. The local unit of government must follow their adopted Optional Coverage Relocation Plan as to how the local government plans to carry out temporary relocation.

Clearance: Clearance is an activity that can be used in conjunction with both reconstruction and relocation.

Substantial Rehabilitation (Revised April 2020): Substantial rehabilitation is defined as rehabilitation that is estimated and determined to exceed the following cost estimates based on the following two standards: Total CDBG rehabilitation costs for the unit (1) exceed \$72,000 or (2) \$70.00 per square foot of heated, occupiable space. When these guidelines are exceeded, REDD approval must be obtained before proceeding. Once approved a new request is not needed if change orders do not exceed 10% of the cost.

Note and Deed of Trust Requirements (Bulletin 10-9)

Per **Bulletin 10-9**, all CDBG housing rehabilitation, reconstruction, and relocation loans must be secured with a Note and Deed of Trust along with the completion of a professional title search prior to any work commencing on the unit. The Note and Deed of Trust must be signed by the owner(s) *prior to or at same time as the rehabilitation contract is signed* by the homeowner, contractor, and grantee. Rehabilitation of the unit may begin on or after the date the Note and Deed of Trust is signed by the homeowner, contractor and grantee. The Deed must have recapture provisions on rehabilitation activities. Urgent and emergency repair units are not required to have a Note and Deed of Trust unless the repair costs paid for with CDBG funds exceeds \$5,000.

Additionally, the grantee is responsible for ensuring that the Note and Deed of Trust is filed within five (5) business days of the date the Note and Deed of Trust is signed by the homeowner(s), contractor and grantee, and recorded with the Register of Deeds within sixty (60) calendar days of the filing date. In the

event the Note and Deed of Trust is not recorded with the Register of Deeds within sixty (60) calendar days of the date the Note and Deed of Trust is filed; the grant funds will be frozen without further notice and the expended and encumbered funds for that specific dwelling may be considered a disallowed cost.

- ❑ Inclusion of design features and improvements which promote energy efficiency may be included.
- ❑ Inclusion of the execution of architectural design features, and similar treatments intended to enhance the aesthetic quality of facilities and improvements receiving CDBG assistance, such as decorative pavements, railings, sculptures, pools of water and fountains, and other works of art.
- ❑ Facilities designed for use in providing shelter for persons having special needs are considered public facilities and are not subject to the prohibition of new housing construction described in § 570.207(b)(3). Such facilities include shelters for the homeless; convalescent homes; hospitals, nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally disabled persons and temporary housing for disaster victims.
- ❑ Improvements such as parks, playgrounds, and greenways.

LEAD-BASED PAINT REQUIREMENTS

Lead-Based Paint Regulations are found at 24 CFR Part 35 and N.C. General Statute §130A-453.01-453.11 – Lead-Based Paint Hazard Management Program. All CDBG grantees awarded funds to rehabilitate any houses constructed prior to 1978 are required to follow the regulations. Lead-based paint required activities depends on the lower per unit cost of either (1) the amount of rehabilitation “hard costs” per unit or (2) the amount of federal assistance per unit when there are other federal funds in the unit. “Hard costs” do not include such costs as administrative costs, relocation costs, environmental reviews, acquisition of the property, or the costs of lead hazard evaluation and reduction.

REDD Lead Based-Paint Requirements

- ✓ All units must have a risk assessment and paint inspection by a certified risk assessor;
- ✓ All units must be cleared by a certified inspector or risk assessor who must be a third-party entity;
- ✓ Local governments must use contractors trained in Safe Work Practices;
- ✓ Local governments that undertake temporary relocation must develop, adopt, and follow an Optional Temporary Relocation Policy.
- ✓ It is our policy that when lead-based paint is identified in a unit being rehabilitated, the lead-based paint be abated whenever possible. Cost for abatement may be charged to the rehabilitation unit.
- ✓ Homeowners and occupants, when relocated, must be moved to a lead safe environment.

PRE-AWARD AND ADMINISTRATION COSTS

Pre-award, planning, and administration is limited to 10% of the awarded grant total. REDD will allow reimbursement of pre-award costs incurred prior to the effective date of the grant award that are essential to negotiations in anticipation of receiving the grant award. Of the 10% administration of the awarded grant amount, up to \$3,500 can be used for planning. The pre-award costs are also subject to following proper procurement regulations at 24 CFR 85.36. For eligible pre-award and administration costs, see OMB Circular 2 CFR 200.458.

LOCAL GOVERNMENT ROLES AND RESPONSIBILITIES

The local government's roles and responsibilities are outlined in 24 CFR Part 570.501. As the applicant, the local government is responsible to ensure the following:

- ✓ **Management and Oversight:** The elected officials are legally, financially, contractually, and programmatically responsible for the CDBG project. The local government is responsible to the State of North Carolina and the Federal government even if they have a contract administrator or sub-recipient relationship.
- ✓ **Financial Management:** The local government must ensure proper accounting of funds to avoid disallowed costs. This includes accurate identification of project costs and cash balances and proper internal controls.
- ✓ **Statement of Assurances and Certifications:** The local government elected officials and administrators should read and understand these documents and the implementation obligations.
- ✓ **Grant Agreement (24 CFR Part 570.501 and .502):** If awarded, the local government will receive a grant agreement and funding approval from the State. These documents are contractually binding and cannot be changed without State approval.

USE OF AN EXPERIENCED CDBG ADMINISTRATOR

The local government applicant must have the capacity to administer the proposed project with either its own CDBG-experienced staff or the assistance of an experienced CDBG administrator (e.g., CDBG-experienced consultant, Council of Government, non-profit). "Experienced" to administer proposed project for this application is defined as, someone who has administered more than one CDBG project. All applicants must have also met the basic performance requirements for prior CDBG grants.

PROGRAM AMENDMENTS, BUDGET AMENDMENTS AND BUDGET REVISIONS

In an Advisory Notice called "Application Amendment" dated January 25, 2010 and posted on the North Carolina Commerce website, State CDBG outlined the application amendment process. Additionally, in September 2010, REDD released **Bulletin 10-3** which replaces Bulletin 96-2 which defines what constitutes a change from the approved application and requires prior approval by REDD. The Bulletin also outlines the procedural requirements for submitting an amendment. When making any change to the approved application, grantees should contact the REDD Grants Management Representative (GMR) assigned to the grant to discuss the proposed changes. The GMR will assist the grantee with the program amendment, budget amendment, and/or budget revision process.

When changing activities or scope of the project, the environmental review record must be updated per 24 CFR 58. After revisions, the environmental review must be submitted to the REDD Compliance Specialist.

EVALUATION CRITERIA

The **NC Neighborhood Program** is competitive but, can convert to non-competitive if, funding exceeds the number of applications received. The project must pass the threshold review to be considered for the competitive review. See threshold criteria section of the guidelines for details. Applicants will be rated according to the following criteria:

1. Activity is taking place in an eligible area
2. Program Purpose, Project Design, and Performance Measure & Evaluation
3. Project Feasibility, Sustainability, and Readiness
4. Project Need, Market Demand, and Benefit (**Note:** Special consideration will be given to COVID-19 projects.)
5. Financial Design, Budget, Leverage, and Cost Effectiveness
6. Capacity, Experience, and Organizational Structure

Program Purpose, Project Design, and Performance Measure & Evaluation

This area of rating focuses on the overall project design. The reviewer(s) will examine how the proposed project addresses the program intent, incorporates the designated livability principle, uses partnerships, and establishes performance measures for current and future assessments. This area will also review the local commitment and history to assess the local government's prior commitment to community development, particularly in the target neighborhood. The needs identified in these neighborhoods are not new and have festered over many years. **NC Neighborhood Program** funds cannot be considered a cure-all or the beginnings of the revitalization process. Discussions about the target neighborhoods identified needs and the solutions to the needs should have occurred long before communities were made aware that CDBG funds may be available.

Performance Measure and Evaluation: The applicant must identify how they will measure the **NC Neighborhood Program** project performance. In this section, REDD wants to know what communities are going to be evaluated. Provide a list of the measurable outcomes that are expected as a result of the project activities completed. The goals must be specific, measurable, action-oriented, attainable, realistic, focused and time-bound. Be specific by using a quantifiable number. The Accomplishments and Beneficiaries form per activity will also be reviewed for this area of rating.

Examples of evaluation parameters for applicant and activity listed below:

Project Feasibility, Sustainability, and Readiness

This area of rating focuses on the project feasibility, sustainability, and readiness to proceed. Included in the review are the financial design, evidence of non-CDBG funds, project timing to carry out the proposed activities, quality of the units, site suitability for the proposed activity, surrounding and on-site amenities for the target beneficiaries, and level of site readiness and control.

Applicants must be able to document the long-term viability of any public facility and the ability to link services if the type of facility requires specific services for their clientele. Applicants must provide documentation to support housing activities related to sales or leasing activity.

The most competitive projects will establish partnerships with local government, community groups, non-profits, and other agencies for funding and administration that goes beyond CDBG funding. Local funds, no matter how small, give an indication of the local government's commitment to the project. Concerted efforts to elicit funds to leverage funding with other sources other than CDBG will be looked

upon favorably, since one of the ultimate goals of this project is for communities to search for as many avenues of funding necessary to maximize revitalization opportunities of the target neighborhood(S).

Examples of evaluation parameters for applicant and activity listed below:

- ☐ Can the project be implemented and completed within a reasonable amount of time?
- ☐ Has the applicant identified all the major tasks or components that will be required in carrying out the activity? Are there any potential issues or concerns?
- ☐ Has the applicant provided a reasonable estimate of the resources necessary for each component of the project, and has it developed a realistic budget that reflects these resources? Are other sources of funds (leveraging) committed to this project?
- ☐ Is the proposed budget for the CDBG-funded activity separate from other activities undertaken by the applicant?

Project Need, Market Demand, and Benefit

This area of rating will assess the project need, the documented demand, the proposed treatment to meet the need, and the benefit to the identified target group. All project activities must meet a national objective to be eligible for CDBG funds. There are three national objectives in the CDBG program. The two national objectives most applicable to the **NC Neighborhood Program** are (1) benefit to low and moderate income (LMI) persons and (2) the elimination of slum or blighting conditions. Benefit to LMI persons may be either direct (actual people served) or area wide. The elimination of slum and blighting conditions may be undertaken on an area or spot basis.

Examples of evaluation parameters for applicant and activity listed below:

1. Does the activity address an established need?
2. Is the proposed activity eligible (24 CFR 570.201) under the CDBG program?
3. Does the proposed activity meet one of the three broad National Objectives?
 - ✓ Principally benefit low and moderate-income persons;
 - ✓ Prevents or eliminates slum and blight; or
 - ✓ Addresses an urgent need or problem in the community.
4. Has the applicant provided enough explanation concerning their ability to adequately and accurately document the benefit to low and moderate-income persons?

Please note that slum or blight activities proposed in the NC Neighborhood grant application are only eligible if there is a redevelopment plan for that space to be completed within the life-cycle (30 months) of this grant (e.g., new and affordable housing development, community garden, community park, etc.) In addition, slum or blight activities with a plan for redevelopment must benefit LMI households.

Capacity, Experience, and Organization Structure

Capacity: The applicant must describe in the application the community's capacity and organizational structure that will be responsible for the grant's administration and the development and operation of the **NC Neighborhood Program** project. For example, describe who will coordinate the various components. Describe who will be responsible for the oversight and assurance that all financing is firmly committed, and matching funds spent, that contracts are properly secured, that benefit is measured, etc.

In addition, the applicant must describe the following:

1. Who will be responsible for administering the grant,
2. Describe who will be responsible for the oversight and assurance that environmental reviews are conducted accurately and according to the ***U.S. Department of HUD's Office of Environment and Energy Laws, Regulations, and Executive Orders for HUD Environmental Compliance***, financial systems set-up, reports filed with the local board and REDD, etc.
3. Submit an organizational chart that outlines the team members responsible for the implementation of the project.
4. Create a bullet list of the team members/providers and what activities/duties for which they are responsible.
5. Also, describe the capacity and experience of each project team member for their component of the project.
6. Attach resumes of project team members in an appendix or indicate that you have already done so in the pre-application.
7. Include information on the type(s) of organizations involved, document if these are non-profit, private, government, cooperative, or partnership. (Please note that for CDBG funded new construction of housing, an eligible non-profit organization must be involved.)

The applicant may designate a different coordinator of each of the components of the project or may designate the same person to coordinate all components. It is of utmost importance to have a coordinator and administrator in leadership and management, a successful project needs an experienced competent team. Team members could include local government staff, Housing Authorities, day care providers, public service providers, Community Development Corporations (CDCs), and other non-profit agencies.

Examples of evaluation parameters for applicant and activity listed below:

1. Does the applicant have historical experience undertaken the proposed activity? What were the results?
2. Does the applicant have experience with CDBG or other Federal programs? Has the applicant had a Single Audit (OMB A-133) completed within the last two years?
3. Do the applicant and prospective staff understand the additional requirements associated with Federal funding?
4. Does the applicant have qualified staff in place for all components and necessary functions associated with the proposed activity? Is there adequate staff time available?
5. Does the applicant possess adequate administrative structures, management systems, and policies & procedures?
6. Does the applicant possess adequate financial stability? Will the applicant be primarily dependent upon CDBG funding?

PUBLIC HEARINGS

To meet the minimum requirements for citizen participation during the application phase, the applicant must hold **two public hearings** to obtain citizens' comments prior to its submission to REDD. Two public hearings are required to be held by the unit of local government during the application process and prior to the submission of the application. Both hearings must be advertised in a newspaper having general circulation in the area. The timing of the hearing notices must follow CDBG regulatory requirements, including publication not less than 10 days or more than 25 days before the date of the hearing.

The first public hearing should be held at the beginning of the application process. The notice should provide enough information about the project(s) to allow citizens to be able to provide input. The first

public hearing is required at least once every twelve months (or prior to submission of an application) to discuss and receive feedback on housing, community, and economic development needs.

The second notice of public hearing to obtain citizens' views must also contain a description of the proposed activities to be carried out, including the total cost of the activities. The public hearing must be conducted by the governing board of the applicant. **The second public hearing should be held after the application is drafted but prior to its submission to REDD.**

A publisher's affidavit of the notices and minutes of the hearings signed by the local government clerk must be submitted to REDD as a part of the application and/or Funding Approval, if awarded.

COMPLIANCE REQUIREMENTS

The local government is responsible for conformity with all Federal and State regulations governing the CDBG program. **NC Neighborhood Revitalization Program** applicants must comply with federal regulations and certify that, if funded, they will comply with all applicable laws and requirements in the **NC Neighborhood Revitalization Program** grant. Please refer to the Federal Certifications and State CDBG Regulations in the application for specific details. If you have questions about the documentation needed, please contact the NC Neighborhood Program Grants Management Representative (GMR) for assistance.

Per the Housing and Community Development Act of 1974, as amended, the CDBG program has certain federal and state requirements that must be met. Local government project administrators should be familiar with the Act, along with rules published in the Federal Register of November 9, 1992 under 24 CFR Part 570. NC Administrative Code requirements of 4 NCAC Subchapter 19L (NC Community Development Block Grant Program) must also be met.

It is important that applicants understand the commitment they will be undertaking with a CDBG grant. This description of requirements and responsibilities of grantees should be read carefully. Please contact REDD Staff with any questions regarding federal program regulations. The following list is intended to provide local government and business CDBG program participants with a brief list of basic federal and state administrative requirements for compliance areas that must be addressed.

1. Conflict of Interest

Per 24 CFR Part 570.489 (h), the following people or their immediate family members shall not have any direct or indirect financial interest in any contract, subcontract or the proceeds thereof for work to be performed in connection with the grant during their tenure or for one year thereafter: 1) employees or agents of the recipient who exercise any function or responsibility for the CDBG project, and 2) officials of the recipient including members of the governing body. The applicant will be asked to determine if a potential conflict exists. Questions regarding this item are in the program application. Please note that sub-recipients must comply with these regulations as well. Consult with REDD Staff regarding conflict of interest questions or North Carolina Community Development Block Grant Program Regulations (4NCAC 19L.Section.0914).

2. Citizen Participation

Applicants must certify in the application that they are following a written citizen participation plan that provides for access to information and participation in all stages of the project. This includes proper advertising of public hearings in the **non-legal** section of a newspaper with general circulation in the area, and timely access to meetings, information, and records related to the project. In addition to a

minimum of two public hearings before submitting a final application, a third hearing is required prior to the formal close out of a grant after completion of all project activities.

Applicants must certify in their application that they are following a detailed citizen participation plan which provides for and encourages citizen participation at all stages of the project, from initial design and application through implementation and closeout.

This plan must provide for reasonable and timely access to meetings, information, and records; provide technical assistance to groups representative of low and moderate-income persons that request assistance; provide for public hearings at all stages of the community development program; provide timely written answers to written complaints; and provide for the needs of non-English speaking persons.

To meet the minimum requirements for citizen participation during the application phase, applicant must hold a public hearing to obtain citizens' comments at the beginning of the application process, and another hearing after the application is drafted but, prior to its submission to REDD. Public hearing notices must be published at least once in the non-legal section of a newspaper having general circulation in the area. **The notice must be published at least 10 days but, no more than 25 days before the date of the hearing.**

The notice of public hearing to obtain citizens' views after the application has been prepared, but prior to its submission to REDD, must also contain a description of the proposed project(s), including proposed project location, activities to be carried out, and total costs of activities. The governing board of the applicant must conduct the public hearings.

Please Note: Local governments must also provide citizens, especially residents of proposed project areas or ones whose homes will be included, an adequate opportunity to participate in the planning and development of CDBG applications beyond the public hearing requirements described above.

Examples of actions applicants may take to ensure adequate citizen participation in the application stage includes, meeting with community groups and leaders prior to public hearings, holding informational meetings for those citizens whose homes will be affected by the project and distributing notices of meetings and public hearings directly to them. Applicants may also choose to distribute public hearing notices to local community action agencies, legal services offices and other public and private organizations.

Please note that the applicant certifies in the application Certification Form that it is following the requirements described in the first paragraph of this section for ensuring citizen participation, and that it will adopt a detailed written Citizen Participation Plan that includes these requirements if, the project receives the grant award. Applicants should refer to 4 NCAC 19L Section .1002(c) and (d) for information regarding the development and implementation of this plan.

If awarded, the grantee must have documentation on file of compliance with citizen participation requirements in the application process, 4 NCAC 19L.1002(b): publisher's affidavits of notices for and minutes signed by the town or county clerk of the two required public hearings.

3. Program Income

Program income resulting from the CDBG project may be retained at the local level. For example, program income will result from loan repayments or the sale of assets purchased with CDBG funds.

Prior to expenditure of program income, the applicant must have a plan for reuse of program income approved by REDD.

4. Administration of Project

If awarded, the grantee must meet minimal levels of supervision in implementing the project as follows:

- (a) Administrators of the project will give written status reports to the elected board at a minimum quarterly.
- (b) At least two persons from the local government will review invoices and requests for payment to ensure accuracy and to ensure costs are allowable.
- (c) The local government manager reviews and signs off on all project reports.
- (d) All project files will be maintained at the local government offices and made available to citizens during regular business hours.

5. Audits/Compliance

CDBG grantees expending \$25,000 or more in a fiscal year are **required** to have funds audited for the CDBG program. CDBG funds can be used to pay for the CDBG portion of the audit provided the grantee has expended \$500,000 or more in the fiscal year in total federal awards (CDBG and other federal funds). If the grantee has expended less than \$500,000 in total federal awards, the grantee may budget local funds in the administrative line item in the CDBG application to pay for the CDBG portion of the audit and claim the local administrative funds as local commitment.

6. Costs Associated with Preparation of the CDBG Application

Applicants that receive REDD funding approval for project(s) may charge the cost of application preparation to a current program if, procurement procedures consistent with 24 CFR 85.36 are followed. No more than \$3,500 may be charged to the CDBG program for the preparation of the application.

7. Procurement

The grantee must have a written Procurement Policy that meets the requirements specified in **2 CFR, Part 200.317-200.326 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards** at https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl. The procurement procedures must reflect applicable State and local laws, should promote free and open competition, and describe efforts to encourage minority and female owned businesses to submit bids/proposals. Grantees must contract for the procurement of goods, services, and construction projects including design services. CDBG grantees must enter procurement solicitation for any contract over \$25,000 in the Statewide Interactive Purchasing System (IPS) as well as provide the information to the REDD Compliance Office. All notices must be posted in IPS at least three days before the procurement process begins. Only the local government must set-up in IPS to post solicitation documents electronically. The process takes 15 minutes. The local government should contact N C Department of Administration at (919) 807-2425 or www.ips.state.nc.us for information. The use of IPS will be added to the program compliance monitoring process. Grantees must also ensure compliance with 24 CFR 85.36 Procurement Process in addition to the IPS requirement.

8. Equal Opportunity

Applicants are required to ensure that CDBG aided projects comply with equal opportunity and nondiscrimination laws and that people in protected categories are not excluded from project participation.

Applicants are required to take into consideration equal opportunity and non-discrimination laws in designing CDBG programs to ensure that people in protected categories are not excluded from participation, denied the benefit of, or subjected to discrimination under any program or activity funded in whole or in part with CDBG funds. The recipient of CDBG funds must describe the actions it will take annually for each year the grant is open in the areas of enforcement, education and in the removal of barriers and impediments that affirmatively further equal access in employment and procurement. This includes a description of steps to be taken in the areas of advertisement, compliance, and complaint tracking.

9. Fair Housing

Recipients of CDBG funds will be required to comply with fair housing and non-discrimination laws and regulations. Applicants should consult Section .1001 of the CDBG administrative rules for further information on equal opportunity requirements. Applicants will be required to submit a Fair Housing Plan for the municipality and/or county. Applicants with 10,000 persons or more will be required to complete an Analysis of Impediments to Fair Housing Choice Study. For each year that a CDBG project is active, a recipient must describe the actions it will take in the areas of enforcement, education and removal of barriers and impediments to affirmatively further fair housing. For guidance for developing a Fair Housing Plan, grantees will refer to REDD Bulletin 10-25 (or any subsequent replacement versions) and the Implementation Notebook.

10. Language Access Plan (LAP)

As recipients of federal financial assistance, grantees have an obligation to reduce language barriers that can preclude meaningful access by Limited English Proficient (LEP) persons to important government programs, services, and activities. Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and its implementing regulations require that recipients take responsible steps to ensure meaningful access by LEP persons. Applicants will be required to submit a Language Access Plan using the approved recommended template from REDD. The plan will be submitted for municipality and or county using the thresholds established by REDD. The plan will address the LAP policy, translation of required vital documents, and requirements for citizen participation.

11. Local Economic Benefit (Section 3)

Section 3 of the Housing and Urban Development Act of 1968, as amended, contains requirements governing programs providing direct financial assistance to public recipients and related contractors (or subcontractors).

For each year that a CDBG is active, a recipient must describe a strategy whereby opportunities in employment and procurement arising out of a CDBG assisted project are identified and made available to low income residents within the CDBG assisted area to the greatest extent feasible. This strategy must include (1) identification of training and technical assistance resources to prepare low income residents for employment and procurement opportunities, (2) attempts to reach the numerical targets for new hires set forth in the Section 3 regulation, which applies to recipients receiving \$200,000 or more in non-administrative line items expended for construction contracts of at least \$100,000 per contract, and (3) education of low income residents within the CDBG assisted area about the components and opportunities of the program. **Once applicants are awarded funds, recipients will be**

required to submit a Section 3 Plan using the approved REDD template. In addition, applicants will be required to coordinate additional activities as it relates to Section 3 with the REDD Compliance Section.

12. Environmental Review

Recipients of CDBG funds are required to comply with the requirements of the National Environmental Policy Act of 1969 (NEPA) found at 24 CFR Part 58 and the NC State Environmental Policy Act and complete an Environmental Review Record (ERR). Do not submit the Environmental Review Record (ERR) with the application. Please follow procedures outlined in REDD's Environmental Technical Assistance Handbook. Copies of the ERR can be secured from REDD. 24 CFR Part 58 (Environmental Regulations) require certain notices to be prepared and published by the local government applicant. This procedure is described in 24 CFR 58.40-47 and requires certain time periods to be allowed for public comment. REDD must receive evidence of the publication of these notices as well as a Request for Release of Funds and Environmental Certification. Upon REDD determination that the public comment periods have elapsed, REDD will issue a letter approving the release of funds. No CDBG funds for non-administrative activities will be released prior to the date of issuance of the letter approving the release of funds. Compliance Staff should be contacted concerning questions with the environmental review process.

13. Floodplain

Recipients must provide REDD with a certification on official letterhead (Local Government entity/municipality) signed by the CEO stating that the project area is not in a floodplain; or with certification that the recipient participates in the floodplain insurance program, all properties assisted in the project will be covered for floodplain insurance prior to beginning construction of the property, and all public facilities will be constructed to comply with the applicable floodplain regulations.

14. Section 504 of the Rehabilitation Act of 1973

The local government applicant must complete a Self-Evaluation plan and Transition Plan (if required) as required by Section 504 to ensure that it does not discriminate by reason of a person's disability.

Recipients of CDBG funds are required to comply with the provisions of Section 504 of the Rehabilitation Act of 1973, as amended, and the HUD implementing regulations at 24 CFR, Parts 8 and 9. The requirements of Section 504 apply to any recipient of federal CDBG funds for any program or activity carried out directly or through another recipient, successor, assignee, or transferee.

The Grant Agreement will require recipients to complete the Section 504 Survey and Transition Plan, covering policies, practices and physical accessibility and notify affected persons that it does not discriminate on the basis of handicap. (The latter notification action is a requirement if the recipient has 15 or more employees.) This plan will not satisfy all the requirements of the Americans with Disabilities Act, but it will meet the minimum requirements for a CDBG assisted project.

15. Residential Anti-Displacement and Relocation Assistance Plan

A plan for residential anti-displacement and relocation must be documented or submitted with the application. All occupied and vacant occupiable low and moderate-income dwelling units demolished or converted to a use other than as low/moderate income housing must be replaced within three years of the commencement of the demolition or rehabilitation related to the conversion.

Once CDBG funds are awarded, recipients must have a plan to minimize residential displacement and to provide relocation assistance to displaced residents in a timely manner. Compliance with the plan must be documented, including the information made public and the means used to make it public.

The plan must include a description of the activity, a location map, a time schedule, dwelling data on target and replacement homes, funding sources, a schedule for replacement or relocation and the basis for concluding that replacement dwellings will remain low-moderate income for at least 10 years. A guide form for developing the plan should be obtained from REDD once an award is received.

NOTE: Due to potential changes regarding compliance with Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) and Section 104 (d) of the Housing and Community Development Act, potential projects involving acquisition, relocation, and demolition will be reviewed closely by REDD. Program Bulletin 94-1 will be revised, and other documents provided to clarify the new requirement.

When or if it is unclear as to whether the "contiguous lots" criterion is applicable, REDD will request a determination from HUD officials. Grantees are responsible for initiating the request with REDD and should allow 45 days for a reply.

16. Americans with Disabilities Act (ADA)

State and local governments are required to comply with the provisions of Title I of the Americans with Disabilities Act (ADA) which protects qualified individuals with disabilities from discrimination in all state and local government programs and activities including employment.

Governments with 25 or more employees were subject to the law after July 26, 1992, and governments with 15 or more employees after July 26, 1994. If a government is not covered by Title I of the Act, Section 504 of the Rehabilitation Act of 1973 applies. All governments receiving federal financial assistance will continue to be covered by Section 504. REDD will continue to monitor for only Section 504 compliance until otherwise required by HUD.

17. Lead-Based Paint Hazards

Projects involving rehabilitation of residential structures require compliance with the federal Lead-Based Paint Hazard Reduction Act of 1992 and the "Lead-Based Paint Hazard Reduction Guidelines" issued November 1, 1993 by REDD. While residential structures are not likely to be involved with most SBEA projects, local government grantees are advised to determine state and county health requirements if there is any rehabilitation or demolition of structures that are likely to have lead-based paint present.

18. Reporting

Provide an update on the status of project activities, jobs created, and financial expenditures. REDD will expect participants to share their success stories with REDD. REDD requests copies of all published press articles, TV coverage, scheduled ribbon cuttings, and other events and milestones. Periodic photographs should document project stages, training, events and successes.

An Annual Performance Report (APR) is due at the close of each calendar year and an annual financial audit of the CDBG program is due at the close of each fiscal year in which at least \$25,000 in CDBG funds were received. The audit may be performed in conjunction with the regular independent audit of the recipient and will contain an examination of all financial aspects of the CDBG program as well as a review of the procedures and documentation supporting the recipient's compliance with applicable statutes and regulations. A Final Performance Report and audit will be required prior to grant closeout.

19. Monitoring

REDD will monitor the project through mechanisms, including review of quarterly and annual reports received from the grant recipient, through phone/email/letter correspondence, through receipt of all published press articles about the project as provided to REDD by the local government, and through on-site monitoring visits.

REDD staff will notify the grantee at least 30 days before on-site monitoring visits and the monitoring forms are located on the website. Complete the monitoring forms per the approved application activities and have the prepared forms ready for the monitoring visit. Any performance findings or administrative concerns resulting from the monitoring review must be mutually resolved before a grant can be formally closed.

20. Financial Management Requirements

REDD will monitor the grantee to determine compliance with the financial management requirements. The review will determine if records are maintained in compliance with 2 CFR, Part 200-UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL

AWARDS, and other State of North Carolina requirements. This monitoring is performed through desktop audit and at each on-site visit. Typically, ledgers, invoices, canceled checks, bank statements and requisitions are reviewed to see that the grantee has an adequate system of financial management. REDD staff may also make specific requests to review information or documentation relating to financial management of a grant.

21. SAM.gov Registration

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 mandates specific reporting requirements for recipients of federal funds. Grants Administration is required by FFATA to submit information to the Office of Management and Budget (OMB) through an electronic Sub Award Reporting System (FSRS) on all grant awards greater than \$25,000 which are awarded on or after October 1, 2010.

In July 2012, the General Services Administration (GSA) combined the Central Contractor Registration (CCR/Fed Reg), Online Representations & Certifications Application (ORCA) and the Excluded Parties List System (EPLS) into one main contractor database. This database was named System for Award Management or better known as the SAM registration.

Since REDD is required to report information as a part of FFATA for grants awarded after October 1, 2010, the SAM.gov registration will be required prior to submission of a CDBG application. Once obtained, the SAM.gov registration must be updated or renewed at least once a year. Rural Economic Development staff will monitor for compliance with this requirement.

22. Use of NC Licensed Professionals

While not mandatory, REDD strongly recommends the use of North Carolina licensed professionals on all projects. This includes housing inspectors, electricians, HVAC installers and repairers, plumbers, and general contractors. However, it is important to note that bids and dwellings that are \$30,000 and greater can ONLY BE ACCEPTED BY A LICENSED GENERAL CONTRACTOR, licensed by the State of North Carolina per Article 1 of Chapter 87 of the General Statute.

23. Other Requirements and Attachments

Recipients will also be required to comply with any subsequent requirements issued by HUD and/or Rural Economic Development Division. Consult the Required Attachments section in the application. Please note that if key items are not submitted with the application, it will be returned to the local government.

APPLICATION PROCESS AND SUBMISSION REQUIREMENTS

Applications must be physically received at REDD's Raleigh office by 4:00 p.m. Monday, August 31, 2020 whether hand-delivered, mailed through the US Post Office or delivered by private and overnight delivery companies such as UPS, Fed Ex, etc. The ***Neighborhood Revitalization Program*** Manager is available should you have questions.

Deliberate Misrepresentation of Information (commonly called fraud)

Applications will be reviewed based on the information and numbers given by the applicant whose chief elected official has certified the correctness of the contents. **Any determination that deliberates misrepresentation (or fraud) has occurred will result in the disqualification of the applicant and/or the rescission of a grant at any point from the award to closeout.**

Applicants must submit two (2) complete originals of the application. Both applications must have the original signature of the chief elected official on the Application Summary Form and any other documents that require official signatures.

| | |
|--|---|
| If using the U. S. Postal Service, mail to: Valerie D. Moore, Section Chief Rural Economic Development Division/ State CDBG Program NC Department of Commerce 4346 Mail Service Center Raleigh, N.C. 27699-4346 | If using overnight or in-person delivery, deliver to: NC Department of Commerce Rural Economic Development Division/ State CDBG Program 301 N. Wilmington Street Raleigh, N.C. 27699-4346 |
|--|---|

PROGRAM CONTACT

For technical assistance please contact:

Valerie D. Moore, CDBG Section Chief

E-mail: valerie.moore@nccommerce.com

Telephone: (919) 814-4673 (Office) (919) 414-7864 (Mobile) Fax: (919) 715-0096

SAMPLE Citizen Participation Template

CITIZEN PARTICIPATION PLAN

This plan describes how the Unit of Local Government (ULG) Name will involve citizens in the planning, implementation and assessment of the Community Development Block Grant (CDBG) program. The funds must be used for projects which benefit low and moderate-income persons and aids in the elimination and prevention of slums and blight. The program is intended to assist governments in understanding neighborhood improvement programs. The regulations give ultimate responsibility for the design and implementation of the program to local elected officials and require that citizens be given an opportunity to serve in a key advisory role to these elected officials.

SCOPE OF CITIZEN PARTICIPATION

Citizens will be involved in all stages of the CDBG program, including program implementation, assessment of performance and design of changes in the Citizen Participation Plan. There will be three (3) general mechanisms for their involvement:

1. To serve as an advisory committee to the project;
2. To attend or hold public hearings or community meetings; and
3. To provide individual citizen efforts in the form of comments, complaints or inquiries submitted directly to the Program Administrators or designated Town official.

PROGRAM IMPLEMENTATION

Citizen participation in program implementation will occur primarily through consultation with the Type of ULG. The Type of ULG will be asked to review and comment on specific guidelines for approved projects. They will also meet to review any program amendments, budget revisions and program modifications. All such changes will be discussed with the Type of ULG and their comments considered prior to taking action. If program amendments require approval from the North Carolina Department of Commerce, a public hearing shall be held specifically on the amendment. Citizens may also be involved in implementation of projects specifically requiring citizen participation, such as self-help projects. Their roles will be defined as the project develops. Technical assistance will be available as needed.

PROGRAM ASSESSMENT

Program assessment activities by citizens will occur in a variety of ways. A performance hearing will be held thirty to sixty (30 to 60) days prior to the start of planning for the next program year. The Program Amendment will be asked to provide citizen commentary for the Grantee Performance Report.

As a part of the orientation to the program offered at the public hearing, citizens will be invited to submit comments on all aspects of program performance through the program year. Comments should be submitted in writing to Name of ULG Representative. He or She will respond in writing within ten (10) days. If the response is unsatisfactory, the complainant should write directly to The ULG Chief Elected Official. He or She shall respond within ten (10) days.

If the citizen is still dissatisfied, he/she should write to the NC Department of Commerce, Rural Economic Development Division/State CDBG Program, 4346 Mail Service Center, Raleigh, NC 27699-4346, Attention: Citizen Participation Matter. Program staff will also be available during normal business hours to respond to any citizen inquiries or complaints at 919-814-4663

The Citizen Participation Plan will be subject to annual review and proposed revision, to occur in the period between the performance hearing and the public hearing on the subsequent year's application.

TECHNICAL ASSISTANCE

Technical Assistance will be provided to citizen organizations and groups of low/moderate income persons or target area residents upon request to Unit of Local Government (ULG) Name. Such assistance will support citizen efforts to develop proposals, define policy and organize for the implementation of the program. It is expected that such assistance will be provided directly to the Type of ULG in response to their request. Assistance could be provided in the form of local presentations, informational handouts, research of a specific issue or other short-term efforts.

PUBLIC INFORMATION

The Unit of Local Government (ULG) Name will also undertake public information efforts to promote citizen participation. These efforts will include the following:

1. Public Notice of all Public Hearings will be published in the non-legal section of the local newspaper at least ten (10) days before the scheduled hearing. These notices will indicate the date, time, location and topics to be considered. These notices will also be made available in the form of press releases, as a public service announcement to local radio stations and will be provided to churches within the target area of distribution.
2. Orientation Information will be provided at the first public hearing. The Program Administrator(s) will make a presentation which covers: (a) the total amount of CDBG funds available and the competitive basis for award; (b) the range of eligible activities; (c) the planning process and the schedule of meetings and hearings; (d) the role of citizens in the program and (e) a summary of other program requirements, such as the environmental policies, fair housing provisions and contracting procedures.
3. A Public File containing program documentation will be available for review at the ULG Office during normal business hours. Included will be copies of the Application, Environmental Review Record, the Citizen Participation Plan and the Annual Performance Report. Other program documents are also available for citizen review on request at the ULG Office consistent with applicable State and local laws regarding personal privacy and obligations of confidentiality.
4. Public Hearings an interpreter will be provided for all non-English speaking individuals and/or deaf individuals.

ADOPTED, this the _____ day of _____, 20____.

ULG Chief Elected Official

ULG authorized signor

Town/City/County _____

Town/City/County _____

SAMPLE RESOLUTION

RESOLUTION FOR THE TOWN/CITY/COUNTY OF _____ APPLICATION FOR COMMUNITY
DEVELOPMENT BLOCK GRANT FUNDING FOR THE _____ PROJECT

WHEREAS, the _____'s Board of Aldermen/Commissioners/Council has previously indicated its desire to assist in community development efforts for housing within the Town/City/County; and,

WHEREAS, the Board/Commissioners/Council has held two public hearings concerning the proposed application for Community Development Block Grant funding to benefit (_____); and,

WHEREAS, the Board/Commissioners/Council wishes the (Town/City/County) to pursue a formal application for Community Development Block Grant funding to benefit (_____); and will invest monies in the amount of ([insert] % cash match amount) into the project as committed to in the application.

WHEREAS, the Board/Commissioners/Council certifies it will meet all federal regulatory and statutory requirements of the State of North Carolina Community Development Block Grant Program,

NOW, THEREFORE BE IT RESOLVED, by the (Town/City/County's) Board of Aldermen/Commissioners/Council that the (Town/City/County of) is authorized to submit a formal application to the North Carolina Department of Commerce for approval of a Community Development Block Grant to benefit (_____).

Adopted this the ___ day of ____, 20__ in ____, North Carolina.

Mayor/Chairman

ATTEST:

Clerk to the Board

INCOME and NEED SURVEY GUIDANCE and SAMPLE SURVEY

Community Development Block Grant (CDBG) Income and Need Survey Instructions

The attached **Income and Need Survey** must be completed for each dwelling in the proposed project. This form does not apply to projects based on area-wide activity. This form is required to be completed by the Income Survey Taker, not the occupants of the dwellings. However, both the survey taker and one adult member of the dwelling must sign and date the form. To determine whether or not the entire form or specific sections only are required for submission, refer to the applicable CDBG program guidelines or contact the Rural Economic Development Division's (REDD's) CDBG Program and Compliance staff.

- **Part A: Income**-This section is required for each dwelling regardless of the CDBG program category, the type of project, or the condition of the dwelling.
- **Part B: Public and Non-Public Facility Needs**-This section must be completed for projects that propose to use CDBG funds for water, wastewater, streets, and drainage conditions.
- **Part C: Housing Needs**-This section is required if applicable for the specific category for which funding is being requested. See the program application guidelines for details.

Timing of the Form

All data provided on the form must be no older than 12 months from the date of the Chief Elected Official's signature on the Application Summary Form of each application. For example, if the CEO signs the Application Summary Form on December 31, 2019, the information must have been collected no earlier than December 31, 2018.

Required Method of Survey

REDD strongly encourages surveys to be conducted face-to-face with the occupant(s) of the dwelling. Mail-in surveys are acceptable, but REDD will consider the Income Survey Taker's signature as verification of the form contents. Telephone surveys are not acceptable.

Applicants are required to contact 100% of area households to determine household incomes. Applicants must complete the "CDBG Income and Need Survey Form" for each beneficiary household. A copy of each completed survey form for each household in the project must be either submitted with the application or made available at monitoring, depend on applicable category guidelines.

Verification of Household Income

The signature of the Chief Elected Official on the Application Summary certifies that all the data on this form and all other application contents are true and correct. Applicants are required to verify household income **prior** to obligation of funds for the applicable activity and/or unit. All related documentation will be reviewed and requested during program monitoring. The local government is responsible for ensuring and documenting that potential beneficiaries are income-eligible. Local government files will be monitored to ensure income eligibility was determined using generally accepted industry practices prior to expenditure of CDBG funds.

Affordable Rents

Per 24 CFR Part 570.483 (B) (3), rental housing activities, occupancy by low- and moderate-income households must be at affordable rents to qualify for CDBG funding. The recipient shall adopt and make public its standards for determining “affordable rents”. Please note that to be in compliance with this standard, the determination must be done prior to receipt of CDBG funds. If you are considering activities involving rental housing, please contact REDD’s CDBG Program and Compliance staff for additional guidance.

DO NOT MODIFY REDD’s FORM. If an applicant wants to collect information not on this form, a separate form must be devised and used for the desired information. REDD will only accept this survey form for funding consideration. REDD will not accept other local forms attached to REDD’s official form.

Part A: Income

Part A of the form is required for each dwelling regardless of the CDBG program category, the type of project, or the condition of the dwelling.

- Fill out the top section of the survey providing the requested information.
- Ensure the section is signed and dated by an adult member of the dwelling and the Income Survey Taker.
- Designate the income as:
 - **Very Low** (0-30% of median family income)
 - **Low** (31-50% of median family income)
 - **Moderate** (51-80% of median family income) or
 - **Over Income** (81% or higher).

Treatment of Refuse to Sign Forms

If an occupant refuses to sign the form, write “Refuse to Sign” on the adult household member signature line. Please note that even though the information appears on the form an unsigned or refused to sign survey will be treated as over income. This information still must be submitted with the application to ensure 100% of the households were surveyed.

Occupant Information

- Beginning with the head of household, list each occupant of the household and provide information for each of the headings.
- Individual incomes may be annual, monthly, or weekly. Indicate with the abbreviation “A” for annual, “M” for monthly, or “W” for weekly in the “Pay Frequency” column. However, all individual incomes must be calculated annually to arrive at a total combined annual income for the household.
- Each child should be listed on a separate line. Use another income form if there is not enough room to list the entire family.
- The Income Survey Taker must be sure to sign and date the form.

Part B: On-Site Water and/or Wastewater Needs

Part B must be completed for projects that propose to use CDBG funds for water and/or wastewater needs.

Determination of Water and Wastewater Conditions

- Under Severe or Moderate, check the condition that best describes the need. (i.e., a house cannot have both a severe and moderate need under water.)
- In addition, check only one condition under the severe or moderate column for the on-site water and/or wastewater need; (i.e., a house cannot have both a pit privy and no wastewater disposal system condition).

Definitions of Well Conditions

Contaminated wells refer to wells that have bacterial and/or chemical conditions as defined by the health department. Unapproved wells are wells defined by the health department as those that may be contaminated at any point in time because of the construction of the well. Although wells with heavy mineral content are not considered contaminated by the health department, they may be considered a severe need if the water supply is not potable.

Part C: Housing

Determination of Housing Conditions

- Check the **appropriate severe or moderate conditions** that have been identified for the structure. If even one condition is severe, the system is considered severe.
- Check the **system** under the first column; (i.e., roof, HVAC) that has severe and/or moderate conditions
- It is the number of **systems**, not the number of conditions that determine whether a house is severe or moderate.
- Systems not checked as severe or moderate are assumed to be minor/non-need.

Note:

- ⇒ To be classified as **severe**, a structure must have severe conditions in 3 **or more** systems
- ⇒ To be classified as **moderate**, a structure must have moderate conditions in 3 **or more** systems.
- ⇒ If conditions are present in only 2 systems under severe, the structure is classified as moderate; (i.e., A house with 2 severe systems and 1 or more moderate system is classified as moderate.).
- ⇒ If severe conditions exist in only 1 system, the structure must also have 2 systems with moderate conditions in order to be classified as moderate; (i.e., A house with 1 severe system and 2 or more moderate systems is classified as moderate.).
- ⇒ A structure with only 1 system with severe conditions is considered to be minor/non-need.



Community Development Block Grant (CDBG) Income and Need Survey Form

(Name of Local Unit of Government)

Part A: Income

Occupant Type: ☐ Owner Occupant ☐ Tenant Occupant Map Number: _____

Occupant's Name: _____ Phone: _____

Property Address: _____

Owner's Name (if Tenant): _____ Phone: _____

Owner's Address: _____

OCCUPANT INFORMATION

| Name | Individual Income | Pay Frequency | Income Source | Age | Sex | Ethnic Group | Disabled/Handi-capped |
|------|-------------------|---------------|---------------|-----|-----|--------------|-----------------------|
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Total Annual Household Income: \$ _____ Total Number of Occupants: _____

Rent: \$ _____ Female Head of Household: Yes _____ No _____

Income Status of Household (check one): ☐ Very Low (0-30% MFI*) ☐ Low (31-50% MFI*)

☐ Moderate (51-80% MFI*) ☐ Over 81% MFI) *MFI is median family income.

Income Survey Taker
Signature and Date

Head of Household or Other Adult
Member Signature and Date

Part B: Public and/or Non-Public Facility Needs

DETERMINATION OF WATER, WASTEWATER, STREETS, AND DRAINAGE CONDITIONS

House Address: _____

Map#: _____ Date of

Inspection: _____

Check the block for any of the four categories that have a severe or moderate need. Then check the specific condition under either severe or moderate. Choose only one that is most applicable to the need. If the need is minor/non-need, do not check any boxes. Minor/non-need is assumed if no boxes are checked. (Note: Check if contaminated water or no potable water has been confirmed through a test.)

| Conditions | | |
|--|--|---|
| Need Category | Severe | Moderate |
| Water <input type="checkbox"/> | <input type="checkbox"/> No water supply or dry well (Circle one) <input type="checkbox"/> Spring <input type="checkbox"/> Contaminated well Tested? <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Lack of potable water due to heavy mineral content Tested? <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Unapproved well documented by the health department Letter included <input type="checkbox"/> yes <input type="checkbox"/> no | <input type="checkbox"/> Inadequately sized/poorly functioning <u>public water lines</u> <input type="checkbox"/> On-site severe condition or no water supply <u>but public water runs in front of/by the house and house is not connected.</u> <input type="checkbox"/> Periodically failing shallow well |
| Wastewater <input type="checkbox"/> | <input type="checkbox"/> No wastewater disposal system (including no pit privy or outhouse) <input type="checkbox"/> Pit Privy (outhouse) <input type="checkbox"/> Failed septic tank (includes straight piping of gray water if septic tank would fail once gray water added.) <input type="checkbox"/> Straight piping of sewage as the only wastewater disposal method (black water) <input type="checkbox"/> Public sewer line causing severe | <input type="checkbox"/> Periodically failing septic tank <input type="checkbox"/> Inadequately sized/poorly functioning <u>public sewer lines</u> including laterals <input type="checkbox"/> On-site severe condition or no system <u>but public sewer runs in front of/by the house and house is not connected.</u> <input type="checkbox"/> Straight piping without any septic tank failure (gray water) |

| | | |
|-----------------------------------|--|---|
| | health or environmental problems for residents* | |
| Streets <input type="checkbox"/> | <input type="checkbox"/> Dirt/gravel street(s) <input type="checkbox"/> Severely deteriorated roadbed <input type="checkbox"/> No access to a street | <input type="checkbox"/> Deteriorated asphalt/concrete pavement <input type="checkbox"/> Street less than 20 feet wide <input type="checkbox"/> Street requiring ditching to channel storm runoff |
| Drainage <input type="checkbox"/> | <input type="checkbox"/> Permanent standing water <input type="checkbox"/> Constant flooding during rainstorms | <input type="checkbox"/> Periodic flooding <input type="checkbox"/> Damaging water course flow/erosion |

Asterisk (*) Describe the public water or sewer health or environmental problem on a separate page.

Inspector of Property Signature and Date _____

Part C: Housing Needs**DETERMINATION OF HOUSING CONDITIONS**

House Address: _____
 Inspection: _____

Map#: _____ Date of

A house may have a combination of severe and moderate conditions. In order for a condition to count as either severe or moderate, there must be several occurrences of the condition or the condition must be overwhelming. The number of systems will indicate whether or not a dwelling is severe or moderate. See the Instructions on how to make the determination that a house is severe, moderate, or minor/non-need. If the house has only minor/non-needs, do not complete Part C. If Part C is not completed, minor/non-need conditions are assumed. Indicate for each system whether the system is severe or moderate in order to complete the Levels of Severity form.

Type Construction: _____
 Ft.): _____

Approximate Size (Sq.

Inspector of House: _____

| Conditions | | |
|---|---|--|
| Check systems having conditions | Severe | Moderate |
| <input type="checkbox"/> FOUNDATION SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). _____ | Requires replacement of major portion of or all of a foundation and venting system. <input type="checkbox"/> Foundation incapable of supporting normal use load <input type="checkbox"/> Major deterioration of wood support members <input type="checkbox"/> Unstable foundation supports subject to movement | Requires such items as removal and blocking of a foundation member; replacement/addition of vents. <input type="checkbox"/> Inadequate or no foundation vents <input type="checkbox"/> Minor damage to wood support members <input type="checkbox"/> Missing or repairable foundation walls |
| <input type="checkbox"/> FLOOR SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). _____ | Requires reinforcement, major repair, or replacement of floor system. <input type="checkbox"/> Large holes in subfloors (10" diameter) <input type="checkbox"/> Severe buckling in floors/severely unlevel floors <input type="checkbox"/> Noticeable floor movement under | Requires repair or patching of floor system in small areas. <input type="checkbox"/> Separation/disfigurement of flooring <input type="checkbox"/> Partially damaged subfloor, joists or girders <input type="checkbox"/> Lack of floor insulation |

| | | |
|---|--|---|
| | walking stress | |
| <input type="checkbox"/> EXTERIOR WALL SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). _____ | Requires replacement of major portion of or complete replacement of exterior wall system. <input type="checkbox"/> Severe leaning/buckling walls <input type="checkbox"/> Large cracks or holes in the walls <input type="checkbox"/> Major deterioration to wood siding <input type="checkbox"/> Exterior walls not weather-tight | Requires minimal replacement of deteriorated siding. <input type="checkbox"/> Patches of loose or missing siding <input type="checkbox"/> Deterioration to vinyl or aluminum siding |

| | | |
|--|-------------------|-----------------|
| | Conditions | |
| Check systems having conditions | Severe | Moderate |

| | | |
|---|--|---|
| <input type="checkbox"/> ROOF SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). _____ | Requires replacement of major portion of roof or complete replacement of roofing system. <input type="checkbox"/> Major sagging or structurally unsound roof <input type="checkbox"/> Large cracks or holes in roof <input type="checkbox"/> Major roof leakage | Requires minimal repair to roof or any of its components. <input type="checkbox"/> Rusted tin roof <input type="checkbox"/> Loose/cured shingles on roof <input type="checkbox"/> Minor roof leakage <input type="checkbox"/> Minor sagging of roof <input type="checkbox"/> Deteriorated/loose flashing |

| | | |
|--|---|---|
| <input type="checkbox"/> PLUMBING SYSTEM | | |
| (inside the house) Indicate whether system is severe (S) or moderate (M). _____ | Requires installation of new plumbing or replacement of entire plumbing system. <input type="checkbox"/> No hot/cold running water <input type="checkbox"/> No shower/tub, lavatory, or toilet <input type="checkbox"/> Non-repairable indoor plumbing system (i.e., leaking galvanized pipes) | Requires replacement or repair of a small portion of the system. <input type="checkbox"/> Repairable leaks in pipe(s) or plumbing fixtures <input type="checkbox"/> Malfunctioning hot water heater |

| | | |
|---|---|--|
| <input type="checkbox"/> ELECTRICAL SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). _____ | Requires complete change in electrical system to appropriate Code requirements. <input type="checkbox"/> Less than 100 AMP service & lack of | Requires replacement or repair of receptacles, switches, etc. <input type="checkbox"/> Malfunctioning but repairable outlets in house |

| | | |
|--|--|---|
| <p>_____</p> | <p>main disconnect for house</p> <p><input type="checkbox"/> Unsafe electrical wiring system in house (specify)</p> | <p><input type="checkbox"/> Inadequate number of outlets in house</p> |
| <p><input type="checkbox"/> HVAC SYSTEM</p> | | |
| <p>Heating/Chimneys</p> <p><i>Indicate whether system is severe (S) or moderate (M).</i></p> <p>_____</p> | <p><i>Requires installation of new system; replacement of entire system or repair of at least 50% of the cost of a new system. For chimneys, requires removal, repair or replacement.</i></p> <p><input type="checkbox"/> No heating system in house</p> <p><input type="checkbox"/> Unvented heating system</p> <p><input type="checkbox"/> Heating system unable to heat habitable rooms & bathroom to 70 degrees F.</p> <p><input type="checkbox"/> Severely leaning chimney</p> <p><input type="checkbox"/> Missing bricks or essential parts in chimney</p> | <p><i>Requires replacement or repair of component parts; re-hanging of loose ductwork, replacement of supply registers, thermostat, etc.</i></p> <p><input type="checkbox"/> Defective but repairable vented heating system</p> <p><input type="checkbox"/> Excessive leaks in heat duct system</p> <p><input type="checkbox"/> All habitable rooms heated to 70 degrees F. except bathroom</p> <p>N/A for Chimneys</p> |

| | | Conditions |
|--|---|---|
| Check systems having conditions | Severe | Moderate |
| <input type="checkbox"/> INTERIOR WALL SYSTEM | | |
| Walls/Ceiling Indicate whether system is severe (S) or moderate (M). ____ | <i>Requires replacement or major treatment of wall system.</i> <input type="checkbox"/> Severe bulging/leaning walls <input type="checkbox"/> Large holes/cracks in walls (10" diameter) <input type="checkbox"/> Severe buckling in walls <input type="checkbox"/> Severe bulging/sagging ceilings <input type="checkbox"/> Large holes/cracks in ceilings (10" diameter) | <i>Requires the repair of a portion of an existing wall or ceiling.</i> <input type="checkbox"/> Small cracks/holes in walls <input type="checkbox"/> Separation/disfigurement of wood materials <input type="checkbox"/> Small cracks/holes in ceilings <input type="checkbox"/> Separation/disfigurement of ceiling materials <input type="checkbox"/> Lack of insulation in attic |
| <input type="checkbox"/> WINDOWS/DOORS SYSTEM | | |
| Indicate whether system is severe (S) or moderate (M). ____ | <i>Requires removal and replacement of door and/or window units or the replacement of window sashes.</i> <input type="checkbox"/> Window casing/sashes severely damaged or decayed <input type="checkbox"/> Doors severely damaged or decayed <input type="checkbox"/> Non-repairable fit to window casing | <i>Requires repair or replacement of parts; refitting or re-hanging or adjusting of existing windows or doors.</i> <input type="checkbox"/> Windows inoperable/unsatisfactorily operating due to poor but repairable fit <input type="checkbox"/> Windows missing or defective hardware |
| <input type="checkbox"/> EGRESS SYSTEM | | |
| Exits/Stairs/Porches/Stoops Indicate whether system is severe (S) or moderate (M). ____ | <i>Requires cutting a wall or using an existing window to create a 2nd exit from the structure.</i> <input type="checkbox"/> Structure has only 1 means of egress from the dwelling. | <i>Requires replacement, repairs, or patching to provide safe exits from the house.</i> <input type="checkbox"/> Unstable, loose, non-secure stairs or steps <input type="checkbox"/> Incapable of supporting normal load <input type="checkbox"/> Deterioration of wood members <input type="checkbox"/> Lack of handrails for exterior stairs with 4 or more risers |

| | | |
|--------------------------------------|--|---|
| | | <input type="checkbox"/> Separation or cracking of concrete or abnormally uneven or worn surface. |
| Other comments for use by applicant: | | |
| | | |
| | | |
| | | |

Indicate below the overall condition of the dwelling and give the cost estimate for rehabilitation:

Housing: ☐ Severe ☐ Moderate Cost \$
 Estimate: _____

If rehabilitation cannot be cost effectively performed, give cost estimates for the following:

| | | |
|--------------------|---|--------------------------------------|
| | | <u>Cost Estimates, if applicable</u> |
| (a) acquisition | | \$ _____ |
| (b) clearance | Slum & Blight: <input type="checkbox"/> Yes <input type="checkbox"/> No | \$ _____ |
| (c) relocation | <input type="checkbox"/> Temporary | \$ _____ |
| (d) reconstruction | <input type="checkbox"/> Permanent | \$ _____ |
| | | \$ _____ |
| | Total | \$ _____ |

APPLICATION

NC Neighborhood Revitalization APPLICATION CHECKLIST

When applying, use the following checklist as a table of contents for the application. Make sure all the required items are included. If any one of the required items is not included, the application will not meet threshold nor be approved for funding.

A. Application Submission Requirements and Process Adherence

- ☐ Applicant must be an eligible non-entitlement general unit of local government.
- ☐ Applicants must submit **two (2) complete originals** of the application.
- ☐ Applications must be submitted to REDD in a **three-ring binder** organized with tabs.
- ☐ Application Summary Form and all forms requiring official signatures must appear in both applications, complete, and have the original signature of the chief elected official or another documented authorized certifying officer.
- ☐ Applications must be physically received at REDD by **4:00 p.m. Monday, August 31, 2020**.
- ☐ The proposed project must address at least one of the three National Objectives.
- ☐ Applicant's CDBG **NC Neighborhood Revitalization** funding request must not exceed \$750,000.
- ☐ Neither applicant nor any of its critical partners can appear on the Federal or State Suspension of Funds List/Debarment List.
- ☐ Applicant must clearly select one or more of the **NC Neighborhood Revitalization** activity categories.

Please Note: A waiver may be granted by the NC Department of Commerce if current funding request exceeds \$1,250,000 in applications for local governments in any of the CDBG categories and demonstration programs except Urgent Needs, Scattered Site Housing, and Capacity Building grants.

B. Required Attachments for All NC Neighborhood Projects

| ITEM | TAB LOCATION |
|--|--------------|
| DOCUMENTATION OF SYSTEM FOR AWARD MANAGEMENT - SAM.GOV REGISTRATION <input type="checkbox"/> INITIAL <input type="checkbox"/> ANNUAL UPDATE (Please submit/attach a printout of the SAM.gov Registration Information) | |
| PROJECT DESCRIPTION | |
| SOURCES AND USES OF FUNDS | |
| PROJECT BUDGET | |
| NC NEIGHBORHOOD BENEFIT: LOW & MODERATE INCOME | |
| HOUSING DISTRIBUTION PLAN | |
| COMMUNITY DEVELOPMENT PLAN | |
| CONFLICT OF INTEREST FORM-CHECKLIST | |
| FEDERAL REQUIREMENTS: <input type="checkbox"/> A. FEDERAL CERTIFICATIONS <input type="checkbox"/> B. DISCLOSURE REPORT FOR APPLICANTS REQUESTING \$200,000 OR MORE. (NOTE: Not required for applicants requesting less than \$200,000 in CDBG funds and not using other Federal assistance.) | |
| DISCLOSURE REPORT | |
| STATE CDBG PROGRAM REQUIREMENTS: <input type="checkbox"/> A. REGULATIONS SIGNED AND DATED BY AUTHORIZED OFFICIAL <input type="checkbox"/> B. DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS SIGNED AND DATED BY CHIEF ELECTED OFFICIAL | |
| CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS | |
| FLOOD PLAIN CERTIFICATION: Submit a letter or statement on the local government's letterhead stating the relationship of the site to designated flood zones. Recipients must provide REDD a certification signed by the Chief Elected Official stating that the project area is not in a floodplain; or with certification that the recipient participates in the floodplain insurance program, all properties assisted in the project will be covered for floodplain insurance <i>prior</i> to beginning construction of the property, and all public facilities will be constructed to comply with the applicable floodplain regulations. | |
| IMPLEMENTATION SCHEDULE FORM (2 originals – one per application) | |
| HUD IDIS: ACCOMPLISHMENTS & BENEFICIARIES FORM (Form is also on www.nccommerce.com .) | |
| THREE REQUIRED MAPS: <input type="checkbox"/> Location Map must show the applicant's jurisdiction. Major highways and roads must be shown drawn to scale. The applicant must label the map, include a legend, and place a boundary line around areas of minority concentrations and of low-and-moderate income families. <input type="checkbox"/> Project Map must include the location of all project activities. It must also show all units bordering the project area whether they are part of the project activities. Commercial units such as shopping centers must also be labeled. Mark all existing and proposed public infrastructure on one map to indicate the relationship of public infrastructure to units to be constructed. The map must be to scale and include a legend. | |

| | |
|---|--|
| <input type="checkbox"/> Low-Moderate Income Map must illustrate the distribution/concentration of low-moderate income persons in the jurisdiction. | |
| LETTERS OF COMMITMENT, CONDITIONAL COMMITMENT, AND EVIDENCE OF FUNDING APPLICATION from all other (i.e., non-CDBG) sources of funds and/or resources. | |
| CAPACITY, EXPERIENCE, AND ORGANIZATIONAL STRUCTURE <ul style="list-style-type: none"> <input type="checkbox"/> List of Names and Duties for the Local Government Staff for the Proposed Project and Other Essential Players <input type="checkbox"/> Resume for each identified person associated with the proposed project <input type="checkbox"/> Organizational Chart Identifying the Reporting Relationship and/or Interaction Among Key Players for the Proposed Project <input type="checkbox"/> Chart of Previous CDBG or other federal or state experience relevant to the proposed project. List project name, CDBG funding amount, program category, and brief description. | |
| INCOME AND NEED SURVEY FOR ALL DIRECT BENEFIT PROJECTS. Form and guidance at www.nccommerce.com . Please note that if the houses selected for rehabilitation are unknown at the time application is submitted, if awarded, the Income and Need Survey for all direct benefit projects must be completed and submitted to REDD before grant funds can be released. | |
| EVIDENCE OF THE FIRST OF TWO REQUIRED PUBLIC HEARINGS. Provide copies of the posted Public Hearing Notices, Certified Meeting Minutes for both Public Hearings, the Publisher's Affidavits with the application for the first and second public hearings. (If for any reason the second publisher's affidavit is not available when the application is submitted, please explain in the application and REDD will require it as part of the funding conditions if the project is selected for funding.) | |
| APPRAISALS are required for all CDBG land acquisition activity only. | |
| PHOTOGRAPHS TO DOCUMENT EXISTING CONDITIONS | |
| DRAWDOWN OF CDBG FUNDS PLAN | |
| PLAN TO MINIMIZE RESIDENTIAL DISPLACEMENT AND TO PROVIDE RELOCATION ASSISTANCE TO DISPLACED CITIZENS IN A TIMELY MANNER | |
| ALL HOUSING & PUBLIC FACILITY REHABILITATION PROJECTS MUST PROVIDE THE FOLLOWING BELOW: | |
| <input type="checkbox"/> Cost Estimates <input type="checkbox"/> Site Photographs | |
| ALL PROJECTS WITH NEW CONSTRUCTION REGARDLESS OF FUNDING STREAM AND SUBSTANTIAL REHABILITATION MUST PROVIDE THE FOLLOWING BELOW: | |
| <input type="checkbox"/> 10-Year Minimum Operating Pro forma <input type="checkbox"/> Cost Estimates <input type="checkbox"/> Site and Architectural Plans: Attach one copy each of site and architectural plans for the proposed project. Identify any unit features designed to serve populations with special housing needs (e.g., persons with disabilities, the elderly, large families, etc.) <input type="checkbox"/> Architectural Renderings <input type="checkbox"/> Site Photographs | |
| ALL APPLICANTS WITH SLUM OR BLIGHT AS AN ACTIVITY (Under Certain Circumstances and must be pre-approved by REDD) | |

- | | |
|---|--|
| <ul style="list-style-type: none">❑ Cost Estimates❑ Site Photographs❑ Redevelopment Plan (Within the 30-month Lifecycle of the Grant) | |
|---|--|

APPLICATION SUMMARY - NC Neighborhood Revitalization PROGRAM

| | | |
|---|--------------------------|---|
| 1. Applicant's name | | 2. Date |
| a. Mailing Address | | <input type="checkbox"/> Original dated: ____/____/____ <input type="checkbox"/> Amendment dated: ____/____/____ |
| b. City and Zip Code | | |
| c. County | | |
| d. Contact Person | | |
| e. Telephone Number | | |
| f. Fax Number | | |
| g. e-mail address | | |
| h. DUNS Number | | |
| 3. Preparer's Name | | c. Telephone Number |
| a. Firm's Name | | |
| b. Mailing Address | | |
| c. City and Zip Code | | f. Fax Number |
| d. e-mail address | | |
| 4. Developer's Name | | c. Telephone Number |
| a. Mailing Address | | |
| b. City and Zip Code | | a. Fax Number |
| 5. Development Name | | |
| a. Street Address | | |
| b. City and Zip Code | | |
| c. Ownership Entity | | |
| 6. Program Category | 7. Project Number | 8. Project Name |
| C | 1 | 9. CDBG Funds Requested |
| | | \$ |
| 10. Certification by the Chief Elected Official | | |
| a) I certify that to the best of my knowledge and belief: <ol style="list-style-type: none"> 1. Data in this application is true and correct, 2. Opportunities have been provided for citizen participation and access to information concerning the proposed activities, 3. This document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached certifications and state standards if the assistance is approved. | | |
| b) I acknowledge that, if funded, this application is part of the Grant Agreement. | | |
| a. Typed Name of Chief Elected Official ➤ | | |
| b. Typed Title ➤ | | |
| c. Signature ➤ | | |
| d. Typed Date ➤ | | |
| For REDD Use Only | | |
| Date Received: | | Application Number: |

NC Neighborhood Revitalization PROGRAM CATEGORY SELECTION FORM

Select Proposed Activities

☐ Housing Rehabilitation Activities

- ☐ **Rehabilitation (Only)** to take an existing unit and bring it up to the required standards set By HUD and REDD. To qualify as rehabilitation, parts of the existing house must be used in the process.
- ☐ **Rehabilitation with Clearance, Temporary Relocation, and Reconstruction.**
- ☐ **Substantial Rehabilitation (only).**
- ☐ **Substantial Rehabilitation with Clearance, Temporary Relocation, and Reconstruction.**
- ☐ **Emergency Home Repairs.** The completion of limited repairs and removing imminent health and safety hazards and/or barriers to habitability in their homes. Work may include the following:
 - ☐ Plumbing repairs,
 - ☐ Structural repairs where hazards exist,
 - ☐ Electrical repairs where hazards exist,
 - ☐ Bath repairs where hazards exist,
 - ☐ Roof repair and replacement,
 - ☐ Repair and replacement of heating systems,
 - ☐ Wheelchair ramps,
 - ☐ Hand railings and grab bars,
 - ☐ Kitchen and bathroom adaptations, and
 - ☐ Doorway widening.

☐ PUBLIC FACILITIES AND IMPROVEMENTS TO ADDRESS SPECIAL NEEDS

Note: Public Facilities are required to be owned by the local unit of government. However, Non-profits may also own and operate the building if the building is open to the general public. Also, the local government will need to have lien on the property and Legally Binding Commitment which includes the applicable contract provisions.

Please check the type of Public Facility or Improvement below (The activities listed below must be completed in conjunction with an eligible housing activity).

- ☐ Senior Center
- ☐ Housing for Homeless Persons
- ☐ Housing or Shelters for Victims of Domestic Violence
- ☐ Transitional Housing Facility
- ☐ Community/Neighborhood/Recreation Facility
- ☐ Other (Please specify.) _____

Please check the eligible NC Neighborhood activity(ies) below for Public Facilities.

- ☐ Acquisition
- ☐ Construction
- ☐ Reconstruction
- ☐ Rehabilitation
- ☐ Installation of public facilities and improvements
- ☐ Removal of material and architectural barriers that restrict the mobility and accessibility of elderly or severely disabled persons to public facilities and improvements, including those provided for in § 570.207(a)(1).)
- ☐ Inclusion of design features and improvements which promote energy efficiency may be included.
- ☐ Inclusion of the execution of architectural design features, and similar treatments intended to enhance the aesthetic quality of facilities and improvements receiving CDBG assistance, such as decorative pavements, railings, sculptures, pools of water and fountains, and another works of art.
- ☐ Facilities designed for use in providing shelter for persons having special needs are considered public facilities and not subject to the prohibition of new housing construction described in § 570.207(b)(3). Such facilities include shelters for the homeless; convalescent homes; hospitals, nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally retarded persons and temporary housing for disaster victims.
- ☐ Improvements such as parks, playgrounds, and greenways.

Housing Development

☐ **Single-Family Homeownership Developments**

- ☐ Installation of public infrastructure
- ☐ Removal of hazardous material
- ☐ Land acquisition (vacant only)

☐ **Multi-Family Rental Housing Developments**

The following activities are allowed under this category:

- ☐ Rehabilitation (including substantial rehabilitation and reconstruction),
- ☐ Disposition,
- ☐ Acquisition,
- ☐ Demolition,
- ☐ Clearance,
- ☐ Historic vacant building acquisition (on a case-by-case basis) by for profit or non-profit developer
- ☐ Historic vacant building rehabilitation (on a case-by-case basis)
- ☐ Rent- to-own (RTO).
- ☐ Relocation, and
- ☐ Emergency repair.

Water and Sewer Connections to Existing Housing

□ Water and Sewer Connections to Existing Housing

Eligible Activities for Water and Sewer Connections

- G. Tap-on or assessment fee to connect to the line
- H. The service connection for the private property
- I. Use of special equipment such as grinder pumps or vacuum pits to transport residential wastewater to the existing sewer lines
- J. Cost to remove septic tanks or cap wells, as required by the health department
- K. Repairs for leaking water pipes if it is documented that the leaking pipes are a result of connecting to the public water line
- L. Other problems caused by the installation of public water or sewer must be requested in writing by the grantee and approved in writing by REDD

PUBLIC INFORMATION FOR NC NEIGHBORHOOD

Name of Applicant: _____

Allocation Region: _____

| |
|-------------------|
| Not Applicable |
|-------------------|

General Information

Applicant Funds Committed: _____

NC Senate District
Number

Percentage of Project Benefit to LMI Families _____

%

NC House District
Number

C-1: Proposed Activities and Project Information

(both CDBG and non-CDBG funded activities)

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|-------------------|--|--------------------|--|-------------------------|--|---|--|------------------------|--|-----------------------|--|------------------------------|--|----------------------|--|---|--|------------------|--|------------|--|---------------------|--|--|---|--|--|------------------------|--|-----------------------------------|--|-------------------------|--|--|--|-----------------------------------|--|-------------------------|--|---|--|---|--|-----------------------------|--|------------------------------------|--|--------------------------------|--|
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="height: 40px;">Number of Owners:</td><td style="width: 10%;"></td></tr> <tr><td style="height: 40px;">Number of Tenants:</td><td></td></tr> <tr><td style="height: 40px;">Number of Vacant Units:</td><td></td></tr> <tr style="background-color: #92d050;"> <td colspan="2">On-Site Wastewater Problems (Give number of occupied units with problem:)</td> </tr> <tr><td style="height: 40px;">Outhouses/Pit Privies:</td><td></td></tr> <tr><td style="height: 40px;">No Wastewater System:</td><td></td></tr> <tr><td style="height: 40px;">Black Water Straight Piping:</td><td></td></tr> <tr><td style="height: 40px;">Failed Septic Tanks:</td><td></td></tr> <tr style="background-color: #92d050;"> <td colspan="2">On-Site Water Problems (Give number of occupied units with problem)</td> </tr> <tr><td style="height: 40px;">No water supply:</td><td></td></tr> <tr><td style="height: 40px;">Dry wells:</td><td></td></tr> <tr><td style="height: 40px;">Contaminated water:</td><td></td></tr> </table> | Number of Owners: | | Number of Tenants: | | Number of Vacant Units: | | On-Site Wastewater Problems (Give number of occupied units with problem:) | | Outhouses/Pit Privies: | | No Wastewater System: | | Black Water Straight Piping: | | Failed Septic Tanks: | | On-Site Water Problems (Give number of occupied units with problem) | | No water supply: | | Dry wells: | | Contaminated water: | | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr style="background-color: #92d050;"> <td colspan="2">Water (Give number for the following:)</td> </tr> <tr><td style="height: 40px;">Total Wells Installed:</td><td></td></tr> <tr><td style="height: 40px;">Total Linear Feet of Water Lines:</td><td></td></tr> <tr><td style="height: 40px;">Total Units to Hook Up:</td><td></td></tr> <tr style="background-color: #92d050;"> <td colspan="2">Sewer (Give numbers for the following :)</td> </tr> <tr><td style="height: 40px;">Total Linear Feet of Sewer Lines:</td><td></td></tr> <tr><td style="height: 40px;">Total Units to Hook Up:</td><td></td></tr> <tr><td style="height: 40px;">Total On-Site Wastewater Systems Installed:</td><td></td></tr> <tr style="background-color: #92d050;"> <td colspan="2">Streets (Give numbers for the following:)</td> </tr> <tr><td style="height: 40px;">Linear Feet of New Streets:</td><td></td></tr> <tr><td style="height: 40px;">Linear Feet of Resurfaced Streets:</td><td></td></tr> <tr><td style="height: 40px;">Total Linear Feet for Streets:</td><td></td></tr> </table> | Water (Give number for the following:) | | Total Wells Installed: | | Total Linear Feet of Water Lines: | | Total Units to Hook Up: | | Sewer (Give numbers for the following :) | | Total Linear Feet of Sewer Lines: | | Total Units to Hook Up: | | Total On-Site Wastewater Systems Installed: | | Streets (Give numbers for the following:) | | Linear Feet of New Streets: | | Linear Feet of Resurfaced Streets: | | Total Linear Feet for Streets: | |
| Number of Owners: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of Tenants: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Number of Vacant Units: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| On-Site Wastewater Problems (Give number of occupied units with problem:) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Outhouses/Pit Privies: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| No Wastewater System: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Black Water Straight Piping: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Failed Septic Tanks: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| On-Site Water Problems (Give number of occupied units with problem) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| No water supply: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dry wells: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Contaminated water: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Water (Give number for the following:) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Wells Installed: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Linear Feet of Water Lines: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Units to Hook Up: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sewer (Give numbers for the following :) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Linear Feet of Sewer Lines: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Units to Hook Up: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total On-Site Wastewater Systems Installed: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Streets (Give numbers for the following:) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Linear Feet of New Streets: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Linear Feet of Resurfaced Streets: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Linear Feet for Streets: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | |
|---|--|
| Non-potable water: | |
| Springs: | |
| Unapproved wells: | |
| Housing (Give number for the following :) | |
| Total Units Rehabilitated: | |
| Total Units/Parcels Acquired: | |
| Total Households Relocated: | |
| Total Lots Disposed: | |
| Total Dilapidated Units Cleared: | |

| | |
|---|--|
| Total Units Benefiting: | |
| Flood/Drainage (Give numbers for the following :) | |
| Linear Feet of Ditching: | |
| Linear Feet of Pipe: | |
| Total Linear Feet for Flood/Drainage: | |
| Total Units Benefiting: | |

| Activities | Provide the Number of Households to be Assisted |
|---|---|
| Targeted or Scattered Site Housing | |
| • Rehabilitation | |
| • Reconstruction | |
| • Relocation | |
| ▪ Acquisition | |
| ▪ Clearance | |
| ▪ Disposition | |
| Emergency Repairs | |
| On-Site Water | |
| • Well installation | |
| • Well repair | |
| • Connect to public water | |
| On-Site Septic Tank | |
| • Install new septic tank | |
| • Repair to existing septic tank | |
| • Connect to public sewer | |
| Hook-Ups | |
| • Public Water | |
| • Public Sewer | |

PROJECT DESCRIPTION- *NC Neighborhood Revitalization*

The project description must contain the following information and should answer the following questions. Limit total responses to 4 pages.

Project Title:

Project Overview:

The applicant must provide a brief summary of the proposed project.

1. What are the community development needs? Include a description of the housing and infrastructure needs of the lead applicant and Council of Government (COG) region.
2. What is the proposed scope of this project?
3. What livability principle(s) are most applicable to the proposed project?
4. How will this be done?

Partners:

1. Who are the project partners and explain the significance of the project partners and how their involvement will bolster the success of the project? Partnerships are strongly encouraged.
2. What will be the level of effort and cost of these services? Include local match and in-kind services in the description. A match is not required under this program but, it will be favorably considered during the evaluation process. **NOTE: Be sure the costs that are discussed here align with the proposed budget submitted with this application.**

Expected Results and Outcomes:

1. What are project objectives and desired outcomes? Be specific, action-focused, achievable within grant period, realistic, and time-bound.
2. How does the project act as a neighborhood to spur economic and community development growth?
3. Attach the Accomplishment and Beneficiaries form for each NC Neighborhood activity except planning and administration.

Project Administration and Capacity:

1. What is the applicant's administrative capacity to manage the grant financially and to comply with CDBG program requirements?
2. What is the relationship between the applicant and other participants, other local governments, public and private sector organizations? Are they committed to the project? (Include letters of support, as applicable).
3. Who will oversee and coordinate the project and how will parties be selected to carry out funded work?
4. List the key players for the local government and partners to carry out the project. Include an organizational chart, a description of duties for each player's, and a resume.

SOURCES AND USES OF FUNDS CHART

| Sources | CDBG | Local Gov't | Other Source 1 | Other Source 2 | Total |
|--------------------------------|------|-------------|----------------|----------------|-------|
| | | | | | |
| Uses | | | | | |
| 1. Acquisition | | | | | |
| 2. Administration | | | | | |
| 3. Architectural Barriers | | | | | |
| 4. Clearance Activities | | | | | |
| 5. Code Enforcement | | | | | |
| 6. Disposition | | | | | |
| 7. Fire Protection | | | | | |
| 8. Flood & Drainage | | | | | |
| 9. Historic Preservation | | | | | |
| 10. Machinery & Equipment | | | | | |
| 11. Neighborhood Facility(ies) | | | | | |
| 12. Other Activities | | | | | |
| 13. Other Public Facilities | | | | | |
| 14. Parking Facilities | | | | | |
| 15. Parks & Playgrounds | | | | | |
| 16. Pedestrian Improvements | | | | | |
| 17. Planning | | | | | |
| 18. Public Services | | | | | |
| 19. Public Utilities | | | | | |
| 20. Rehabilitation-Private | | | | | |
| 21. Rehabilitation-Public | | | | | |
| 22. Relocation Assistance | | | | | |
| 23. Sr. Handicapped Centers | | | | | |
| 24. Sewer Improvements | | | | | |
| 25. Solid Waste Facility(ies) | | | | | |
| 26. Street Improvements | | | | | |
| 27. Water Improvements | | | | | |
| 28. Working Capital | | | | | |
| Total Uses | | | | | |

PROJECT BUDGET – NC NEIGHBORHOOD REVITALIZATION

| | | | |
|--|----------------------|-----------------------|--|
| 1. CDBG Grant Amount Requested | | | \$ |
| 2. Other Funds (List here.) | | | \$ |
| 3. Total Project Resources | | | \$ |
| 4. Activity | 5. CDBG Costs | 6. Other Costs | 7. Total Project Costs (Columns 5 + 6 = Column 7) |
| a. Acquisition | | | |
| b. Disposition | | | |
| c. Public facilities and improvements | | | |
| 1. Senior and handicapped centers | | | |
| 2. Parks, playgrounds and recreation facilities | | | |
| 3. Neighborhood facilities | | | |
| 4. Solid waste disposal facilities | | | |
| 5. Fire protection and equipment | | | |
| 6. Parking facilities | | | |
| 7. Public utilities other than water and sewer | | | |
| 8. [Reserved] | | | |
| 9. Street improvements | | | |
| 10. Flood and drainage improvements | | | |
| 11. Pedestrian improvements | | | |
| 12. Other public facilities | | | |
| 13. Public sewer improvements | | | |
| 14. Public water improvements | | | |
| d. Clearance activities (i.e., reconstruction and temporary relocation expenses.) Clearance items should appear on line d. | | | |
| e. Public services | | | |
| f. Relocation assistance | | | |
| g. Construction, rehabilitation and preservation activities | | | |
| 1. Construction or rehabilitation of commercial and industrial buildings | | | |
| 3. Rehabilitation of privately-owned dwellings (all rehabilitation of privately-owned dwellings activities should be included on this line item) | | | |
| 4. Rehabilitation of publicly owned dwellings | | | |
| 5. Code enforcement | | | |
| 6. Historic preservation | | | |
| h. Development financing | | | |
| 1. Working capital | | | |
| 2. Machinery and equipment | | | |
| i. Removal of architectural barriers | | | |
| j. Other activities | | | |
| SUBTOTAL | \$ | \$ | \$ |
| k. Planning (Included in 10% Cap minus Administration not to exceed \$3,500) | | | |
| l. Administration (10% cap of total Grant Amount Awarded) | | | |
| TOTAL | \$ | \$ | \$ |

| NC NEIGHBORHOOD REVITALIZATION BENEFIT: LOW AND MODERATE INCOME | | | | | | Name of Applicant: | | | |
|---|---------------------------------------|--|--|---|---|--------------------|--|---|---|
| 1. Activity | Total No. of Persons Benefiting 2. | No. of Low-Income Persons Benefiting 3. | % of Low-Income Persons Benefiting 4. | No. of Moderate-Income Persons Benefiting 5. | % of Moderate-Income Persons Benefiting 6. | CDBG Cost 7. | CDBG Funds to Benefit Low Income Persons 8. | CDBG Funds to Benefit Moderate Income Persons 9. | CDBG Funds to Benefit Low- & Moderate-Income Persons 10. |
| a. Acquisition | | | | | | | | | |
| b. Disposition | | | | | | | | | |
| c. Public facilities and improvements | | | | | | | | | |
| (1) Senior and handicapped centers | | | | | | | | | |
| (2) Parks, playgrounds and recreation facilities | | | | | | | | | |
| (3) Neighborhood facilities | | | | | | | | | |
| (4) Solid waste disposal facilities | | | | | | | | | |
| (5) Fire protection and equipment | | | | | | | | | |
| (6) Parking facilities | | | | | | | | | |
| (7) Public utilities other than water and sewer | | | | | | | | | |
| (8) [Reserved] | | | | | | | | | |
| (9) Street improvements | | | | | | | | | |
| (10) Flood and drainage improvements | | | | | | | | | |
| (11) Pedestrian improvements | | | | | | | | | |
| (12) Other public facilities | | | | | | | | | |
| (13) Public sewer improvements | | | | | | | | | |
| (14) Public water improvements | | | | | | | | | |
| d. Clearance activities | | | | | | | | | |

| NC Neighborhood Benefit: Low and Moderate-Income Page 2 | | | | | | Name of Applicant: | | | |
|---|---|--|--|--|--|--------------------|---|---|--|
| 1. Activity | Total No. of Persons Benefiting 2. | No. of Low- Income Persons Benefiting 3. | % of Low- Income Persons Benefiting 4. | No. of Moderate- Income Persons Benefiting 5. | % of Moderate- Income Persons Benefiting 6. | CDBG Cost 7. | CDBG Funds to Benefit Low Income Persons 8. | CDBG Funds to Benefit Moderat e Income Persons 9. | CDBG Funds to Benefit Low- & Moderate- Income Persons 10. |
| e. Public services | | | | | | | | | |
| f. Relocation assistance | | | | | | | | | |
| g. Construction, rehabilitation and preservation activities | | | | | | | | | |
| (1) Construction or rehabilitation of commercial & industrial buildings | | | | | | | | | |
| (2) Rehabilitation of privately-owned dwellings | | | | | | | | | |
| (3) Rehabilitation of publicly owned dwellings | | | | | | | | | |
| (4) Code enforcement | | | | | | | | | |
| (5) Historic preservation | | | | | | | | | |
| h. Development financing | | | | | | | | | |
| (1) Working capital | | | | | | | | | |
| (2) Machinery and equipment | | | | | | | | | |
| i. Removal of architectural barriers | | | | | | | | | |
| j. Other activities | | | | | | | | | |
| k. TOTAL | | | | | | \$ | \$ | \$ | \$ |
| <div>PROJECT INDIVIDUAL BENEFIT</div> <div>Column 10, Row k ()</div> <div>_____ X 100 =</div> <div>Column 7, Row k ()</div> | | | | | | | | | |

COMMUNITY DEVELOPMENT PLAN

The applicant must provide a narrative statement describing its community development and housing needs including the needs of low and moderate-income households in quantifiable terms as well as short and long-term activities to be undertaken to address these needs. Cite references used for statistical evidence. REDD will use this information to determine if the proposed project addresses community needs.

[The Community Development Plan must not exceed the three pages.]

1. What are the housing/ community development needs in your jurisdiction?
2. What are the housing/ community development needs of low and moderate-income persons in your jurisdiction?
3. What are the water and wastewater needs of low and moderate-income persons in your jurisdiction?
4. What are other community needs of low and moderate- income persons in your jurisdiction (streets, drainage, non-basic needs, etc.)?
5. What activities does your community plan to undertake to address the need(s) identified in questions 1-4 above?
 - a. Why were these need(s) selected for this project instead of other identified needs?
 - b. If funded, what will be the impact of the project?
6. Explanation of how does this project relates to other activities (current and future plans) in the jurisdiction, including the development of industrial and/or commercial sites, installation of water and sewer lines and facilities, force main lines, streets, etc.?

HOUSING DISTRIBUTION PLAN (Housing Rehabilitation Only)

PLANNING (Applies to all NC Neighborhood Revitalization Activities)

1. Describe the process the lead government used to engage all interested municipalities in the planning of the **NC Neighborhood Program**. Include specific information on what was done. (Attach documentation).
2. Describe the official actions taken by the lead government and municipalities regarding the **NC Neighborhood Program**.

ADMINISTRATIVE OVERSIGHT (Applies to all NC Neighborhood Revitalization Activities)

1. Describe the role and functions the lead local government will play in the implementation of the **NC Neighborhood Program**.
2. Describe the role and functions the interested municipal governments will play in the implementation of the **NC Neighborhood Program**.
3. List the names of the lead government staff providing direct oversight of the **NC Neighborhood Program**.
4. Describe how these persons identified in number 3 are to be employed, and their responsibilities. (Position descriptions may be attached).
5. If known, list the names of the Program Administrator and Rehabilitation Specialist.
6. Describe how these persons identified in question 5 are to be employed (staff, contract, subcontract, etc.), and their responsibilities. (Position descriptions may be attached).
7. List the names and titles of each member of your **NC Neighborhood Program** Selection Committee.
8. List the responsibilities of the **NC Neighborhood Program** Selection Committee.
9. Attach a copy of the By-Laws for the **NC Neighborhood Program** Selection Committee. The selection committee is required to have written minutes on file as part of the Committee process.

SELECTING AND PROCESSING APPLICANTS (Applies to Housing Rehabilitation Activities Only)

1. Describe the **NC Neighborhood Program**. Include explanation of what will be done, activities to be implemented and who will be served.
2. Include a list providing the names and addresses of the potential applicants and process used to select these applicants.
3. Describe how applications for assistance were taken.
4. Describe the process for the verification of income, assets, and property ownership.
5. Describe how eligible beneficiaries were prioritized and selected.

PROCUREMENT (Applies to all NC Neighborhood Activities)

1. Explain the procurement procedures that will be utilized to retain construction contractors.

FINANCIAL ASSISTANCE (Applies to all NC Neighborhood Activities)

1. Please state the type of financial assistance that will be offered-low interest, deferred loans, or deferred forgivable loans.
2. Please state the term and interest rate you will apply to **NC Neighborhood** loans.

3. Describe the recapture period using REDD parameters as presented in the ***NC Neighborhood Program*** guidelines. See Scattered Site Housing Financial Design Model in the guidelines, for specific information.
4. As of 2010, Grantees must review existing loan(s) on the property to determine whether or not the CDBG loan in conjunction with the existing loan(s) will create a situation that causes the loans to equal or exceed the value of the unit. In instances where this occurs, the grantee must inform the loan recipient of the circumstances in writing. Include this requirement as part of your ***NC Neighborhood Program*** financial design model description below.
5. Please identify your loan servicing agent and how they will be retained.
6. Describe your loan-servicing plan. Include items such as who will receive and post monthly payments, and how loan status will be tracked.
7. Explain your policy relative to defaults on loan payments.

CONSTRUCTION MANAGEMENT (Applies to Housing and Public Facilities Rehabilitation, Substantial Rehabilitation and Reconstruction Activities)

1. Describe your inspection process. Please include an explanation of the various individuals involved (Rehab Specialist, Local Building Official, and Homeowner).
2. Please distinguish between the preliminary work write-up inspection, construction inspections, payment inspection, and final inspection phases of the process.
3. Describe your construction payment procedures. Please specify what documentation is used and what approvals are required.
4. Describe how your program will ensure that construction work is done in a timely, cost effective manner with minimal disruption to the homeowner.
5. Describe the process and the rehabilitation standards that will be used.
6. Describe the role of the Program Administrator in establishing the eligibility of all rehabilitation work to be completed.
7. Describe how you involved the beneficiaries in the Rehabilitation Process (i.e., Exterior/Interior colors, the selection of kitchen cabinet style/colors, and flooring)? Explain.

FINANCIAL MANAGEMENT (Applies to all NC Neighborhood Activities)

1. Describe how you track the receipt and expenditure of ***NC Neighborhood Program*** funds.
2. Describe how you will track, manage and use program income. Refer to the State CDBG
3. Regulations at 04 NCAC 19L.0907 Program Income, regarding retaining Program Income.
4. List your planned schedule of production. Include a count of how many households you plan to assist given your budget.
5. Identify the estimated cost per unit to be assisted. Explain the basis for the cost i.e. materials, labor, lead-based paint etc.

DRAWDOWN PLAN (Applies to all NC Neighborhood Activities)

1. REDD encourages grantees to draw down CDBG funds monthly. This question is designed to identify any known gaps in drawdown. Please include and clearly identify the use of CDBG funds and the timeline over the project period for drawing down the funds. Also, please state whether the applicant (i.e., the local unit of government will use the Reimbursement or Advance (3-day rule applies) method of payment.

LEAD-BASED PAINT (Applies to all NC Neighborhood Activities)

1. Identify the strategy that will be taken to reduce Lead-Based Paint hazards. Please refer to the ***NC Neighborhood Program*** guidelines for information concerning Lead-Based Paint regulations.

CONFLICT OF INTEREST CHECKLIST

To assist applicants with determining if a potential conflict of interest exists, as defined in 24 CFR Part 570.489 (h), please provide responses to the following questions. For any “yes” response, refer to Bulletin 10-8 for next steps.

1. Does any person involved with this potential CDBG project have family or business ties with any of the local government elected officials or local government staff?

☐ **Yes** ☐ **No**, if yes, please describe.
2. Has any person involved with this potential CDBG project requested or received an opinion about a potential conflict of interest from an attorney or from the North Carolina Ethics Commission?

☐ **Yes** ☐ **No**, if yes, please describe.
3. Does any person involved with this potential CDBG project have an ownership interest in an entity that is directly affected by activities proposed in the application?

☐ **Yes** ☐ **No**, if yes, please describe.
4. Will any person involved with this potential CDBG project derive any income or commission as a direct result of action taken by the local government elected board or its staff?

☐ **Yes** ☐ **No**, if yes, please describe.

FEDERAL REQUIREMENTS AND CERTIFICATIONS

The applicant hereby assures and certifies that:

- a) It will comply with all applicable federal and state laws, regulations, rules and Executive Orders.
- b) It possesses legal authority to apply for the grant, and to execute the proposed program.
- c) 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 identified as the official representative of the applicant to act about the application and to provide such additional information as may be required.
- d) It is following a detailed, written citizen participation plan which will provide opportunities for citizen participation, hearings, and access to information with respect to its community development program that are comparable to those required of grantees under Section 104(a) of the Act and in accordance with Rule .1002 of the North Carolina Community Development Block Grant Administrative Rules.
- e) Its chief elected official or other officer of the applicant if assistance is approved by Rural Economic Development Division:
 - 1) Consents to assume the status of the “responsible Federal Official” as that term is used in Section 102 of the National Environmental Policy Act (NEPA), Section 104(f) of Title 1 of the Housing and Community Development Act of 1974, as amended, and other provisions of Federal law, as specified in 24 CFR 58.5 which further the purposes of NEPA.
 - 2) Is authorized and consents on behalf of the applicant and himself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his responsibilities as such an official.
 - 3) Consents to review and comment on all Environmental Impact Statements prepared for Federal projects which may have an impact on the applicant’s/recipient’s community development program.
 - 4) Consents to perform all coordination functions required under 24 CFR Part 58 and 40 CFR Parts 1500-1508.
- f) The **NC Neighborhood Program** has been developed to give maximum feasible priority to activities which will benefit low and moderate-income families or aid in the prevention or elimination of slums and blight. The requirement for this certification will not preclude Commerce from approving an application where the applicant certifies, and Commerce determines, that all or part of the **NC Neighborhood Program** activities are designed to meet other community development needs having urgency as specifically explained in the application in accordance with Section .0800 of 4 NCAC 19L of the North Carolina Administrative Code.
- g) Its program will be conducted and administered in conformity with Public Law 88-352 and Public Law 90-284, and that it will affirmatively further fair housing.
- h) It will comply with all provisions of 4 NCAC 19L of the North Carolina Administrative Code, entitled North Carolina Community Development Block Grant Program.
- i) It will give Commerce, HUD and the Comptroller General through any authorized representative access to and the right to examine all records, books, papers or documents related to the grant.

- j) 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.
- k) It will follow a residential anti-displacement and relocation assistance plan that is in accordance with the provisions of Section 104(d) and all other provisions of the Act.
- l) It will not attempt to recover any capital costs of public improvements assisted in whole or part under Section 106 of the Act or with amounts resulting from a guarantee under Section 108 of the Act by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged to assessment made as a condition of obtaining access to such public improvements, unless (i) funds received under Section 106 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 low and moderate income who are not persons of very low income, the grantee certifies to the Secretary or such State, as the case may be, that it lacks sufficient funds received under Section 106 to comply with requirements of clause (i).
- m) It has or will develop a plan that identifies community development and housing needs, including the needs of low and moderate-income persons, and the activities to be undertaken to meet such needs.
- n) Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with 24 CFR Part 35.
- o) When issuing statements, press releases, request for proposals, bid solicitation and other documents describing the above-mentioned program such as the environmental review, public hearings, fair housing notices, etc., it shall clearly state:
 - 1) The percentage of the total cost of the project which will be financed with CDBG money, and
 - 2) the dollar amount of CDBG funds for the project.
- p)
 - 1) 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 contract, 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.
 - 2) 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 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.
 - 3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grant, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

- q) 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 has adopted and is enforcing a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction in accordance with Section 519 of Public Law 101-144, (the 1990 HUD Appropriations Act).
- r) All project areas are either not in a floodplain, or if the project area is in a floodplain, the applicant participates in the flood insurance program. All properties assisted in the project will be covered for flood insurance prior to beginning construction, and all public facilities will be constructed to comply with applicable floodplain regulations.

CERTIFICATION OF ABILITY

The Town/City/County of _____ hereby certifies its ability to meet Federal Performance and Procurement Requirements with Certification as further expanded in the preceding attachments.

**Name of Chief Elected
Official**

Title

Signature

Date

Disclosure Report Instructions

Who should complete the report:

All applicants who expect to receive an aggregate amount of covered federal assistance for a project or activity that exceeds \$200,000 are required to make certain disclosures. State CDBG funds are covered by the requirement, as are most other programs where funds are administered by or passed through the U.S. Department of Housing and Urban Development. Therefore, all applicants of more than \$200,000 in State CDBG funds, including anticipated program income, should complete the report. In addition, any applicants to a State grantee for a sub grant should complete the report if more than \$200,000 in covered assistance is or can reasonably be anticipated. The requirement addresses the aggregate amount of assistance. Therefore, if the applicant anticipates less than \$200,000 in CDBG assistance but, intends to combine the funds with enough other covered assistance (such as Section 8 project-based Housing Assistance Payments) to exceed \$200,000 in total assistance, the applicant must make the disclosures. Any applicant/recipient who is required to complete a disclosure report for another agency in conjunction with a project assisted with State CDBG funds may submit a copy of that disclosure report to the Rural Economic Development Division rather than completing a separate report.

Recipients who have previously filed disclosure reports must file update reports if the information in the original report changes either because of later developments subject to disclosure, or because of changes in the amount of government assistance, the sources of funds, or the uses of funds equal to the lower of \$250,000 or 10 percent of the applicable base (usually total project costs), or because of an increase in the financial interest of a person equal to the lower of \$50,000 or 10 percent of such interest.

Detailed Instructions:

1. Enter the name, address, and telephone number, including area code, of the applicant or recipient.
2. Indicate whether the report is an initial report or an update report.
3. Enter the Social Security Number or the Employer Identification Number of the applicant or recipient.
4. Enter the project name and indicate the location as detailed and specific as possible. In the case of update reports, give the CDBG grant number.
5. Enter the total amount of assistance being requested as stated in the application, including anticipated program income. In the case of update reports, enter the total amount of assistance provided per the funding approval and anticipated program income.
6. Indicate whether other government assistance is being provided, or can reasonably be expected to be provided, for the project. Other government assistance includes any loan, grant, guarantee, insurance payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government, a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is being sought.

If other government assistance is provided, or expected to be provided for the project, all such assistance must be disclosed on attachments incorporated into the report. The disclosures should list the granting agency, the program and type of assistance (e.g., grant, loan, guarantee), and the amount expected to be made available.

Disclosures need only be made once, so that if this information is given in the Sources and Uses attachments, this may be indicated by checking the appropriate blank under “6. Other Government Assistance” on the Attachments page of the report.

7. Indicate whether there are persons with a reportable financial interest in the project. “Person” means an individual, corporation or business, unit of general local government or other governmental entity or agency or any other organization or group of people. A reportable financial interest is any financial involvement in the project including equity interest, shares in any profit on resale or distribution of cash or other assets, or receipt of compensation for goods or services provided in connection with the project or activities, which can be expected to exceed the lower of \$50,000 or 10 percent of the assistance sought. Compensation for performance of a contract procured under Federal procurement regulations is not, by itself, a covered financial interest. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

If there are parties with a reportable financial interest, the name and pecuniary interest of the parties must be disclosed in referenced attachments. If the party is an entity such as a unit of government or a corporation, the disclosure must include an identification of each officer, director, and/or principal stockholder. The pecuniary interest disclosure must include the type of participation (such as owner, contractor, investor) and the amount of the financial interest expressed both as a dollar amount and as a percentage of the amount of assistance involved.

8. Reference the statement or statements attached to the report showing the sources and uses of the funds available for, or expected to be available for, the project. Disclosure must be made of the gross amount of funds from all sources, including both governmental and non-governmental sources of funds and private capital resulting from tax benefits. For most projects, the financial forms in the appropriate guidelines will be adequate to document sources and uses. Please note, however, that if the “Other Government Assistance” disclosure section references the Sources and Uses Disclosures, then these Disclosures must identify the program and type of assistance.
9. Certification: The signatory certifies that all information in the report is complete and accurate. That is, except as disclosed in the report and attachments, there is no other government assistance, no other interested parties, and no other sources and uses of funds.

DISCLOSURE REPORT

1. Applicant/Recipient Name, Address, and Phone:
2. **Check One:** ☐ Initial Report ☐ Update Report
3. **Social Security Number or Employer ID Number:** _____
4. **Project Name and Location:**
5. **Total Amount requested/received** (including anticipated program income):
\$ _____
6. **Other government assistance.** (Check One):
_____ No other government assistance is, or is expected to be, provided for this project
_____ All other government assistance provided for this project is listed on the table below/attached page(s).

(Note: Disclosures must be complete and accurate but, need to be made only once for this report. If assistance is reported in the Sources and Uses disclosure section, then it need not also be reported here. If there is assistance reportable here, but reported only in the Sources and Uses disclosure, (check here):

_____ Assistance is disclosed in Sources and Uses Attachments

| <u>Agency Name and Address</u> | <u>Program and Type of Assistance</u> | <u>Amount Requested/Received</u> |
|--------------------------------|---------------------------------------|----------------------------------|
| | | |
| | | |
| | | |

7. **Interested Parties.** (Check One):
_____ No parties have a reportable financial interest in this project. Interested parties include developers, contractors, consultants, individuals, entities including units of government with a financial interest greater than \$50,000 or 10 percent of the assistance (whichever is lower; being a party to a contract procured under Federal procurement regulations at 2 CFR Part 200 does not, by itself, constitute a reportable financial interest).
_____ All parties with a reportable financial interest are listed on table below/attached page(s).

| <u>Name and Address</u> | <u>Type of Participation</u> | <u>Interest (\$ and %)</u> |
|-------------------------|------------------------------|----------------------------|
| | | |
| | | |
| | | |

8. All expected sources of funds available or expected to be available for the project or activity and all reportable uses of funds are included in the application for funds and on the following forms (check all that apply):

- ☐ CDBG **PROJECT BUDGET**
- ☐ CDBG **LOCAL COMMITMENT FORM**
- ☐ Other Attachment(s). Describe: _____

9. **Certification:**

I hereby certify that all information in this report and its attachments is true and complete.

Signature

Date

STATE CDBG PROGRAM REGULATIONS

Citizen Participation

If funded, the grantee will have documentation on file of compliance with citizen participation requirements in the application process 4 NCAC 19L. 1002 (b): publisher's affidavits of notices and minutes signed by the town or county clerk of the two required public hearings.

Project Administration

- The grantee is responsible for CDBG oversight. If funded, the grantee will supervise the implementation of the project as follows:
- The local government manager reviews and signs off on all project reports.
- The project administrator or local government staff will present and give at least quarterly written status reports to the elected board. A signed copy of the quarterly report must be submitted to the grant representative for review.
- At least two persons from the local government listed on the signatory cards will review and sign off on invoices and requests for payment.
- Maintain all project files at the local government offices and make them available to citizens during regular business hours.

Audits/Compliance

CDBG grantees expending \$25,000 or more in a fiscal year are required to have funds audited for the CDBG program. CDBG funds can be used to pay for the CDBG portion of the audit provided the grantee has expended \$500,000 or more in the fiscal year in total federal awards (CDBG and other federal funds). If the grantee has expended less than \$500,000 in total federal awards, the grantee may budget local funds in the administrative line item in the CDBG application to pay for the CDBG portion of the audit and claim the local administrative funds as local commitment.

Housing

- ❑ **Substantial Rehabilitation:** Any rehabilitation cost above \$44,000 per unit or \$42 per square foot which would include the Lead Based Paint cost and any other additional funds is considered substantial rehabilitation and requires the prior approval of REDD.
- ❑ **Manufactured Homes Policy:** Manufactured homes rehabilitated with CDBG funds must be converted into real property (per G.S. 105-273 paragraph 13) that is owned and occupied by the homeowner prior to any rehabilitation.

The CDBG assistance must be secured by a Note and Deed of Trust at the time of rehabilitation. The maximum amount that may be spent rehabilitating a manufactured home is \$20,000. No CDBG funds may be spent to rehabilitate any manufactured home built prior to 1978.

In addition, the grantee will adhere to the following:

1. Adopt a financial design for rehabilitation that meets the minimum REDD criteria. The financial design must be submitted to REDD for review.

2. Prior to rehabilitating a house with a pit privy/outhouse or no wastewater disposal system, if public sewer is unavailable, contact the local health department for a determination whether the property can be permitted for an on-site wastewater system. If not, the family should be relocated.
3. Clear titles as required in the application.
4. Work with the State Health Hazard Control Unit and local government departments to comply with federal and state lead-based paint requirements. In addition, ensure rehabilitation design will address lead-based paint hazards.
5. Voluntary withdrawal from the program, document with evidence on file.
6. Establish and implement a home maintenance program to instruct occupants of rehabilitated houses, including (1) maintenance of any on-site wastewater systems and/or wells or (2) maintenance of newly installed indoor plumbing.
7. Install water saving devices in houses with on-site septic tanks. If facets need to be replaced install a water saving device. See Bulletin 02-5, Low Flow Plumbing Fixtures
8. If undertaking voluntary clearance, document with evidence on file that property owners are aware of and agree to voluntary clearance.
9. If undertaking rehabilitation, acquisition and/or clearance of dwellings, comply with state notification, certification and disposal requirements for asbestos.
10. If acquiring property with a dwelling, maintain a plan for residential reuse of the residential property.
11. If undertaking temporary or permanent relocation, budget adequate funds based on the costs of housing in the area.
12. If abandoning outhouses or septic tanks, budget adequate funds to cover related costs in accordance with state and local health department regulations.
13. Establish a written recipient referral procedure to address non-CDBG needs (i.e. social services, credit counseling, employment etc.)
14. Low and moderate beneficiaries may not be charged for tap fees or assessments for water or sewer improvements.
15. All items rehabilitated, if required under the building code, must be permitted and inspected.
16. Procurement and bid request for rehabilitation should include a section that describes the estimated man hours expended on the project. It should include both administration and labor.

Housing

When using CDBG funds for housing activities, if funded, grantee will adhere to the following: Comply with the new Lead-Based Paint regulations 24 CFR Part 35, the Lead-Based Paint Poisoning Prevention Act and the “Lead-Based Paint Hazard Reduction Guidelines for North Carolina Small Cities Community Development Block Grant Recipients” published by Rural Economic Development Division.

Program Income

If the local government makes a loan to the developer, a plan for reuse of program income will be developed and subject to REDD approval.

Legally Binding Commitment (LBC)

The local government will develop and execute a LBC with the non-profit or for-profit developer subject to REDD requirements.

The applicant hereby assures and certifies that by his/her signature, its duly authorized official has read and understands the State CDBG Program Standards and, if funded, will adhere to all standards applicable to the funded project.

**Name of Chief Elected
Official**

Title

Signature

Date

DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS

The Town/City/County of _____ hereby assures and certifies that there are no open, unresolved or pending Civil Rights Lawsuits against the participating local governments in this Neighborhood Revitalization Program **(NC Neighborhood)**.

Name of Chief Elected

Official

Title

Signature

Date

Instructions for Debarment Certifications

1. By signing and submitting this form, the prospective participant is providing the certification set out on the “Certification Regarding Debarment, Suspension and Other Responsibility Matters” in accordance with these instructions.
2. Consequences of False Certification - The certification is a material representation of fact upon which reliance was placed when this transaction was entered. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. Errors in Certifying. - The prospective participant shall provide immediate written notice to the person to which this proposal is submitted if, at any time, the prospective participant learns that its certification was erroneous when submitted or has become erroneous because of changed circumstances.
4. Definitions and Further Guidance - The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause have the meanings set out in the Definitions and Coverage section of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations or you may refer to the *Federal Register*, Vol. 70, No. 168, pages 51863 –51880.
5. Certification Extends to Subcontractors - The prospective participant agrees by submitting this form that, should the proposed covered transaction be entered, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. Certification Included in Subcontracts - The prospective participant further agrees by submitting this form that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. Reliance on Certification - A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transition, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-Procurement List.

8. New System of Records Not Required - Nothing contained in the foregoing should be construed to require establishment of a system of records to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Consequences for Use of Ineligible Sub grantees - Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Applicants should refer to the regulations cited on page 67. Applicants should also review the instructions for certification included in the regulations before completing this form, signature on this form provides for compliance with certification requirements implementing Federal Executive Order 12549 and guidance issued in the *Federal Register*, Volume 70, No. 168, pages 51863 through 51880 for "Government wide Debarment and Suspension (Non-procurement)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Rural Economic Development Division determines to award the covered transaction, grant or cooperative agreement. As required by Executive Order 12549, Debarment and Suspension, for prospective participants in primary covered transactions:

- 1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency;
 - b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).

| | |
|--|--------------------------------------|
| Name of Applicant/Grantee | Grant Number and Project Name |
| Printed Name and Title of Authorized Representative | |
| Signature | Date |

SAMPLE: Implementation Schedule

ACTIVITIES IMPLEMENTATION SCHEDULE -SAMPLE

Name of Applicant:

Month 1 begins as of the date of REDD Director's signature on the Grant Agreement and Funding Approval.

List activities to be implemented and put a "X" in the columns for the beginning and ending months and connect with a straight line. Activities should correspond to those on the Budget.

| Activities | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 |
|---|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|
| 1. Grant Agreement/ Funding Approval | X | | | | | | | | | | | | | | |
| 2. Environmental Review | X | X | | | | | | | | | | | | | |
| 3. Clearing conditions | X | — | X | | | | | | | | | | | | |
| 4. Public Water | | | | X | — | — | — | — | — | — | — | X | | | |
| 5. Public Sewer | | | | X | — | — | — | — | — | — | — | — | X | | |
| 6. | | | | | | | | | | | | | | | |
| 7. | | | | | | | | | | | | | | | |
| 8. Closeout of Grant | | | | | | | | | | | | | | | X |

ACTIVITIES IMPLEMENTATION SCHEDULE

Name of Applicant:

Month 1 begins as of the date of REDD Director's signature on the Grant Agreement and Funding Approval.

List CDBG and non-CDBG activities to be implemented for both C-1 and L-1 and put an "X" in the columns for the beginning and ending months and connect with a straight line. CDBG Activities should correspond to those on the Budget and other packet forms. Add other activities as needed in the order they occur in the planning and development of the distribution plan.

| Activities | Months | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--------|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
| 1. Grant Agreement/ Funding Approval | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. Environmental Review | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. Clearing conditions | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 11. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 12. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 13. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 14. Closeout of Grant | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

ACTIVITY NUMBERS AND CODES

| Activity Name | Activity Number | Activity Code |
|---|-----------------|---------------|
| 1. Administration | 1060 | 13 |
| 2. Acquisition | 1002 | 1 |
| 3. Architectural Barriers | 1054 | 11 |
| 4. Clearance Activities | 1034 | 2 |
| 5. Code Enforcement | 1046 | 16 |
| 6. Disposition | 1004 | 1 |
| 7. Fire Protection | 1014 | 6 |
| 8. Flood and Drainage | 1024 | 4C |
| 9. Historic Preservation | 1048 | 16 |
| 10. Machinery/Equipment | 1052 | 16 |
| 11. Neighborhood Facilities | 1010 | 3 |
| 12. Other Activities | 1056 | 16 |
| 13. Other Public Facilities | 1028 | 6 |
| 14. Parking Facilities | 1016 | 6 |
| 15. Parks/Playgrounds | 1008 | 6 |
| 16. Pedestrian Improvements | 1026 | 6 |
| 17. Planning | 1058 | 12 |
| 18. Public Services | 1036 | 7 |
| 19. Public Utilities | 1018 | 7 |
| 20. Rehabilitation, Commercial | 1040 | 9B |
| 21. Rehabilitation, Private | 1042 | 9A |
| 22. Rehabilitation, Public | 1044 | 10 |
| 23. Relocation Assistance | 1038 | 8 |
| 24. Senior/Handicapped Centers | 1006 | 3 |
| 25. Sewer Improvements | 1030 | 4B |
| 26. Solid Waste Facilities | 1012 | 4B |
| 27. Street Improvements | 1022 | 6 |
| 28. Water and Sewer | 1020 | 4A, 4B |
| 29. Water Improvements | 1032 | 4A |
| 30. Working Capital | 1050 | 7 |
| Note: Reconstruction activities, Clearance activities related to Rehabilitation and Temporary Relocation related to Rehabilitation would all be classified under Rehabilitation. | | |

ACTIVITY CODE DEFINITIONS

Use the following activity code numbers to identify CDBG activities. The U.S. Department of HUD requires that budget line items be identified with these code numbers during APR reporting:

| Code | Activity |
|------------|--|
| 1 | Acquisition, Disposition |
| 2 | Clearance |
| 3 | Center/Facility (e.g. senior center or neighborhood facility) |
| 4A | Water |
| 4B | Sewer |
| 4C | Flood and Drainage Facilities |
| 5 | Streets, Bridges |
| 6 | Other Public Facilities (Examples are fire stations, sidewalks, street lighting, street furniture, curbs, libraries, swimming pools) |
| 7 | Public Services |
| 8 | Relocation |
| 9A | Rehabilitation Residential |
| 9B | Rehabilitation Commercial |
| 10 | Public Housing Modernization |
| 11 | Removal of Architectural Barrier |
| 12 | Planning Only |
| 13 | Administration, Planning and Management |
| 14A | Economic Development Assistance to Non-Profit |
| 14B | Economic Development to For-Profit Entities |
| 14C | Economic Development for Micro enterprise or Small Business |
| 15A | New Construction for Last Resort |
| 15B | New Construction Not Feasible for Rehabilitation |
| 15C | New Construction Under 105 (a) (15) |
| 16 | Unspecified Activities |
| 17 | Homeownership Assistance |

ACTIVITY PERFORMANCE MEASURES

| | | | | |
|---|--|-----------------------|---|-----------------------|
| Applicant: | | Budgeted \$: | | |
| Project Name: | | Check (X) C-1: | | Check (X) L-1: |
| Activity Name: | | Activity Code: | | |
| Amount of money leveraged for the activity, if applicable <i>(Funds other than CDBG fund as part of activity.)</i> | | | \$ | |
| Housing Program Indicators | | | Proposed <i>(For Entire Grant)</i> | |
| Housing Activities | | | | |
| Single Units -Rental | | | | |
| Total number of rental units acquired | | | | |
| Total number of rental units cleared | | | | |
| Total number of rental units disposed | | | | |
| Total number of rental households relocated | | | | |
| Total number of rental units rehabilitated | | | | |
| Number of units brought from substandard to standard condition (NC Rehab Standards) | | | | |
| Number of units brought into compliance with the lead safe housing rule (24 CFR part 35) | | | | |
| Number of units occupied by elderly (62 years of age or above) | | | | |
| Single Units - Owner | | | | |
| Total number of owner units acquired | | | | |
| Total number of owner units cleared | | | | |
| Total number of owner units disposed | | | | |
| Total number of owner households relocated | | | | |
| Total number of owner-occupied units rehabilitated | | | | |
| Number of units brought from substandard to standard condition (NC Rehab Standards) | | | | |
| Number of units brought into compliance with the lead safe housing rule (24 CFR part 35) | | | | |
| Number of units occupied by elderly (62 years of age or above) | | | | |
| Multi-Units Rental | | | | |
| Total number of rental units acquired | | | | |
| Total number of rental units cleared | | | | |
| Total number of rental units disposed | | | | |
| Total number of rental households relocated | | | | |
| Total number of rental units rehabilitated | | | | |
| Number of units brought from substandard to standard condition (NC Rehab | | | | |

| | |
|--|------------------------------------|
| Standards) | |
| Number of units brought into compliance with the lead safe housing rule (24 CFR part 35) | |
| Number of units occupied by elderly (62 years of age or above) | |
| Development of Single-Family Housing | |
| Total number of owner units created | |
| Number of affordable units created | |
| Development of Multi-Unit Rental Housing | |
| Total number of rental units created | |
| Total number of rental units rehabilitated | |
| Number of affordable units created | |
| Number of units Section 504 accessible (includes adaptable units) | |
| Number of units brought into compliance with the lead safe housing rule (24 CFR part 35) | |
| Number of units created through conversion of nonresidential building to residential | |
| Number of units meeting IBC (International Building Code) | |
| of IBC, number of units meeting Energy Star | |
| Number of units occupied by elderly (62 years of age or above) | |
| Number of units subsidized with project-based rental assistance (fed., state, or local) | |
| Number of years' affordability guaranteed | |
| Number of units designated for persons with HIV/AIDS | |
| of these, number of units designated for the chronically homeless | |
| of these, number of units 504 accessible | |
| Number of units of permanent housing for homeless persons | |
| of these, number of units designated for the chronically homeless | |
| of these, number of units 504 accessible | |
| Homeownership Indicators | Proposed (For Entire Grant) |
| Number of units occupied by first-time homebuyers | |
| Total number of units assisted through home buyer financial assistance | |
| Number of first-time home buyers assisted financially | |
| Number of first-time home buyers receiving housing counseling | |
| Number of minority first-time home buyers receiving housing counseling | |
| Number served receiving down-payment assistance and/or assistance with closing costs | |
| Number of subsidized mortgages provided | |

| Economic Development Program Indicators | | | Proposed (For Entire Grant) |
|---|--|--------------------|---|
| Number of facades/business building rehab | | | |
| Number of jobs to be created part-time | | | |
| Number of jobs to be created full-time | | | |
| Number of jobs to be retained part-time | | | |
| Number of jobs to be retained full-time | | | |
| Number of jobs created with employer sponsored health care | | | |
| Number of jobs retained with employer sponsored health care | | | |
| Prior employment status before taking job created (full-time employed, part-time employed or unemployed) | | Status: | |
| | | Full or Part-time: | |
| Jobs (By EDA Job Category Definitions) | | | Proposed (For Entire Grant) |
| Official and Managers | | | |
| Professional | | | |
| Technicians | | | |
| Sales | | | |
| Office and Clerical | | | |
| Craft Workers (skilled) | | | |
| Operatives (semi-skilled) | | | |
| Laborers (unskilled) | | | |
| Service Workers | | | |
| | | | Proposed (For Entire Grant) |
| Number of unemployed persons getting jobs in FTE's (Full-Time Equivalent) | | | |
| Number of new businesses assisted | | | |
| Number of existing businesses assisted | | | |
| Number of business expansions | | | |
| Number of business relocations | | | |
| Business DUNS # | | | If more than 2 DUNS Numbers, add in Comments Section. |
| Two Digit NAICS Classification Number (http://www.census.gov/eos/www/naics/index.html) | | | |
| Non-Economic Development Public Facility Program Indicators | | | Proposed (For Entire Grant) |
| Number of persons assisted | | | |
| Number of persons assisted with new access to a public facility | | | |
| Number of persons assisted with improved access to a public facility | | | |
| Number of persons assisted where public facility quality was improved | | | |

| Non-Economic Development Public Infrastructure Program Indicators | Proposed (For Entire Grant) |
|--|-----------------------------|
| Water | |
| Number of persons assisted | |
| Number of persons assisted with new access to public water | |
| Number of persons assisted with improved access to public water | |
| Number of persons assisted where public water quality was improved | |
| Sewer | |
| Number of persons assisted | |
| Number of persons assisted with new access to public sewer | |
| Number of persons assisted with improved access to public sewer | |
| Number of persons assisted where public sewer quality was improved | |
| Streets | |
| Number of persons assisted | |
| Number of persons assisted with new access to public streets | |
| Number of persons assisted with improved access to public streets | |
| Number of persons assisted where public street quality was improved | |
| Drainage | |
| Number of persons assisted | |
| Number of persons assisted with new access to public drainage | |
| Number of persons assisted with improved access to public drainage | |
| Number of persons assisted where public drainage quality was improved | |
| Sidewalks | |
| Number of persons assisted | |
| Number of persons assisted with new access to public sidewalks | |
| Number of persons assisted with improved access to public sidewalks | |
| Number of persons assisted where public sidewalk quality was improved | |
| Other Public Infrastructure | List: |
| Number of persons assisted | |
| Number of persons assisted with new access to public sidewalks | |
| Number of persons assisted with improved access to public sidewalks | |
| Number of persons assisted where public sidewalk quality was improved | |
| Public Service Program Indicators | |
| Number of persons assisted | |
| Number of persons with new access to service | |
| Number of persons with improved access to service | |

| | |
|--|--|
| Number of persons where service quality was improved | |
| Brownfield Projects | |
| Number of square acres of brownfields remediated | |
| Comments | |
| | |

HUD IDIS: ACCOMPLISHMENTS & BENEFICIARIES FORM

| | | | |
|---|------------------------------------|-----------------------|--------|
| Applicant: | | Project Name: | |
| Activity Name: | | Budgeted \$: | |
| Activity Number: | | Activity Code: | |
| <i>Complete a separate form for each activity</i> | | Sheet | Of |
| | | Sheet | Sheets |
| General Information | Proposed (For Entire Grant) | | |
| Total Jobs | | | |
| Linear Feet | | | |
| Square Feet | | | |
| Properties | | | |
| Households Benefiting | | | |
| Rental Units | | | |
| One to One Replacement | | | |
| Displacements | | | |
| 594 accessible units | | | |
| Elderly | | | |
| Female-Head of Household | | | |
| Units | | | |
| Multiunit Housing | | | |
| Energy Star Products | | | |
| Energy Star Homes | | | |
| Microenterprise | | | |
| Census Data (http://www.census.gov/) or (http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml) | Proposed (For Entire Grant) | | |
| County Code | | | |
| Census Tract | | | |
| Block Groups | | | |
| Block Groups | | | |
| Census Tract | | | |
| Block Groups | | | |
| Block Groups | | | |
| Income Levels | Proposed (For Entire Grant) | | |
| Please Select One: ___Households ___Persons | | | |
| Extremely Low | | | |
| Low | | | |
| Moderate | | | |
| Non-Low/Moderate | | | |
| Total | | | |

| | | |
|--|------------------------------------|-----------------|
| Race Code | Proposed (For Entire Grant) | |
| Please Select One: <u> </u> Households <u> </u> Persons | | |
| Owner | Total | Hispanic |
| 11 White | | |
| 12 Black/African American | | |
| 13 Asian | | |
| 14 American Indian/Alaskan Native | | |
| 15 Native Hawaii/Other Pacific Islander | | |
| 16 American Indian/Alaskan Native & White | | |
| 17 Asian & White | | |
| 18 Black/African American &White | | |
| 19 Amer. Indian/Alaskan Native & Black/African Amer. | | |
| 20 Other multi-racial | | |
| Race Code | Proposed (For Entire Grant) | |
| Please Select One: <u> </u> Households <u> </u> Persons | | |
| Renter | Total | Hispanic |
| 11 White | | |
| 12 Black/African American | | |
| 13 Asian | | |
| 14 American Indian/Alaskan Native | | |
| 15 Native Hawaii/Other Pacific Islander | | |
| 16 American Indian/Alaskan Native & White | | |
| 17 Asian & White | | |
| 18 Black/African American &White | | |
| 19 Amer. Indian/Alaskan Native & Black/African Amer. | | |
| 20 Other multi-racial | | |
| Survey Data | | |
| Percent of low-and-moderate-income in service area | | |
| Total number of low-and-moderate-income in service area | | |
| Total number of low and moderate- income universe population in service area | | |
| Activity Narrative: | | |