

# **CDBG Allocation Plan**

---

**STATE OF INDIANA**

**STATE COMMUNITY DEVELOPMENT BLOCK GRANT  
(CDBG) PROGRAM (CFDA: 14-228)**

**INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS**

**FY 2007 PROGRAM DESIGN AND METHOD OF DISTRIBUTION**

**GENERAL BACKGROUND INFORMATION AND NATIONAL CDBG OBJECTIVES**

The State of Indiana, through the Indiana Office of Community and Rural Affairs, assumed administrative responsibility for Indiana's Small Cities Community Development Block Grant (CDBG) Program in 1982, under the auspices of the U.S. Department of Housing and Urban Development (HUD). In accordance with 570.485(a) and 24 CFR Part 91, the State must submit a Consolidated Plan to HUD by May 15th of each year following an appropriate citizen participation process pursuant to 24 CFR Part 91.325, which prescribes the State's Consolidated Plan process as well as the proposed method of distribution of CDBG funds for 2007. **The State of Indiana's anticipated allocation of federal Community Development Block Grant (CDBG) funds for FY 2007 is \$31,790,913.**

This document applies to all federal Small Cities CDBG funds allocated by HUD to the State of Indiana, through its Office of Community and Rural Affairs. **During FY 2007, the State of Indiana does not propose to pledge a portion of its present and future allocation(s) of Small Cities CDBG funds as security for Section 108 loan guarantees provided for under Subpart M of 24 CFR Part 570 (24 CFR 570.700).**

The primary objective of Indiana's Small Cities CDBG Program is to assist in the development and re-development of viable Indiana communities by using CDBG funds to provide a suitable living environment and expand economic opportunities, principally for low and moderate income persons.

Indiana's program will place emphasis on making Indiana communities a better place in which to reside, work, and recreate. Primary attention will be given to activities, which promote long term community development and create an environment conducive to new or expanded employment opportunities for low and moderate income persons.

Activities and projects funded by the Office of Community and Rural Affairs must be eligible for CDBG assistance pursuant to 24 CFR 570, et. seq., and meet one of the three (3) national objectives prescribed under the Federal Housing and Community Development Act, as amended (Federal Act). To fulfill a national CDBG objective a project must meet one (1) of the following requirements pursuant to Section 104 (b)(3) of the Federal Act, and 24 CFR 570.483, et seq., and must be satisfactorily documented by the recipient:

1. Principally benefit persons of low and moderate income families; or,
2. Aid in the prevention or elimination of slums and blight; or,
3. Undertake activities, which have urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where no other financial resources are available to meet such needs.

In implementing its FY 2007 CDBG Consolidated Plan, the Indiana Office of Community and Rural Affairs will pursue the following goals respective to the use and distribution of FY 2007 CDBG funds:

**GOAL 1: Invest in the needs of Indiana's low and moderate income citizens in the following areas:**

- a. Safe, sanitary and suitable housing
- b. Health services
- c. Homelessness
- d. Job creation, retention and training
- e. Self-sufficiency for special needs groups
- f. Senior lifestyles

The Office of Community and Rural Affairs will pursue this goal of **investing in the needs of Indiana's low and moderate income citizens** and all applicable strategic priorities by distributing CDBG funds in a manner which promotes suitable housing, viable communities and economic opportunities.

**GOAL 2: Invest in the needs of Indiana's communities in the following areas:**

- a. Housing preservation, creation and supply of suitable rental housing
- b. Neighborhood revitalization
- c. Public infrastructure improvements
- d. Provision of clean water and public solid waste disposal
- e. Special needs of limited-clientele groups
- f. Assist local communities with local economic development projects, which will result in the attraction, expansion and retention of employment opportunities for low and moderate income persons

The Office of Community and Rural Affairs will pursue this goal of investing in the needs of Indiana's communities and all applicable strategic priorities by distributing CDBG funds in a manner which promotes suitable housing, preservation of neighborhoods, provision and improvements of local public infrastructure and programs which assist persons with special needs. The Office of Community and Rural Affairs will also pursue this goal by making CDBG funds available to projects, which will expand and/or retain employment opportunities for low and moderate income persons.

**GOAL 3: Invest CDBG funds wisely and in a manner which leverages all tangible and intangible resources:**

- a. Leverage CDBG funds with all available federal, state and local financial and personal resources
- b. Invest in the provision of technical assistance to CDBG applicants and local capacity building
- c. Seek citizen input on investment of CDBG funds
- d. Coordination of resources (federal, state and local)
- e. Promote participation of minority business enterprises (MBE) and women business enterprises (WBE)
- f. Use performance measures and continued monitoring activities in making funding decisions

The Office of Community and Rural Affairs will pursue this goal of **investing CDBG wisely** and all applicable strategic priorities by distributing CDBG funds in a manner, which promotes exploration of all alternative resources (financial and personal) when making funding decisions respective to applications for CDBG funding.

## PROGRAM AMENDMENTS

The Indiana Office of Community and Rural Affairs reserves the right to transfer up to ten percent (10%) of each fiscal year's available allocation of CDBG funds (i.e. FY 2007 as well as prior-years' reversions balances) between the programs described herein in order to optimize the use and timeliness of distribution and expenditure of CDBG funds, without formal amendment of this Consolidated Plan.

The Office of Community and Rural Affairs will provide citizens and general units of local government with reasonable notice of, and opportunity to comment on, any substantial change proposed to be made in the use of FY 2007 CDBG as well as reversions and residual available balances of prior-years' CDBG funds. "Substantial Change" shall mean the movement between programs of more than ten percent (10%) of the total allocation for a given fiscal year's CDBG funding allocation, or a major modification to programs described herein. The Office of Community and Rural Affairs, in consultation with the Indianapolis office of the US Department of Housing and Urban Development (HUD), will determine those actions, which may constitute a "substantial change".

The State (OCRA) will formally amend its FY 2007 Consolidated Plan if the Office of Community and Rural Affairs' **Method of Distribution for FY 2007 and prior-years funds** prescribed herein are to be significantly changed. The OCRA will determine the necessary changes, prepare the proposed amendment, provide the public and units of general local government with reasonable notice and opportunity to comment on the proposed amendment, consider the comments received, and make the amended FY 2007 Consolidated Plan available to the public at the time it is submitted to HUD. In addition, the Office of Community and Rural Affairs will submit to HUD the amended Consolidated Plan before the Department implements any changes embodied in such program amendment.

## ELIGIBLE ACTIVITIES/FUNDABILITY

All activities, which are eligible for federal CDBG funding under Section 105 of the Federal Housing and Community Development Act of 1974, as, amended (Federal Act), are eligible for funding under the Indiana Office of Community and Rural Affairs' FY 2007 CDBG program. However, the Indiana Office of Community and Rural Affairs reserves the right to prioritize its method of funding; the Office of Community and Rural Affairs prefers to expend federal CDBG funds on activities/projects which will produce tangible results for principally low and moderate income persons in Indiana. Funding decisions will be made using criteria and rating systems, which are used for the State's programs and are subject to the availability of funds. It shall be the policy under the state program to give priority to using CDBG funds to pay for actual project costs and not to local administrative costs. **The State of Indiana certifies that not less than seventy-percent (70%) of FY 2007 CDBG funds will be expended for activities principally benefiting low and moderate income persons, as prescribed by 24 CFR 570.484, et. seq.**

## ELIGIBLE APPLICANTS

1. All Indiana counties, cities and incorporated towns which do not receive CDBG entitlement funding directly from HUD or are not located in an "urban county" or other area eligible for "entitlement" funding from HUD.
2. All Indian tribes meeting the criteria set forth in Section 102 (a)(17) of the Federal Act.

In order to be eligible for CDBG funding, applicants may not be suspended from participation in the HUD-funded CDBG Programs or the Indiana Office of Community and Rural Affairs due to findings/irregularities with previous CDBG grants or other reasons. In addition, applicants may not be suspended from participation in the state CDBG-funded projects administered by the Indiana Housing & Community Development Authority (IHCD), such funds being subcontracted

to the IHCD by the Office of Community and Rural Affairs.

Further, in order to be eligible for CDBG funding, applicants may not have overdue reports, overdue responses to monitoring issues, or overdue grant closeout documents for projects funded by either the Office of Community and Rural Affairs or IHCD projects funded using state CDBG funds allocated to the IHCD by the Office of Community and Rural Affairs. All applicants for CDBG funding must fully expend all CDBG Program Income as defined in 24 CFR 570.489(e) prior to, or as a part of the proposed CDBG-assisted project, in order to be eligible for further CDBG funding from the State. This requirement shall not apply to principal and interest balances within a local CDBG Revolving Loan Fund approved by the Office of Community and Rural Affairs pursuant to 24 CFR 570.489.

Other specific eligibility criteria are outlined in **General Selection Criteria** provided herein.

### **FY 2007 FUND DISTRIBUTION**

#### **Sources of Funds:**

FY 2007 CDBG Allocation	\$31,790,913
CDBG Program Income(a)	\$0
<b>Total:</b>	<b>\$31,790,913</b>

#### **Uses of Funds:**

1. Community Focus Fund (CFF)	\$22,845,413
2. Housing Program	\$4,291,773
3. Community Economic Development Fund	\$1,700,000
4. Micro-enterprise Assistance Program	\$500,000
5. Quick Response Fund	\$0
6. Technical Assistance Fund	\$317,909
7. Planning Fund	\$1,400,000
8. Administration	<u>\$735,818</u>
<b>Total:</b>	<b>\$31,790,913</b>

(a) The State of Indiana (Office of Community and Rural Affairs) does not project receipt of any CDBG program income for the period covered by this FY 2007 Consolidated Plan. In the event the Office of Community and Rural Affairs receives such CDBG Program Income, such moneys will be placed in the Community Focus Fund for the purpose of making additional competitive grants under that program. Reversions of other years' funding will be placed in the Community Focus Fund for the specific year of funding reverted. The State will allocate and expend all CDBG Program Income funds received prior to drawing additional CDBG funds from the US Treasury. However, the following exceptions shall apply:

1. This prior-use policy shall not apply to housing-related grants made to applicants by the Indiana Housing & Community Development Authority (IHCD), a separate agency, using CDBG funds allocated to the IHCD by the Office of Community and Rural Affairs.
2. CDBG program income funds contained in a duly established local Revolving Loan Fund(s) for economic development or housing rehabilitation loans which have been formally approved by the Office of Community and Rural Affairs. However, all local revolving loan funds must be "revolving" and cannot possess a balance of more than \$50,000 at the time of application of additional CDBG funds.

3. Program income generated by CDBG grants awarded by the Office of Community and Rural Affairs (State) using FY 2007 CDBG funds must be returned to the Office of Community and Rural Affairs, however, such amounts of less than \$25,000 per calendar year shall be excluded from the definition of CDBG Program Income pursuant to 24 CFR 570.489.

All obligations of CDBG program income to projects/activities, except locally-administered revolving loan funds approved by the Office of Community and Rural Affairs, require prior approval by the Office of Community and Rural Affairs. This includes use of program income as matching funds for CDBG-funded grants from the IHCD. Applicable parties should contact the Grants Management Section of the Business Office of the Indiana Office of Community and Rural Affairs at (317) 232-8333 for application instructions and documents for use of program income prior to obligation of such funds.

Furthermore, U.S. Department of Treasury regulations require that CDBG program income cash balances on hand be expended on any active CDBG grant being administered by a grantee before additional federal CDBG funds are requested from the Office of Community and Rural Affairs. These US Treasury regulations apply to projects funded both by IHCD and the Office of Community and Rural Affairs. Eligible applicants with CDBG program income should strive to close out all active grant projects presently being administered before seeking additional CDBG assistance from the Office of Community and Rural Affairs or IHCD.

Eligible applicants with CDBG program income should contact the Grants Management Section of the Business's Office of the Office of Community and Rural Affairs at (317) 232-8333 for clarification before submitting an application for CDBG financial assistance.

#### **METHOD OF DISTRIBUTION**

The choice of activities on which the State (Office of Community and Rural Affairs) CDBG funds are expended represents a determination by Office of Community and Rural Affairs and eligible units of general local government, developed in accordance with the Department's CDBG program design and procedures prescribed herein. The eligible activities enumerated in the following Method of Distribution are eligible CDBG activities as provided for under Section 105(a) of the Federal Act, as amended.

All projects/activities funded by the State (Office of Community and Rural Affairs) will be made on a basis which addresses one (1) of the three (3) national objectives of the Small Cities CDBG Program as prescribed under Section 104(b)(3) of the Federal Act and 24 CFR 570.483 of implementing regulations promulgated by HUD. CDBG funds will be distributed according to the following Method of Distribution (program descriptions):

##### **A. Community Focus Fund (CFF): \$22,845,413**

The Office of Community and Rural Affairs will award community Focus Fund (CFF) grants to eligible applicants to assist Indiana communities in the areas of public facilities, housing-related infrastructure, and all other eligible community development needs/projects. Applications for economic development activities may not be appropriate for the CFF Program. Applications for funding, which are applicable to local economic development and/or job-related training projects, should be pursued under the Office of Community and Rural Affairs' Community Economic Development Fund (CEDF). Projects eligible for consideration under the CEDF program under this Method of Distribution shall generally not be eligible for consideration under the CFF Program. Eligible activities include applicable activities listed under Section 105(a) of the Federal Act. Typical Community Focus Fund (CFF) projects include, but are not limited to:

1. Local infrastructure improvements (i.e. water, sewer, storm water improvements);
2. Construction of other public facilities (i.e. youth centers, senior centers, etc.);
3. Commercial rehabilitation and downtown revitalization projects; and,
4. Special purpose facilities for "limited clientele" populations.

Applications will be accepted and awards will be made on a competitive basis two (2) times a year. Approximately one-half of available CFF funds shall be budgeted for each funding round. 55% of funds available in each funding round will be allocated to water, wastewater and storm water projects. 45% of funds available in each funding round will be allocated to all other community development projects. Awards will be scored competitively based upon the following criteria (total possible numerical score of 1,100 points):

**1. Economic and Demographic Characteristics: 450 Points - Variable by Each Application:**

- a. Benefit to low and moderate income persons: 200 points
- b. Community distress factors: 250 points

**2. Project Design Factors: 450 Points - Variable by Each Application:**

- a. Financial impact
- b. Project need
- c. Local effort

**3. Local Match Contribution: 100 Points - Variable by Each Application:**

**4. Priority Project Points: 75 Points – Variable by Each Application:**

- |                                      |           |
|--------------------------------------|-----------|
| a. Infrastructure Projects           | 75 points |
| Water System Improvements            |           |
| Sewer System Improvements            |           |
| Storm water System Improvements      |           |
| b. Community Development Projects    |           |
| Group A Projects                     | 75 points |
| Health Facilities                    |           |
| Youth Centers                        |           |
| Group B Projects                     | 60 points |
| Community Centers                    |           |
| Day Care Centers                     |           |
| Senior Centers                       |           |
| Fire Stations                        |           |
| Libraries                            |           |
| Infrastructure in support of housing |           |
| ADA/Handicap Compliance              |           |
| Other Special Needs Facilities       |           |
| Group C Projects                     | 45 points |
| Fire Trucks                          |           |
| Historic Preservation                |           |
| Downtown Revitalization              |           |
| Parks/Recreation                     |           |
| Slum/Blight Clearance                |           |

**5. Leveraging of Philanthropic Capital: 25 Points – Variable by Each Application:**

2% of total Grant amount or \$5,000 (whichever is greater) is being funded by Philanthropic capital. Sources include but are not limited to:

- County Community Foundations
- Lilly Foundation
- Kellogg Foundation
- University Foundations
- Private Endowments

The specific threshold criteria and basis for project point awards for CFF grant awards are provided in attachments hereto. The Community Focus Fund (CFF) Program shall have a maximum grant amount of \$500,000 for each project and each applicant may apply for only one project in a grant cycle. The only exception to this \$500,000 limit will be for those CFF applicants who apply for the Office of Community and Rural Affairs' Minority Business Enterprise (MBE) Utilization Program. Under this program, the Office of Community and Rural Affairs will allocate an additional amount of CDBG-CFF grant funds to those applicants who apply for participation in the MBE program and who are awarded CFF grants. The maximum additional allocation to the CFF grant amount will be five-percent (5%) of the total amount of CDBG allocated to each CFF budget line item to be considered participatory for such MBE utilization, limited to \$25,000 ( $\$500,000 \times 0.05 = \$25,000$ ).

Projects will be funded in two (2) cycles each year with approximately a six (6) month pre-application and final-application process. Projects will compete for CFF funding and be judged and ranked according to a standard rating system (Attachment D). The highest ranking projects will be funded to the extent of funding available for each specific CFF funding cycle/round. The Office of Community and Rural Affairs will provide eligible applicants with adequate notice of deadlines for submission of CFF proposal (pre-application) and full applications. Specific threshold criteria and point awards are explained in Attachments C and D to this Consolidated Plan.

For the CFF Program specifically, the amount of CDBG funds granted will be based on a \$5,000 cost per project beneficiary, except for housing-related projects (e.g. infrastructure in support of housing) where the grant amount per beneficiary ratio will not exceed \$10,000 per beneficiary.

**B. Housing Program: \$4,291,773**

The State (Office of Community and Rural Affairs) has contracted with the Indiana Housing & Community Development Authority (IHCDA) to administer funds allocated to the State's Housing Program. The Indiana Housing & Community Development Authority will act as the administrative agent on behalf of the Indiana Office of Community and Rural Affairs. Please refer to the Indiana Housing & Community Development Authority's portion of this FY 2007 Consolidated Plan for the method of distribution of such subcontracted CDBG funds from the Office of Community and Rural Affairs to the IHCDA.

**C. Community Economic Development Fund/Program: \$1,700,000**

The Community Economic Development Fund (CEDF) will be available through the e Indiana Office of Community and Rural Affairs. This fund will provide funding for various eligible economic development activities pursuant to 24 CFR 507.203. The Office of Community and Rural Affairs will give priority for CEDF-IDIP funding to construction of off-site and on-site infrastructure projects in support of low and moderate income employment opportunities.

Eligible CEDF activities will include any eligible activity under 24 CFR 570.203, to include the following:

1. Construction of infrastructure (public and private) in support of economic development projects;
2. Loans or grants by applicants for the purchase of manufacturing equipment;
3. Loans or grants by applicants for the purchase of real property and structures (includes vacant structures);
4. Loans or grants by applicants for the rehabilitation of facilities (vacant or occupied);
5. Loans or grants by applicants for the purchase and installation of pollution control equipment;
6. Loans or grants by applicants for the mitigation of environmental problems via capital asset purchases.

Eligible CEDF activities will also include grants to applicants for job-training costs for low and moderate income persons as a limited clientele activity under 24 CFR 570.483(b)(2)(v), as well financial assistance to eligible entities to carry out economic development activities authorized under Section 105(a) of the Housing and Community Development Act of 1974, as amended.

Projects/applications will be evaluated using the following criteria:

1. The importance of the project to Indiana's economic development goals;
2. The number and quality of new jobs to be created;
3. The economic needs of the affected community;
4. The economic feasibility of the project and the financial need of the affected for-profit firm, or not-for-profit corporation; the availability of private resources;
5. The level of private sector investment in the project.

Grant applications will be accepted and awards made until funding is no longer available. The intent of the program is to provide necessary public improvements and/or job training for an economic development project to encourage the creation of new jobs. In some instances, the Office of Community and Rural Affairs may determine that the needed facilities/improvements may also benefit the project area as a whole (i.e. certain water, sewer, and other public facilities improvements), in which case the applicant will be required to also meet the "area basis" criteria for funding under the Federal Act.

#### **1. Beneficiaries and Job Creation/Retention Assessment:**

The assistance must be reasonable in relation to the expected number of jobs to be created or retained by the benefiting business(es) within 12 months following the date of substantial completion of project construction activities. Before CDBG assistance will be provided for such an activity, the applicant unit of general local government must develop an assessment, which identifies the businesses located or expected to locate in the area to be served by the improvement. The assessment must include for each identified business a projection of the number of jobs to be created or retained as a result of the public improvements.

#### **2. Public Benefit Standards:**

The Office of Community and Rural Affairs will conform to the provisions of 24 CFR 570.482(f) for purposes of determining standards for public benefit and meeting the national objective of low and moderate income job creation or retention will be all jobs created or retained as a result of the public improvement, financial assistance, and/or job training by the business(es) identified in the job creation/retention assessment in 1 above. The investment of CDBG funds in any economic development project shall not exceed an amount of \$35,000 per job created; at least fifty-one percent (51%) of all such jobs, during the project period, shall be given to, or made

available to, low and moderate income persons.

Projects will be evaluated on the amount of private investment to be made, the number of jobs for low and moderate income persons to be created or retained, the cost of the public improvement and/or job training to be provided, the ability of the community (and, if appropriate, the assisted company) to contribute to the costs of the project, and the relative economic distress of the community. Actual grant amounts are negotiated on a case by case basis and the amount of assistance will be dependent upon the number of new full-time permanent jobs to be created and other factors described above. Construction and other temporary jobs may not be included. Part-time jobs are ineligible in the calculating equivalents. Grants made on the basis of job retention will require documentation that the jobs will be lost without such CDBG assistance and a minimum of fifty-one percent (51%) of the beneficiaries are of low and moderate income.

Pursuant to Section 105(e)(2) of the Federal Act as amended, and 24 CFR 570.209 of related HUD regulations, CDBG-CEDF funds allocated for direct grants or loans to for-profit enterprises must meet the following tests, (1) project costs must be reasonable, (2) to the extent practicable, reasonable financial support has been committed for project activities from non-federal sources prior to disbursement of federal CDBG funds, (3) any grant amounts provided for project activities do not substantially reduce the amount of non-federal financial support for the project, (4) project activities are determined to be financially feasible, (5) project-related return on investment are determined to be reasonable under current market conditions, and, (6) disbursement of CDBG funds on the project will be on an appropriate level relative to other sources and amounts of project funding.

A need (financial gap), which is not directly available through other means of private financing, should be documented in order to qualify for such assistance; the Office of Community and Rural Affairs will verify this need (financial gap) based upon historical and/or pro-forma projected financial information provided by the for-profit company to be assisted. Applications for loans based upon job retention must document that such jobs would be lost without CDBG assistance and a minimum of fifty-one percent (51%) of beneficiaries are of low-and-moderate income, or the recipient for-profit entity agrees that for all new hires, at least 51% of such employment opportunities will be given to, or made available to, persons of low and moderate income. All such job retention/hiring performance must be documented by the applicant/grantee, and the OCRA reserves the right to track job levels for an additional two (2) years after administrative closeout.

#### **D. Micro-enterprise Assistance Program: \$500,000**

The Office of Community and Rural Affairs will set aside \$500,000 of its FY 2007 CDBG funds for a Micro-enterprise Assistance Program. The Office of Community and Rural Affairs will make grants to units of local government to carry out various activities eligible under 24 CFR 507.291-203. The Office of Community and Rural Affairs will award such grants on a competitive basis.

#### **E. The Quick Response Fund: \$0**

The Quick Response Fund will be available to eligible applicants on a continuing basis. These activities must be eligible for funding under the "urgent need" national objective of the Federal Act and requirements of 24 CFR 570.208 and 24 CFR 570.483 of applicable HUD regulations.

The Quick Response Fund program will be available to eligible applicants to meet an imminent threat to the health and safety of local populations. The grants may be funded as made available through Focus Fund or reversions when not budgeted from the annual allocation. Special selection factors include need, proof of recent threat of a catastrophic nature, statement of declared emergency and inability to fund through other means. Projects will be developed with the assistance of the Office of Community and Rural Affairs as a particular need arises. To be eligible, these projects and their activities must meet the "urgent need" national objective of Section 104(b)(3) of the Federal Act. Generally, projects funded are those, which need immediate attention and are, therefore, inappropriate for consideration under the Community Focus Fund. The types of projects, which typically receive funding, are municipal water systems (where the supply of potable water has been threatened by severe weather conditions) and assistance with demolition or cleanup after a major fire, flood, or other natural disaster. Although all projects will be required to meet the "urgent need" national objective, the Office of Community and Rural Affairs may choose to actually fund the project under one of the other two national objectives, if it deems it expedient to do so. Applicants must adequately document that other financial resources are not available to meet such needs pursuant to Section 104(b)(3) of the Federal Act and 24 CFR 570.483 of HUD regulations.

Only that portion of a project, which addresses an immediate need, should be addressed. This is particularly true of municipal water or sewer system projects, which tend to need major reinvestment in existing plants or facilities, in addition to the correction of the immediate need. The amount of grant award is determined by the individual circumstances surrounding the request for emergency funds. A community may be required to provide a match through cash, debt or provision of employee labor.

#### **F. Technical Assistance: \$317,909**

Pursuant to the federal Housing and Community Development Act (Federal Act), specifically Section 106(d)(5), the State of Indiana is authorized to set aside up to one percent (1%) of its total allocation for technical assistance activities. The amount set aside for such Technical Assistance in the State's FY 2007 Consolidated Plan is \$317,909, which constitutes one-percent (1%) of the State's FY 2007 CDBG allocation of \$31,790,913. The State of Indiana reserves the right to set aside up to one percent (1%) of open prior-year funding amounts for the costs of providing technical assistance on an as-needed basis.

The amount set aside for the Technical Assistance Program will not be considered a planning cost as defined under Section 105(a)(12) of the Federal Act or an administrative cost as defined under Section 105(a)(13) of the Federal Act. Accordingly, such amounts set aside for Technical Assistance will not require matching funds by the State of Indiana. The Department reserves the right to transfer a portion or all of the funding set aside for Technical Assistance to another program hereunder as deemed appropriate by the Office of Community and Rural Affairs, in accordance with the "Program Amendments" provisions of this document. The Technical Assistance Program is designed to provide, through direct Office of Community and Rural Affairs staff resources or by contract, training and technical assistance to units of general local government, nonprofit and for-profit entities relative to community and economic development initiatives, activities and associated project management requirements.

- 1. Distribution of the Technical Assistance Program Set-aside:** Pursuant to HUD regulations and policy memoranda, the Office of Community and Rural Affairs may use alternative methodologies for delivering technical assistance to units of local government and nonprofits to carry out eligible activities, to include:
  - a. Provide the technical assistance directly with Office of Community and Rural Affairs or other State staff;
  - b. Hire a contractor to provide assistance;
  - c. Use subrecipients such as Regional Planning Organizations as providers or securers of the assistance;
  - d. Directly allocate the funds to non-profits and units of general local governments to secure/contract for technical assistance.
  - e. Pay for tuition, training, and/or travel fees for specific trainees from units of general local governments and nonprofits;
  - f. Transfer funds to another state agency for the provision of technical assistance; and,
  - g. Contracts with state-funded institutions of higher education to provide the assistance.
  
- 2. Ineligible Uses of the Technical Assistance Program Set-aside:** The 1% set-aside may not be used by the Office of Community and Rural Affairs for the following activities:
  - a. Local administrative expenses not related to community development;
  - b. Any activity that can not be documented as meeting a technical assistance need;
  - c. General administrative activities of the State not relating to technical assistance, such as monitoring state grantees, rating and ranking State applications for CDBG assistance, and drawing funds from the Office of Community and Rural Affairs; or,
  - d. Activities that are meant to train State staff to perform state administrative functions, rather than to train units of general local governments and non-profits.

**G. Planning Fund: \$ 1,400,000**

The State (Office of Community and Rural Affairs) will set aside \$1,400,000 of its FY 2007 CDBG funds for planning-only activities, which are of a project-specific nature. The Office of Community and Rural Affairs will make planning-only grants to units of local government to carry out planning activities eligible under 24 CFR 570.205 of applicable HUD regulations. The Office of Community and Rural Affairs will award such grants on a competitive basis and grant the Office of Community and Rural Affairs will review applications monthly. The Office of Community and Rural Affairs will give priority to project-specific applications having planning activities designed to assist the applicable unit of local government in meeting its community development needs by reviewing all possible sources of funding, not simply the Office of Community and Rural Affairs' Community Focus Fund or Community Economic Development Fund.

CDBG-funded planning costs will exclude final engineering and design costs related to specific activities which are eligible activities/costs under 24 CFR 570.201-204.

## **H. Administrative Funds Set-aside: \$735,818**

The State (Office of Community and Rural Affairs) will set aside \$735,818 of its FY 2007 CDBG funds for payment of costs associated with administering its State Community Development Block Grant (CDBG) Program (CFDA Number 14.228). This amount (\$735,818) constitutes two-percent (2%) of the State's FY 2007 CDBG allocation (\$635,818), plus an amount of \$100,000 ( $\$31,790,913 \times 0.02 = \$635,818 + \$100,000 = \$735,818$ ). The amount constituted by the 2% set aside (\$635,818) is subject to the \$1-for-\$1 matching requirement of HUD regulations. The \$100,000 supplement is not subject to state match. These funds will be used by the Office of Community and Rural Affairs for expenses associated with administering its State CDBG Program, including direct personal services and fringe benefits of applicable Office of Community and Rural Affairs staff, as well as direct and indirect expenses incurred in the proper administration of the state's program and monitoring activities respective to CDBG grants awarded to units of local government (i.e. telephone, travel, services contractual, etc.). These administrative funds will also be used to pay for contractors hired to assist the Office of Community and Rural Affairs in its consolidated planning activities.

### **PRIOR YEARS' METHODS OF DISTRIBUTION**

This Consolidated Plan, statement of Method of Distribution is intended to amend all prior Consolidated Plans for grant years where funds are still available to reflect the new program designs. The Methods of Distribution described in this document will be in effect commencing on June 1, 2007, and ending May 31, 2007, unless subsequently amended, for all FY 2007 CDBG funds as well as remaining residual balances of previous years' funding allocations, as may be amended from time to time subject to the provisions governing "Program Amendments" herein. The existing and amended program budgets for each year are outlined below (administrative fund allocations have not changed and are not shown below). Adjustments in the actual dollars may occur as additional reversions become available.

At this time there are only nominal funds available for reprogramming for prior years' funds. If such funds should become available, they will be placed in the CFF Fund. This will include reversions from settlement of completed grantee projects, there are no fund changes anticipated. For prior years' allocations there is no fund changes anticipated. Non-expended funds, which revert from the financial settlement of projects funded from other programs, will be placed in the Community Focus Fund (CFF).

### **PROGRAM APPLICATION**

The Community Economic Development Fund Program (CEDF), Micro-enterprise Assistance Program (MAP), Quick Response Program (QR), and Planning Fund/Program (PL) will be conducted through a single-stage, continuous application process throughout the program year. The application process for the Community Focus Fund (CFF) will be divided into two stages. Eligible applicants will first submit a short program proposal for such grants. After submitting proposal, eligible projects under the Federal Act will be invited to submit a full application. For each program, the full application will be reviewed and evaluated. The Office of Community and Rural Affairs, as applicable, will provide technical assistance to the communities in the development of proposals and full applications.

An eligible applicant may submit only one Community Focus Fund (CFF) application per cycle. Additional applications may be submitted under the other state programs. The Office of Community and Rural Affairs reserves the right to negotiate Planning-Only grants with CFF applicants for applications lacking a credible readiness to proceed on the project or having other planning needs to support a CFF project.

## **OTHER REQUIREMENTS**

While administrative responsibility for the Small Cities CDBG program has been assumed by the State of Indiana, the State is still bound by the statutory requirements of the applicable legislation passed by Congress, as well as federal regulations promulgated by the U. S. Department of Housing and Urban Development (HUD) respective to the State's CDBG program as codified under Title 24, Code of the Federal Register. HUD has passed on these responsibilities and requirements to the State and the State is required to provide adequate evidence to HUD that it is carrying out its legal responsibilities under these statutes.

As a result of the Federal Act, applicants who receive funds through the Indiana Office of Community and Rural Affairs selection process will be required to maintain a plan for minimizing displacement of persons as a result of activities assisted with CDBG funds and to assist persons actually displaced as a result of such activities. Applicants are required to provide reasonable benefits to any person involuntarily and permanently displaced as a result of the use of assistance under this program to acquire or substantially rehabilitate property. The State has adopted standards for determining reasonable relocation benefits in accordance with HUD regulations.

CDBG "Program Income" may be generated as a result of grant implementation. The State of Indiana may enter into an agreement with the grantee in which program income is retained by the grantee for eligible activities. Federal guidelines require that program income be spent prior to requesting additional draw downs. Expenditure of such funds requires prior approval from the Office of Community and Rural Affairs (OCRA). The State (Office of Community and Rural Affairs) will follow HUD regulations set forth under 24 CFR 570.489(e) respective to the definition and expenditure of CDBG Program Income.

All statutory requirements will become the responsibility of the recipient as part of the terms and conditions of grant award. Assurances relative to specific statutory requirements will be required as part of the application package and funding agreement. Grant recipients will be required to secure and retain certain information, provide reports and document actions as a condition to receiving funds from the program. Grant management techniques and program requirements are explained in the OCRA's CDBG Grantee Implementation Manual, which is provided to each grant recipient.

Revisions to the Federal Act have mandated additional citizen participation requirements for the State and its grantees. The State has adopted a written Citizen Participation Plan, which is available for interested citizens to review. Applicants must certify to the State that they are following a detailed Citizen Participation Plan which meets Title I requirements. Technical assistance will be provided by the Office of Community and Rural Affairs to assist program applicants in meeting citizen participation requirements.

The State has required each applicant for CDBG funds to certify that it has identified its housing and community development needs, including those of low and moderate income persons and the activities to be undertaken to meet those needs.

## **INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS (OCRA)**

The Indiana Office of Community and Rural Affairs intends to provide the maximum technical assistance possible for all of the programs to be funded from the CDBG program. Lieutenant Governor Rebecca Skillman heads the Office of Community and Rural Affairs. Principal responsibility within the OCRA for the CDBG program is vested in Kathleen Weissenberger, Director of Community Affairs. The Office of Community and Rural Affairs also has the responsibility of administering compliance activities respective to CDBG grants awarded to units of local government.

Primary responsibility for providing “outreach” and technical assistance for the Community Focus Fund and Planning Fund process resides with the Office of Community and Rural Affairs. Primary responsibility for providing “outreach” and technical assistance for the Community Economic Development Program and award process also resides with OCRA. Primary responsibility for providing “outreach” and technical assistance for the Housing award process resides with the Indiana Housing & Community Development Authority who will act as the administrative agent on behalf of the Indiana Office of Community and Rural Affairs.

The Business Office will provide internal fiscal support services for program activities, development of the Consolidated Plan and the CAPER. The Grants Supports Division of OCRA has the responsibilities for CDBG program management, compliance and financial monitoring of all CDBG programs. The Indiana State Board of Accounts pursuant to the federal Office of Management and Budget Circular A-133 will conduct audits. Potential applicants should contact the Office of Community and Rural Affairs with any questions or inquiries they may have concerning these or any other programs operated by the Office of Community and Rural Affairs.

Information regarding the past use of CDBG funds is available at the:

**Indiana Office of Community and Rural Affairs  
Office of Community and Rural Affairs  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204-2288  
Telephone: 1-800-824-2476  
FAX: (317) 233-6503**

## DEFINITIONS

**Low and moderate income** - is defined as 80% of the median family income (adjusted by size) for each county. For a county applicant, this is defined as 80% of the median income for the state. The income limits shall be as defined by the U. S. Department of Housing and Urban Development Section 8 Income Guidelines for "low income families." Certain persons are considered to be "presumptively" low and moderate income persons as set forth under 24 CFR 570.208(a)(2); inquiries as to such presumptive categories should be directed to the OCRA's Grants Management Office, Attention: Ms. Beth Goeb at (317) 232-8831.

**Matching funds** - local public or private sector in-kind services, cash or debt allocated to the CDBG project. The **minimum** level of local matching funds for Community Focus Fund (CFF) projects is ten-percent (10%) of the **total estimated project costs**. This percentage is computed by adding the proposed CFF grant amount and the local matching funds amount, and dividing the local matching funds amount by the total sum of the two amounts. The 2007 definition of match has been adjusted to include a maximum of 5% pre-approved and validated in-kind contributions. The balance of the ten (10) percent must be in the form of either cash or debt. Any in-kind over and above the specified 5% may be designated as local effort. Funds provided to applicants by the State of Indiana such as the Build Indiana Fund are not eligible for use as matching funds.

Private investment resulting from CDBG projects does not constitute local match for all OCRA-CDBG programs except the Community Economic Development Fund (CEDF); such investment will, however, be evaluated as part of the project's impact, and should be documented. The Business Office reserves the right to determine sources of matching funds for CEDF projects.

**Proposal (synonymous with "pre-application")** - A document submitted by a community which briefly outlines the proposed project, the principal parties, and the project budget and how the proposed project will meet a goal of the Federal Act. If acceptable, the community may be invited to submit a full application.

**Reversions** - Funds placed under contract with a community but not expended for the granted purpose because expenses were less than anticipated and/or the project was amended or canceled and such funds were returned to the Office of Community and Rural Affairs upon financial settlement of the project.

**Slums or Blight** - an area/parcel which: (1) meets a definition of a slum, blighted, deteriorated, or deteriorating area under state or local law (Title 36-7-1-3 of Indiana Code); and (2) meets the requirements for "area basis" slum or blighted conditions pursuant to 24 CFR 570.208(b)(1) and 24 CFR 570.483(c)(1), or "spot basis" blighted conditions pursuant to 24 CFR 570.208(b)(2) and 24 CFR 570.483(c)(2).

**Urgent Need** - is defined as a serious and immediate threat to health and welfare of the community. The Chief Elected Official must certify that an emergency condition exists and requires immediate resolution and that alternative sources of financing are not available. An application for CDBG funding under the "urgent need" CDBG national objective must adhere to all requirements for same set forth under 24 CFR 570.208(c) and 24 CFR 570.483(d).

## **DISPLACEMENT PLAN**

1. The State shall fund only those applications, which present projects and activities, which will result in the displacement of as few persons or businesses as necessary to meet the goals and objectives of the state and local CDBG-assisted program.
2. The State will use this criterion as one of the guidelines for project selection and funding.
3. The State will require all funded communities to certify that the funded project is minimizing displacement.
4. The State will require all funded communities to maintain a local plan for minimizing displacement of persons or businesses as a result of CDBG funded activities, pursuant to the federal Uniform Relocation and Acquisitions Policies Act of 1970, as amended.
5. The State will require that all CDBG funded communities provide assistance to all persons displaced as a result of CDBG funded activities.
6. The State will require each funded community to provide reasonable benefits to any person involuntarily and permanently displaced as a result of the CDBG funded program.

**GENERAL SELECTION CRITERIA**

The Office of Community and Rural Affairs (OCRA) will consider the following general criteria when evaluating a project proposal. Although projects will be reviewed for this information at the proposal stage, no project will be eliminated from consideration if the criteria are not met. Instead, the community will be alerted to the problem(s) identified. Communities must have corrected any identified deficiencies by the time of application submission for that project to be considered for funding.

**A. General Criteria (all programs - see exception for program income and housing projects through the IHCD in 6 below):**

1. The applicant must be a legally constituted general purpose unit of local government and eligible to apply for the state program.
2. The applicant must possess the legal capacity to carry out the proposed program.
3. If the applicant has previously received funds under CDBG, they must have successfully carried out the program. An applicant must not have any overdue closeout reports, State Board of Accounts OMB A-133 audit or OCRA monitoring finding resolutions (where the community is responsible for resolution.) Any determination of "overdue" is solely at the discretion of the Indiana Office of Community and Rural Affairs.
4. An applicant must not have any overdue CDBG semi-annual Grantee Performance Reports, subrecipient reports or other reporting requirements of the OCRA. Any determination of "overdue" is solely at the discretion of the Indiana Office of Community and Rural Affairs.
5. The applicant must clearly show the manner in which the proposed project will meet one of the three national CDBG objectives and meet the criteria set forth under 24 CFR 570.483.
6. The applicant must show that the proposed project is an eligible activity under the Act.
7. The applicant must first encumber/expend all CDBG program income receipts before applying for additional grant funds from the Office of Community and Rural Affairs; EXCEPTION – these general criteria will not apply to applications made directly to the Indiana Housing & Community Development Authority (IHCD) for CDBG-funded housing projects.

**B. Community Focus Fund (CFF) and Planning Fund (PL):**

1. To be eligible to apply at the time of application submission, an applicant must not have any:
  - a. Overdue grant reports, subrecipient reports or project closeout documents; or
  - b. More than one open or pending CDBG-CFF grant or CDBG-Planning grant (Indiana cities and incorporated towns).
  - c. For those applicants with one open CFF, a "Notice of Release of Funds and Authorization to Incur Costs" must have been issued for the construction activities under the open CFF contract, and a contract for construction of the

principal (largest funding amount) construction line item (activity) must have been executed prior to the deadline established by OCRA for receipt of applications for CFF funding.

- d. For those applicants who have open Planning Fund grants, the community must have final plan approved by the Office of Community and Rural Affairs prior to submission of a CFF application for the project.
  - e. An Indiana county may have two (2) open CFF's and/or Planning Grants and apply for a third CFF or Planning Grant. A county may have only three (3) open CFF's or Planning Grants. Both CFF contracts must have an executed construction contract by the application due date.
2. The cost/beneficiary ratio for CFF funds will be maintained at \$5,000, except for daycare and housing-related projects where that ratio will not exceed \$10,000. Housing-related projects are to be submitted directly to the Indiana Housing & Community Development Authority (IHCDA) under its programs, except for projects entailing construction of infrastructure (to be publicly dedicated right-of-way) in support of housing-related projects. Projects for infrastructure in support of housing needs may be submitted to the OCRA for CFF funding.
  3. At least 10% leveraging (as measured against the CDBG project, see definitions) must be proposed. The Indiana Office of Community and Rural Affairs may rule on the suitability and eligibility of such leveraging.
  4. The applicant may only submit one proposal or application per round. Counties may submit either for their own project or an "on-behalf-of" application for projects of other eligible applicants within the county. However, no application will be invited from a county where the purpose is clearly to circumvent the "one application per round" requirement for other eligible applicants.
  5. The application must be complete and submitted by the announced deadline.
  6. For area basis projects, applicants must provide convincing evidence that circumstances in the community have so changed that a survey conducted in accordance with HUD survey standards is likely to show that 51% of the beneficiaries will be of low-and-moderate income. This determination is not applicable to specifically targeted projects.

**C. Housing Programs: Refer to Method of Distribution for Indiana Housing & Community Development Authority within this FY 2007 Consolidated Plan**

**D. Quick Response Program:**

Applicants for the Quick Response Program funds must meet the General Criteria set forth in Section A above, plus the specific program income requirements set forth in the "Method of Distribution" section of this document.

**E. Community Economic Development Program/Fund (CEDF):**

Applicants for the Community Economic Development Fund assistance must meet the General Criteria set forth in Section A above, plus the specific program requirements set forth in the "Method of Distribution" section of this document.

**GRANT EVALUATION CRITERIA – 1,100 POINTS TOTAL**

**Economic and Demographic Characteristics (450 points):**

**National Objective Score (200 points):**

Depending on the National Objective to be met by the project, one of the following two mechanisms will be used to calculate the score for this category.

**1. National Objective = Benefit to Low- and Moderate-Income Persons:** 200 points maximum awarded according to the percentage of low- and moderate-income individuals to be served by the project. The total points given are computed as follows:

$$\text{National Objective Score} = \% \text{ Low/Mod Beneficiaries} \times 2.5$$

The point total is capped at 200 points or 80% low/moderate beneficiaries, i.e., a project with 80% or greater low/moderate beneficiaries will receive 200 points. Below 80% benefit to low/moderate-income persons, the formula calculation will apply.

**1. National Objective = Prevention or Elimination of Slums or Blight:** 200 points maximum awarded based on the characteristics listed below. The total points given are computed as follows:

$$\text{National Objective Score} = (\text{Total of the points received in each category below}) \times 2.5$$

\_\_\_ **Slum/Blight Area or Spot designated by resolution of the local unit of government (50 pts.)**

\_\_\_ Community is an Indiana Main Street Senior Partner or Partner, and the project relates to downtown revitalization (5 pts.)

\_\_\_ The project site is a brownfield\* (5 pts.)

\_\_\_ The project is located in a designated redevelopment area under IC 36-7-14 (5 pts.)

\_\_\_ The building or district is listed on the Indiana or National Register of Historic Places (10 pts.)

\_\_\_ The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 pts.)

\_\_\_ The building is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (15 pts.)

\* The State of Indiana defines a brownfield as an industrial or commercial property that is abandoned, inactive, or underutilized, on which expansion or redevelopment is complicated due to actual or perceived environmental contamination.

**Community Distress Factors (250 Points):** The community distress factors used to measure the economic conditions of the applicant are listed below. Each is described with an explanation

and an example of how the points are determined. Each factor can receive a maximum of 50 points with the total distress point calculation having a maximum of 250 points. The formula calculation for each measure is constructed as a percentage calculation along a scale range. The resulting percentage is then translated into a point total on a fifty point scale for each measure.

**Unemployment Rate (50 points maximum):** Unemployment rate for the county of the lead applicant. The most recent average annual rate available is used.

- a. If the unemployment rate is above the maximum value, 50 points are awarded.
- b. If the unemployment rate is below the minimum value, 0 points are awarded.
- c. Between those values, the points are calculated by taking the unemployment rate, subtracting the minimum value, dividing by the range, and multiplying by 50.

**Unemployment Rate Points =  $(((\text{Unemployment rate} - \text{minimum})/\text{range}) \times 50)$**

For example, if the unemployment rate is 4.5%, the minimum value is 2.6%, maximum value is 9.7%, and range is 7.1%, take unemployment rate of 4.5%, subtract the minimum value of 2.6%, divide by a range of 7.1%, and multiply by 50. The score would be 13.38 point of a possible 50;  $(((4.5 - 2.6)/7.1) \times 50)$ .

**Net Assessed Value/capita (50 points maximum):** Net assessed value per capita (NAV pc) for lead applicant<sup>1</sup>. The most recent net assessed valuation figures<sup>2</sup>, as well as the most recent population figures are used.

To determine the NAV pc, divide the net assessed valuation by the population estimate for the same year. For example, for 2002 NAV pc, you would divide the 2002 NAV by the Census Bureau's estimate of the population on July 1, 2002.

**NAV per capita = NAV/Total Population**

- d. If the net assessed value per capita for the lead applicant is above the maximum value, 0 points are awarded.
- e. If the net assessed value per capita for the lead applicant is below the minimum value, 50 points are awarded.
- f. Between those values, the points are calculated by subtracting 50 from the NAVpc minus the minimum value, divided by the range and multiplied by 50.

**NAV per capita points =  $50 - (((\text{NAV pc} - \text{minimum})/\text{range}) \times 50)$**

For example, if the NAVpc is \$29,174, the minimum value is \$2,589 (excluding outliers), maximum value is \$75,524 (excluding outliers), and the range is \$72,935, take 50, subtract the NAV/capita of \$29,174 minus the minimum value of \$2,589, divide by the range of \$72,935, and multiply by 50. The score would be 31.78 points of a possible 50 points;  $50 - (((29,174 - 2,589)/72,935) \times 50)$ .

**Median Housing Value (50 points maximum):** Median Housing Value (MHV) for lead applicant<sup>3</sup>. Data from the most recent census are used.

---

<sup>1</sup> For unincorporated areas, the NAV pc will be calculated based on data at the township level.

<sup>2</sup> All applicants will utilize the same basis, i.e., true tax value or market value, for the NAV pc calculation.

<sup>3</sup> For unincorporated areas MHV will be calculated based on data at the township level.

**Median Housing Value Points =  $50 - \left[ \frac{(\text{MHV} - \text{minimum})}{\text{range}} \right] \times 50$**

- g. If the median housing value for the lead applicant is above the maximum value, 0 points are awarded.
- h. If the median housing value for the lead applicant is below the minimum value, 50 points are awarded.

For example, if the median housing value is \$79,000, the minimum value is \$24,300 (excluding outliers), maximum value is \$246,300 (excluding outliers) and the range is \$222,000. Take the MHV of \$79,000 minus the minimum value of \$24,300, divide the difference by the range of \$222,000, and multiply by 50 then subtract this amount from 50. The score would be 37.68 points out of a total possible of 50;  $50 - \left[ \frac{(\$79,000 - \$24,300)}{\$222,000} \right] \times 50$ .

**Median Household Income (25 points maximum):** Median household income (MHI) for the lead applicant<sup>4</sup>. Data from the most recent census are used.

**Median Household Income Points =  $25 - \left[ \frac{(\text{MHI} - \text{minimum})}{\text{range}} \right] \times 25$**

- i. If the median household income is above the maximum value, 0 points are awarded.
- j. If the median household income is below the minimum value, 25 points are awarded.
- k. Between those values, the points are calculated by subtracting 25 from the MHI minus the minimum value, divided by the range, and multiplied by 25.

For example, if the Median Household Income is \$35,491, the minimum value is \$16,667 (excluding outliers), maximum value is \$97,723 (excluding outliers), range is \$81,056, take 25, subtract the MHI of \$35,491, minus the minimum value of \$16,667, divide by the range of \$81,056, and multiply by 25. The score would be 19.19 points out of a possible 25;  $25 - \left[ \frac{(\$35,491 - \$16,667)}{\$81,056} \right] \times 25$ .

**Family Poverty Rate (25 points maximum):** Family poverty rate for the lead applicant<sup>5</sup>. Data from the most recent census are used.

**Family Poverty Rate Points =  $\left[ \frac{(\text{Family Poverty Rate} - \text{minimum})}{\text{range}} \right] \times 25$**

- l. If the family poverty rate is above the maximum value, 25 points are awarded.
- m. If the family poverty rate is below the minimum value, 0 points are awarded.
- n. Between those values, the points are calculated by subtracting the Family Poverty Rate from the minimum value, then dividing by the range, and multiplying by 25.

For example, if the family poverty rate is 1.4%, the minimum value is 0% (excluding outliers), maximum value is 25% (excluding outliers), and range is 25%, take family poverty rate of 1.4%, subtract the minimum value of 0%, divide by a range of 25%, and multiply by 25. The score would be 1.4 points of a possible 25;  $\left[ \frac{(1.4 - 0)}{25} \right] \times 25$

**Percentage Population Change (50 points maximum):** Percentage population change from 1990 to 2000 for the lead applicant<sup>6</sup>. The percentage change is computed by subtracting the

---

<sup>4</sup> For unincorporated areas MHI will be calculated based on data at the township level.

<sup>5</sup> For unincorporated areas Family Poverty Rate will be calculated based on data at the township level.

<sup>6</sup> For unincorporated areas percentage population change will be calculated based on data at the township level.

1990 population from the 2000 population and dividing by the 1990 population. Convert this decimal to a percentage by multiplying by 100.

**Percentage Population Change = [(2000 population - 1990 population)/1990 population] X 100**

- o. If the population changed above the maximum percentage value, 0 points are awarded.
- p. If the population changed below the minimum percentage value, 50 points are awarded.
- q. Between those values, the points are calculated by subtracting 50 from the percentage population change minus the minimum value divided by the range, and multiplied by 50.

**Percentage Population Change points = 50 – [(Percentage population change – minimum)/range] X 50]**

For example, if the population increased by 16.61%, the minimum value is –61.33% (excluding outliers), maximum value is 181.27% (excluding outliers), range is 242.60%, take 50, subtract 16.61% minus the minimum value of –61.33%, divide the range of 242.60%, and multiply by 50. The score would be 33.94 points out of a total possible of 50;  $50 - [(16.61 - (-61.33)/242.60) \times 50]$ .

**Local Match Contribution (100 points):**

Up to 100 points possible based on the percentage of local funds devoted to the project. This total is determined as follows:

**Total Match Points = % Eligible Local Match X 2**

Eligible local match can be local cash, debt or in-kind sources. Government grants are not considered eligible match. In-kind sources may provide eligible local match for the project, but the amount that can be counted as local match is limited to 5% of the total project budget or a maximum of \$25,000. Use of in-kind donations as eligible match requires approval from the Indiana Office of Community and Rural Affairs, Community Affairs Division four weeks prior to application submission.

**Project Design Factors (450 points):**

450 points maximum awarded according to the evaluation in three areas:

- Project Need** - why does the community need this project?
- Financial Impact** - why is grant assistance necessary to complete this project?
- Local Effort** - what has/is the community doing to move this project forward?

The project can receive a total of 150 points in each category. The points in these categories are awarded by the IOCRA review team when evaluating the projects. Applicants should work with IOCRA to identify ways to increase their project's scores in these areas.

**Project Priority Factors (100 points):**

**Infrastructure Projects** 75 points

- Water System Improvements
- Sewer System Improvements
- Storm water System Improvements

\*infrastructure projects constitute 55% of total CFF funding per round

**Group A Projects** 75 points  
Health Facilities  
Youth Centers

**Group B Projects** 60 points  
Community Centers  
Day Care Centers  
Senior Centers  
Fire Stations  
Libraries  
Infrastructure in support of housing  
ADA/Handicap Compliance  
Other Special Needs Facilities

**Group C Projects** 45 points  
Fire Trucks  
Historic Preservation  
Downtown Revitalization  
Parks/Recreation  
Slum/Blight Clearance

\*Group A-C projects constitute 45% of total CFF funding per round

**Leveraging of Philanthropic Capital** 25 points  
2% of total Grant amount or \$5,000  
(whichever is greater) is being  
funded by Philanthropic capital. Sources include  
but are not limited to:  
County Community Foundation  
Lilly Foundation  
Kellogg Foundation  
University Foundations  
Private Endowments

**Points Reduction Policy:**

It is the policy of OCRA not to fund more than one phase or component of a single project type in different funding rounds. This applies to all project types, although it is particularly relevant to utility projects. If a community needs to phase a project in order to complete it, they should consider which phase would be most appropriate for CFF assistance. Even if a community doesn't intentionally phase a project, OCRA will take into account previously awarded projects for the same project type. A Community that has previously been awarded a grant for the same project type will likely not be competitive and will be subject to the follow point reduction. This applies to all project types, although it is particularly relevant to utility projects.

0 – 5 years since previous funding – 50pts  
5 – 7 years since previous funding – 25pts

Example:

Community submits and receives a CFF award for a new water tower in Round I of 2002. When applying for a water system upgrade (or a new water tower because the one they purchased failed) in Round I of 2007, they would be subject to a point reduction of 50pts.

**COMMUNITY FOCUS FUND**

**APPLICATION PACKAGE**

**Community Development Block Grant Program**  
**U.S. Department of Housing and Urban Development**

**July 2007**

Indiana Office of Community and Rural Affairs  
Community Development Block Grant Program  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204  
(317) 232-1703, (800) 824-2476

## TABLE OF CONTENTS

<b>I:</b>	<b>CFF INFORMATION</b>	<b>PAGE</b>
	Program Overview	1
	Minimum Requirements	1-2
	Eligible Projects/Activities	3
	Meeting a Goal of the Federal Act	3
	Ineligible Projects	5
	Projects Combining Eligible and Ineligible Activities	5
	Amount of Grant Request	5
	Consultants and Grant Administration	6
	Public Hearings	6
	Application Process	7
	Proposal and Application Submission	7
	How to Complete the Forms	8-10
<b>II:</b>	<b>CFF APPLICATION</b>	<b>11</b>
	Proposal Checklist	11
	Application Checklist	12-13
	Application Information	14-15
	Applicant Contact Information	16
	Project Description	17
	Project Need	18
	Financial Impact	19-20
	Infrastructure	21-22
	Local Effort	23
	Project Completion Timetable	24
	Project Budget	25
	National Objective Identification	26-27
	Beneficiaries Form	28-29
	Readiness Status (proposal only)	30
	Citizen Participation Report	31-32
	IOCRA Rate Calculation Worksheet	33
	Readiness to Proceed Certification	34-37
	Displacement Assessment	38
	Assurances and Certifications	39-43
	CDBG Disclosure Report	44-47
	Civil Rights Certification	48-49
<b>III:</b>	<b>APPENDIX 1: SAMPLE DOCUMENTS</b>	<b>50</b>
	SAMPLE - Project Timetable	51
	SAMPLE – Itemized Project Budget	52
	SAMPLE - Public Hearing Notice	53
	SAMPLE - Slum and Blight Declaratory Resolution	54-55
	SAMPLE - Resolution Authorizing Application Submission	56
	SAMPLE - Local Displacement Plan	57
	SAMPLE - Cooperation Agreement	58
<b>IV:</b>	<b>GRANT EVALUATION CRITERIA</b>	<b>59</b>
<b>V:</b>	<b>CFF PROJECT DEVELOPMENT ISSUES</b>	<b>66</b>

# COMMUNITY FOCUS FUND INFORMATION, PROPOSAL, AND APPLICATION INSTRUCTIONS

## OVERVIEW OF THE CFF PROGRAM

The goal of the Community Focus Fund (CFF) program is to encourage communities with eligible populations to focus on long-term community development. To be competitive, projects must demonstrate the following:

- The area to be served has a substantial low- and moderate-income population (51% or greater) or is designated a slum or blighted area by local resolution;
- The particular project addresses the long-term planning and development efforts of the community;
- The funds granted will have a significant impact on the overall project;
- The community has demonstrated a strong commitment to the project; and
- The project is ready to proceed upon grant award and will be completed within 18 months after grant award.

## MINIMUM REQUIREMENTS

To be eligible for CFF assistance, projects must meet the following minimum requirements:

- The lead applicant must be a non-entitlement city, county or incorporated town that possesses the legal capacity to carry out the proposed program.
- The lead applicant may apply on behalf of a 501c3 not-for-profit organization for an eligible project, provided that the organization can document its not-for-profit status with the U.S. Internal Revenue Service, the Indiana Department of Revenue, and the Indiana Secretary of State.
- The proposed project must meet a national objective and be an eligible activity under the federal Community Development Block Grant (CDBG) Act. In general, the project must either:
  - benefit an area or clientele whose population is at least 51% low- and moderate-income, or
  - aid in the prevention or elimination of slums or blight.
- If the applicant has previously received Community Focus Funds (CFF), CFF Planning Grant Funds (CFFPG), Community Economic Development Funds (CEDF) or any CDBG Funds through the Indiana Housing and Community Development Authority (IHCDA) the applicant must NOT have:
  - ❖ any unresolved monitoring/audit findings;
  - ❖ any overdue grant reports or close-out documents;
  - ❖ for cities and towns, more than one (1) open CFF or Planning Grant at the time of application;
  - ❖ for counties, more than two (2) open CFF and/or Planning Grants at the time of applications
  - ❖ an open CFF grant or Planning Grant that has not received Release of Funds;
    - If a community has an open CFF or Planning Grant, the community must have an executed construction contract and be under construction, or a consultant under contract for planning grants before the community map apply for an additional CDBG Grant.
- Any CDBG Program Income accumulated from a previous CDBG grant must be committed for use that has been approved by the Indiana Office of Community and Rural Affairs before another CDBG grant will be approved. Any available Program Income may be used as part of the local match for a CDBG project. Please contact Community Affairs at (317) 232-1703 for additional information regarding Program Income.
- At least 10% of the **total project budget** must be provided by the applicant. This local match must be in the form of cash or debt provided by the applicant or a third party. In-kind contributions and other state or federal grants do not count toward the 10% local match requirement.

## **MINIMUM REQUIREMENTS (Continued)**

- No more than 5% of the total project budget, up to a maximum of \$25,000, may be provided by in-kind sources. All requests to use in-kind match must be approved in advance, in writing, by the Indiana Office of Community and Rural Affairs's Community Affairs Division. **Written requests and documentation must be submitted to the Director of the Community Affairs Division at least four weeks prior to the application deadline.** The following are considered to be eligible sources of in-kind match:
  - The fair market value of donated land. Land donations by developers, organizations or individuals with financial or ownership interest in the project are ineligible as in-kind match;
  - Volunteer labor calculated at a standard wage rate for the type of skilled construction work to be performed.
  - Donated goods and materials valued at a reasonable market value; and
  - Waived building permit fees, inspection fees, and utility hookup fees, which are established by municipal ordinance or resolution.

Written requests must include:

- A letter from the chief elected town or city official;
- Supporting documentation, including a commitment letter from the donor regarding what is being donated and the value; and
- In the case of land donation, a copy of the fee appraisal (a review appraisal is not required) and all supporting URA documentation.

Please contact the Office of Community and Rural Affairs for more information regarding the in-kind match policy.

- For those applicants who have open Planning Grants pertaining to the project, the community must have a final plan approved prior to submission of a CFF application for the project. **The plan must be submitted at least 120 days prior to the application due date.** All issues must be resolved prior to submission of the application.
- Any CDBG program income accumulated from a previous CDBG grant that has not been identified for an approved use by the Indiana Office of Community and Rural Affairs must be spent before another CFF grant will be approved. Any available program income **must** be used as part of the local match for a CFF project.
- All applicants with local CDBG program income revolving loan funds approved by the state may not have more than \$50,000 in the local loan fund at the time of application.
- The cost per beneficiary ratio for the proposed project cannot exceed \$5,000, except for infrastructure in support of housing projects, which may be up to a \$10,000 cost/beneficiary ratio (grant funds only).
- For Fire Protection projects, the Assessed Valuation of the service area must be \$100 million or less.
- A single-sided original and four copies of the complete application must be received by the Office of Community and Rural Affairs, Community Affairs Division, by 5 p.m. EST on the due date. Late applications will not be accepted.

## **ELIGIBLE ACTIVITIES**

This list identifies the general types of activities that are eligible for CFF funding. It is not meant to include or exclude any particular project.

### **Property Acquisition and Disposition**

- Surveying and appraisal costs
- Legal costs

### **Clearance**

- Demolition and/or clearance
- Moving of structures

### **Administration**

- Reasonable and eligible costs associated with the administrative requirements of the CDBG portion of the proposed project

### **Environmental Review**

- Costs associated with obtaining necessary review of the proposed project

### **Public Facilities**

- Infrastructure in support of downtown revitalization
- Water lines
- Water treatment facilities
- Sewer lines
- Sewer treatment facilities
- Senior centers/Youth Centers
- Day care centers
- Facilities for the adults with severe disabilities
- Community centers
  - Fire stations
- Fire fighting vehicles

## **MEETING A GOAL OF THE FEDERAL ACT**

Title I of the Housing and Community Development Act of 1974, as amended, identifies the national objectives of the CDBG program. CFF projects must meet one of the following national objectives and meet the requirements set out for that objective:

- Benefit at least 51% low- and moderate-income persons;
  - On an area basis; or
  - Of a limited clientele group.
- Aid in the prevention or elimination of slums or blight on either an area or spot basis.

The community will need to demonstrate that it meets each objective by providing all required documentation and answering all relevant questions.

### **Benefit to Low- and Moderate-Income Persons – Area Basis**

To show that a project benefits an area of low and moderate income people, the following questions must be clearly answered in the application on the National Objective Identification page:

1. What are the boundaries of the service area?
2. How do the boundaries correspond to the project's intended beneficiaries?
3. Using HUD Census data or a certified income survey, what percentage of persons in the service area is of low-to moderate-income?
4. How were the income characteristics of the target population determined?
5. Is the proposed facility available to all service area residents?

Income surveys are good for two years from the date of the certification letter. The survey may be re-certified one time for an additional two years. The four-year period during which the income survey may be used is calculated from the date of the first certification letter. The project area must be certified as a single area; two separate previously certified income surveys comprising the total project area will not be accepted.

The following documentation **MUST** be provided in the application:

1. Map(s) showing location and boundaries of service area.
2. If applicable, certification of income survey results by a qualified professional. The methodology of the income survey must also be included.

### **Benefit to Low- and Moderate-Income Persons – Limited Clientele Basis**

There are eight groups of people that are presumed by federal regulations to be of low and moderate income. Those groups are as follows:

- Senior citizens (people who are 62 years of age or older);
- Migrant farm workers;
- Abused children;
- Battered spouses;
- Severely handicapped adults;
- Homeless persons;
- Illiterate adults; and
- Persons with AIDS.

For limited clientele projects serving other persons, benefit to low to moderate income persons must be documented and the census track provided.

For a limited clientele project, these questions will need to be clearly answered in the application on the National Objective Identification page:

1. Who will use the proposed facility? Are the beneficiaries in a group that is presumed to be low- and moderate-income, or will beneficiaries be qualified based on income?
2. Will any other groups or the general public also use the facility? If so, to what extent?
3. If the facility is to be used on an income-eligible basis, how will income and family size information of users be documented? If less than 100% of users are to be of low- to moderate-income, how was the percentage of low- to moderate-income users determined or estimated?

The following documentation will also have to be provided for a limited clientele application:

1. For mixed-use facilities: floor plan showing areas devoted to limited clientele activities.
2. If appropriate, income sliding scale and/or information concerning specific federal and state subsidized programs for the identified limited clientele group.

### **Prevention or Elimination of Slums or Blight – Area Basis**

The following questions must be answered in the application on the National Objective Identification page:

1. What are the boundaries of the area?
2. What are the conditions that cause the area to be considered blighted?
3. What percentages of buildings in the area are deteriorated? How are they deteriorated?
4. What public facilities in the area are deteriorated? Describe this deterioration.
5. How will the proposed project remedy one or more of the blighted conditions described above?

The following documentation to the application must be attached with a slum and blight, area basis application:

1. Municipal resolution passed by governing body that describes boundaries of the specific blighted conditions within the area, and officially designates an area as blighted.
2. Map of area showing location of project activities.

## **Prevention or Elimination of Slums or Blight – Spot Basis**

The following issues must be addressed on the National Objective Identification page:

1. Show the specific blighted or deteriorating structure that will be affected by the proposed project.
2. Provide a detailed description of conditions to be remedied by the proposed project, accompanied by a detailed statement of activities to address those conditions.

The following documentation to the application must be attached with a slum and blight, spot basis application:

1. Municipal resolution passed by governing body that describes the blighted or deteriorating structure, including a legal description, and officially designates the structure as blighted under a spot basis.

Spot basis slum/blight projects are limited to five project activities: acquisition, relocation, clearance, historic preservation and limited rehabilitation to correct specific conditions detrimental to public health and safety. **Please note a spot basis blight project must not be located within a designated blight area.**

## **INELIGIBLE PROJECTS**

This list is not meant to be all-inclusive; questions about a specific project should be directed to the Community Development Division. The following is a list of **some** of the projects that are not eligible for CFF funding:

- The acquisition, construction or rehabilitation of buildings for the general conduct of government;
- Real property acquisition for ineligible activities;
- General equipment purchase;
- Operation and maintenance expenses associated with public facilities or services;
- General government expenses;
- Political activities of any nature;
- Project contingency fees; or
- The direct construction of new housing.

## **PROJECTS COMBINING ELIGIBLE AND INELIGIBLE ACTIVITIES**

Depending on a community's needs, it may be appropriate for a project to combine CDBG eligible and ineligible activities. Such a project may still be eligible for CFF funds, provided that the budget clearly delineates the costs of the eligible and ineligible activities, that CFF funds do not pay for any ineligible activities, and that local funds comprise at least 10% of the cost of the eligible portion of the project.

Please consult Community Development for further guidance.

## **AMOUNT OF GRANT REQUEST**

The Indiana Office of Community and Rural Affairs (IOCRA) has established a maximum grant award of **up to \$500,000** for a Community Focus Fund application. Funding for Fire and EMS Stations is capped at \$350,000. Funding for fire trucks is capped at \$150,000. **The maximum award is not intended to serve as a target figure for requests for grant assistance.** IOCRA will review the level of grant assistance requested and will consider the appropriateness of the project's scope, the level of demonstrated need and the financial resources of the applicant. **If IOCRA determines that a lesser amount is appropriate, it may be necessary to revise the project before it is submitted in final form.**

## CONSULTANTS & GRANT ADMINISTRATION

The procurement process required for the Community Development Block Grant (CDBG) programs is called Qualifications Based Selection (QBS) for architectural and engineering services, and Request for Proposal (RFP) for all other services.

All grant administrators involved in CDBG projects must have successfully completed, or successfully tested out of, the CDBG Grant Administrator Training Course. This certification must be current at the time of application. A list of such grant administrators can be provided upon request by going to <http://www.in.gov/ocra>.

## PUBLIC HEARINGS

Two public hearings must be held at different stages of project development. One public hearing must be held prior to submission of the proposal and the second must be held prior to the submission of the full application. Note: new public hearings must be held each round, regardless of prior application.

State law describes how the public must be notified of public hearings. The advertisements of the public hearings must:

- Be placed in one newspaper of general circulation in the area where the project is to be implemented, AND
- Be published at least 10 calendar days before the date of the public hearing.

A sample public hearing notice, which shows all of the legally required information to be included, is provided on page 54.

Applicants should be aware of local newspaper deadlines for submitting advertisements. Some smaller newspapers are published weekly, and will require that the advertisement is placed well in advance of the public hearing.

Other methods of advertising the public hearing are also encouraged. All public hearings must be accessible to handicapped persons. Public hearings should also be made convenient to the low- and moderate-income residents who will benefit from the project.

Copies of the public hearing notice and the publisher's affidavit documenting the publication must be attached to the proposal. The public hearing notice and the **original publisher's affidavit** documenting publication dates for each public hearing must be attached to the application. The affidavits are the **only** application document accepted after the application due date. **The affidavits must be received within 14 days of the application due date.**

Minutes of the public hearing, including a dated sign-in sheet of people who attended the hearing, **must** be included with the proposal and application. **Minutes must be signed and dated by the party that recorded them.** *If a third party, such as a grant administrator, takes the minutes of the meeting, the applicant **must** include a document stating that the third party is acting as its representative.* It is recommended that an audio tape of the public hearing be recorded and kept until the grant is closed out. IOCRA may request transcripts of the public hearings.

## APPLICATION PROCESS

There are two steps to the application process: the proposal stage and the application stage. The proposal stage allows the IOCRA to conduct a site visit with the community and also ensures that the applicant can correct any problems in the application before it is submitted.

Applicants should be aware that preparation of a full application is a complex procedure requiring a substantial investment of time and resources. Generally, many more applications are received in a grant cycle than can be funded. Applicants are strongly urged to take advantage of the assistance of the IOCRA Community Affairs Division so the best possible application may be submitted.

### PROPOSAL AND APPLICATION SUBMISSION

One original proposal and two (2) copies must be received in the CDBG office by 5:00 p.m. EST on the proposal due date.

One original application and four (4) copies must be received in the CDBG office by 5:00 p.m. EST on the application due date.

The original must bear the original signature of the chief elected official of the lead applicant and must be single-sided. **Late submissions or faxed proposals and applications will not be accepted.**

Each copy of the application must be complete, including all forms and attachments. No full-size architectural drawings or blueprints will be accepted. Please reduce necessary attachments to no larger than 8 1/2 X 11.

### **Proposals/Applications should be sent or delivered to:**

Indiana Office of Community and Rural Affairs  
Community Affairs Division  
One North Capitol, Suite 600  
Indianapolis, IN 46204  
(317) 232-1703  
1-800-824-2476

# HOW TO COMPLETE THE FORMS

## PROJECT NARRATIVE

There are four narrative sections of the application:

- Project Description;
- Project Need;
- Financial Impact; and
- Local Effort.

Documentation that supports the narrative must be provided in the appendices. Please be sure to reference the location of each piece of documentation. Attachments that are neither discussed nor referenced in the narrative **should not be included**.

Please answer the questions in each section completely. Also, refer to the documents in the final section of this application package titled “CFF Project Development Issues” for guidance on what IOCRA is looking for when reviewing applications for different project types. Addressing the issues identified for a specific project type will improve the competitiveness of the application.

When filling out the rate information for infrastructure projects, in the “Rate information with CFF funds” box, please provide a realistic picture of what the rates actually will be with the proposed CFF project. Communities are encouraged to utilize professional rate consultants to help them determine a rate structure that will allow them to fund and maintain their systems into the future. Then, use the gap calculation worksheet to determine how much further the rates would need to be increased if the applicant would have to finance the grant amount. This is the “gap”. It is important to use our standard assumptions and our worksheet (Page 34) when calculating the gap.

### PROJECT COMPLETION TIMETABLE

In chronological order, what are the critical accomplishments that must occur for the project to be completed? When will property be acquired? When will design work be finished? When will necessary permits be obtained? When will any required project financing be finalized? When will construction be started? Completed? (See sample timetable, page 52.)

### PROJECT BUDGET

The Project Budget table on page 25 must be completed, with a more detailed, itemized project budget immediately following. The itemized project budget **MUST** provide as much specific information on project expenditures, from all funding sources, as is available. A sample Itemized Project Budget page is included (page 53). The level of detail shown in the sample is representative of what is expected.

When the sources of local match are requested, it is unacceptable to identify funding as “local” or “private”; specific funding sources must be identified: “General Fund,” “Revenue Bond Issue,” “XYZ Foundation Grant,” etc. It is also not permissible to identify an activity as being funded by “CFF and Local.” Specific dollar amounts for each line item must be attributed to each specific funding source.

### NATIONAL OBJECTIVES IDENTIFICATION

The National Objectives Identification Form is included to ensure that the project meets an objective of the federal CDBG program. On this page, all applicants **must check one** of the national objectives, indicate the low- and moderate-income percentage of the area to be served by the project, and provide information regarding how the project meets the selected national objective.

The questions that must be answered to demonstrate how the project meets the national objective begin on page 3, under “Meeting a Goal of the Federal Act.” Slum/Blight projects must also complete page 28. The applicant must also list the census tract number(s) for the census tract(s) covered by the project area. This information can be found at either of the following web-sites: [www.census.gov](http://www.census.gov) or [www.stats.indiana.edu](http://www.stats.indiana.edu) .

## BENEFICIARIES FORM

The Beneficiaries Form is included to provide information on the demographic make-up of the people who will benefit from the project. This information is used by the Indiana Office of Community and Rural Affairs for reporting purposes.

This information is available from published U.S. Census reports available at many libraries or on the web at [www.stats.indiana.edu](http://www.stats.indiana.edu). In those instances where the target population does not correspond to the population of a county, city or town, much of the requested information will have to be extrapolated from these U.S. Census reports. This is done by applying the percentages for county populations to the target population to derive numbers under each category. The number and percentage of low- and moderate-income persons should be taken either from HUD low- and moderate-income level data or from income survey results.

The Beneficiaries Form reflects the categories and format that HUD now expects to be reported. A special web page is available at [www.stats.indiana.edu](http://www.stats.indiana.edu) that can assist grant administrators in filling out this page. Please contact Grant Services for further information.

Please make certain to provide information about persons, not families. Only in instances where different project activities have different beneficiaries (example: a project consisting of a water line extension and a new water tower for the entire system) does information need to be reported under more than one "activity description." In such instances, the numbers reported under each column should correspond to the groups benefiting from the respective activities.

**In the event a community conducts an income survey, the number represented on the Beneficiaries Form should correspond to the results of the survey.**

## CITIZEN PARTICIPATION REPORT

The Citizen Participation Report requests a summary of the methods used to solicit public participation in the development of the proposed project. Specific information regarding what is required on this page is listed under "Public Hearings" on page 6.

Other methods of soliciting public participation, such as letters to affected residents, fliers, public posting of notices, electronic and print media coverage, etc., are also recommended. These other methods should take into consideration the needs and circumstances of low- and moderate-income persons. Describe such methods used in item #2 of the Citizen Participation Report. Any comments or complaints received, and the actions taken and responses made to such comments or complaints, must be recorded in item #3.

## READINESS TO PROCEED CERTIFICATION

All applications for CFF funds must include a certification of readiness to proceed. The certification must be executed where applicable by the applicant's chief elected official, environmental review specialist, project architect, project engineer and legal counsel. The Readiness To Proceed Certification is provided on pages 35-38.

## DISPLACEMENT ASSESSMENT AND DISPLACEMENT PLAN

**All applicants are required to complete the Displacement Assessment Form and a Displacement Plan even if no displacement will occur as a result of the proposed project.** Where no displacement is anticipated, the Displacement Assessment Form (page 39) is completed by simply checking the "N/A – No displacement will occur" line at the top of the form. Where displacement is expected as a result of the project, items 1-4 must be completed. It is important to realize that the standards for benefits that must be provided to displaced persons are determined by federal legislation, are rigorous, and apply to all CDBG-assisted projects. These requirements may apply even if the displacement occurred prior to the application for CDBG assistance.

A Displacement Plan must be developed even if no displacement is expected. The sample Local Displacement Plan included on page 58 may be used as a guide; it addresses the minimum requirements established. **When displacement is anticipated to occur, the applicant should seek the advice and technical assistance of Grant Services.** More detailed provisions of displacement benefits that must be provided are available on request.

## ASSURANCES AND CERTIFICATIONS

Immediately preceding the space for the signature of the chief elected official is a list of assurances and certifications. By affixing his or her signature to the application, the chief elected official is committing the applicant to comply with these assurances if grant assistance is approved. The assurances and certifications must be signed and dated by the chief elected official of the lead applicant. For cities, the chief elected official is the mayor; for towns, it is the president of the town council; for counties, it is the president of the county commissioners.

At a minimum, the chief elected official and/or the corporate counsel should read the assurances and understand the provisions to which the applicant is agreeing. Questions concerning the provisions of any of the assurances and certifications may be directed to Community Development.

## **CIVIL RIGHTS CERTIFICATION**

In addition to the Assurances and Certifications section, the Civil Rights Certification has been included to certify that the local unit of government shall follow all necessary federal civil rights requirements.

## **FEDERAL DISCLOSURE REQUIREMENTS OF APPLICATIONS**

Applicants who have received or expect to receive \$200,000 or more in Community Development Block Grant funds will be required to disclose certain information periodically.

All applications for CDBG assistance must include the following information:

- Assistance from other government sources in connection with the project;
- The financial interest of persons in the project;
- The sources of funds to be made available for the project;
- The uses of all project funds; and
- Applications received from units of local government will be made available for public inspection for a period of five years, beginning not less than 30 days after award of assistance.

Proposal Completion Checklist

While helpful, appendices are not required at the proposal stage. With the exception of the income survey information, **only** the requested information will be reviewed by the CDBG staff. If supplemental information is submitted, please follow the organizational outline in the Application Checklist.

*Please place the information in the proposal in the following order so that the CDBG Staff can review the information efficiently.*

- |   |  |
|---|--|
| <input type="checkbox"/> Cover Sheet  | <input type="checkbox"/> <b>IS THIS THE VERY FIRST PAGE OF THE PROPOSAL</b>  |
|   | <input type="checkbox"/> All blanks completed  |
|   | <input type="checkbox"/> Line 7 is at least 10% of line 10   |
| <input type="checkbox"/> Application Narrative  | <input type="checkbox"/> Project Description page  |
|   | <input type="checkbox"/> Project Need page   |
|   | <input type="checkbox"/> Financial Impact page   |
|   | <input type="checkbox"/> Local Effort page   |
| <input type="checkbox"/> Proposed Budget Page   | <input type="checkbox"/> Detailed budget page  |
|   | <input type="checkbox"/> All sections completed  |
|   | <input type="checkbox"/> All numbers add up  |
| <input type="checkbox"/> National Objective Form  | <input type="checkbox"/> Appropriate national objective indicated  |
|   | <input type="checkbox"/> Answered all questions related to the selected national objective, as listed on pages 3-4 of the application package                              |
|   | <input type="checkbox"/> Slum/Blight Project page included, as appropriate   |
| <input type="checkbox"/> Beneficiaries Page   | <input type="checkbox"/> Do the numbers add up?  |
|   | <input type="checkbox"/> If applicable, do numbers correspond to survey results?   |
|   | <input type="checkbox"/> The CFF request divided by the total number of beneficiaries does not exceed \$5,000 (\$10,000 for infrastructure in support of housing projects) |
|   | <input type="checkbox"/> If survey not yet complete/certified, provide status  |
| <input type="checkbox"/> Readiness Status   | <input type="checkbox"/> Status information provided for each category   |
| <input type="checkbox"/> Citizens Participation   | <input type="checkbox"/> Copy of publisher's affidavit   |
|   | <input type="checkbox"/> Was ad at least 10 days prior?  |
|   | <input type="checkbox"/> Attach <b>verbatim</b> minutes of public hearing  |
|   | <input type="checkbox"/> Attach list of attendees  |
| <input type="checkbox"/> CHIEF ELECTED OFFICIAL'S ORIGINAL SIGNATURE AT THE BOTTOM OF THE CITIZENS PARTICIPATION PAGE |  |

# Application Completion Checklist

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

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

- |  |  |
|--|--|
| <input type="checkbox"/> Cover Sheet                                   | <input type="checkbox"/> <b>IS THE VERY FIRST PAGE OF THE APPLICATION</b>  |
|  | <input type="checkbox"/> All blanks completed  |
|  | <input type="checkbox"/> Line 7 is at least 10% of line 10   |
| <input type="checkbox"/> Contact Information Sheet                     | <input type="checkbox"/> Must be completed for notification of awards  |
| <input type="checkbox"/> Table of Contents for Application             |  |
| <input type="checkbox"/> Application Narrative                         | <input type="checkbox"/> Project Description page  |
|  | <input type="checkbox"/> Project Need page   |
|  | <input type="checkbox"/> Financial Impact page   |
|  | <input type="checkbox"/> Infrastructure page   |
|  | <input type="checkbox"/> Local Effort page   |
| <input type="checkbox"/> Project Completion Timetable                  | <input type="checkbox"/> Corresponds to sample   |
|  | <input type="checkbox"/> Is less than 18 months  |
| <input type="checkbox"/> Project Budget                                | <input type="checkbox"/> Numbers add up  |
|  | <input type="checkbox"/> All budgets in agreement  |
|  | <input type="checkbox"/> Corresponds to cover page and narrative   |
| <input type="checkbox"/> National Objective Form                       | <input type="checkbox"/> Appropriate national objective indicated  |
|  | <input type="checkbox"/> Answered all questions related to the selected national objective   |
|  | <input type="checkbox"/> Slum-Blight Projects page included, as appropriate  |
| <input type="checkbox"/> Beneficiaries Form                            | <input type="checkbox"/> Do the numbers add up?  |
|  | <input type="checkbox"/> If applicable, do numbers correspond to survey results?   |
|  | <input type="checkbox"/> The CFF request divided by the total number of beneficiaries does not exceed \$5,000 (\$10,000 for infrastructure in support of housing projects)   |
| <input type="checkbox"/> Citizens Participation                        | <input type="checkbox"/> Original publisher's affidavits for both public meetings  |
|  | <input type="checkbox"/> Was ad at least 10 days prior?  |
|  | <input type="checkbox"/> Attach minutes of both public hearings  |
|  | <input type="checkbox"/> Attach list of attendees for both hearings  |
|  | <input type="checkbox"/> Documentation of third party authorization  |
| <input type="checkbox"/> APPENDIX A: Applicant Information             | <input type="checkbox"/> Subrecipient/Interlocal agreement   |
| <input type="checkbox"/> APPENDIX B: Project Description Documentation | <input type="checkbox"/> Pre-engineering report excerpts, drawings, maps, as appropriate   |
|  | <input type="checkbox"/> Flood plain map, if located in 100-year flood plain   |
|  | <input type="checkbox"/> Draft sub-recipient agreement, if applicable  |
|  | <input type="checkbox"/> Sub-recipient not-for-profit status documentation, including Federal designation from the IRS, Indiana Dept. of Revenue certification, and certificate of good standing from the Secretary of State |
| <input type="checkbox"/> APPENDIX C: Project Need Documentation        | <input type="checkbox"/> <u>Color copies of any pictures provided for all copies of the application</u>  |

APPENDIX D: Financial Impact Documentation

- Copies of rate structure
- History of recent rate increases
- Rate study or rate worksheet
- Ending fund balances for lead applicant as well as sub-recipient. DO NOT INCLUDE ALL BUDGET PAGES.
- Budget of sub-recipient, if any
- Five-year project pro-forma, if applicable
- County advertised tax sheet

APPENDIX E: Infrastructure

APPENDIX F: Local Effort Documentation

APPENDIX G: Project Completion Timetable

APPENDIX H: National Objective Info

- Maps
  - Boundaries of jurisdiction shown
  - Project area shown as well as service area
  - Service area corresponds to survey area
- Income Survey information
  - Description of survey methodology
  - Copy of sample survey form
  - Copies of written survey material (instructions, etc.)
  - Map of survey area
  - Survey results analysis form
  - Certification letter
- Slum and Blight Declaratory Resolution (if applicable)

APPENDIX I: Readiness information

- Readiness to proceed certification, signed in all appropriate places
- Financing information/local match documentation
- Municipal Resolution authorized by governing body committing local match
- Environmental Review information (include a completed Form 5 from the CDBG Grantee Implementation Manual)
- Permit information
- Site Control information
- In-Kind Documentation

APPENDIX J: Legal information

- Displacement Assessment
- Displacement Plan (see sample)
- Assurances and Certifications
  - Original signature of Chief Elected Official
- Civil Rights Certification
  - Original signature of Chief Elected Official
- Cooperation Agreements (if applicable)
- Multi-jurisdictional (if applicable)
  - Assurances and Certifications for each jurisdiction
  - Citizen participation for each jurisdiction
  - Two (2) hearings held for each jurisdiction
  - Displacement Plans and Assessments for each jurisdiction
  - Legal opinions for each jurisdiction affirming inter-local cooperation agreement
- Resolution for each jurisdiction
- Disclosure Report

**APPLICANT INFORMATION  
(APPENDIX A)**

LEAD (LEGAL) APPLICANT:  
 CHIEF ELECTED OFFICIAL (NAME & TITLE):  
 MAILING ADDRESS:  
 CITY: COUNTY: CDBG County Code:  
 ZIP: PHONE: FAX:  
 E-MAIL:  
 CHIEF FINANCIAL OFFICER (NAME & TITLE):  
 PHONE: EMAIL:  
 FEDERAL I.D. /TAX NUMBER:

SUBRECIPIENT (if applicable):  
 CHIEF EXECUTIVE OFFICER:  
 MAILING ADDRESS:  
 CITY:  
 ZIP: PHONE: FAX:  
 E-MAIL:  
 FEDERAL I.D. /TAX NUMBER:  
 Attach and reference appropriate subrecipient and interlocal agreements (Appendix A-1).

GRANT ADMINSTRATOR:  
 ORGANIZATION:  
 ADDRESS:  
 CITY:  
 ZIP: PHONE: FAX:  
 E-MAIL:  
 DATE OF MOST RECENT CERTIFICATION FROM IOCRA

PROJECT TITLE:

PROJECT ABSTRACT:

LMI % OR SLUM BLIGHT POINTS:  
 (THIS CAN BE FOUND ON NATIONAL OBJECTIVE PAGE)

# OF BENEFICIARIES:

**PROJECT FUNDING SOURCES**

	<u>Amount</u>
1. Community Focus Fund Request	
2. Lead and/or Joint Applicants	
3. Private and or Local Grants	
4. Loans	
5. In-Kind Match (5% of total max.)	
6. CDBG Program Income	
7. <b>TOTAL MATCH</b> (add lines 2-6)	
8. Other Government Grants	
List sources:	
9. Other Grants	
10. <b>TOTAL PROJECT COST</b> (add lines 1 & 7-9)	

**APPLICANT INFORMATION  
CONTINUED**

**LIST GRANT ADMINISTRATOR:**

**METHOD OF PROCUREMENT (check one):** RFP  Local Funds  Not Yet Procured  NA

**LIST ARCHITECT/ENGINEER:**

**METHOD OF PROCUREMENT (check one):** QBS  RFP  Local Funds  Not Yet Procured

**FAIR HOUSING ORDINANCE (check one):** On file with IOCRA  Attached (Appendix A-2)  None

**DRUG FREE WORK-PLACE POLICY (check one):** On file with IOCRA  Attached (Appendix A-3)  None

**MBE PROGRAM PARTICIPATION PLANNED? (check one):** Yes  No

**Did the Community receive a CDBG Planning Grant pertaining to this project?** Yes   
No

**If yes, what is the grant number for that plan?**

**In what Indiana Senate District is this project?**

**State Senator representing this district:**

**In what Indiana House of Representatives District is this project?**

**State Representative representing this district:**

**Is the project site within a certified "Clean City" by IDEM?**

**APPLICANT CONTACT INFORMATION SHEET  
CONTINUED**

Please provide the following contact information so that OCRA may notify you of status of grant award in a timely manner.

PRIMARY CONTACT NAME:

PHONE:        MOBILE:        FAX:

HOME:        E-MAIL:

SECONDARY CONTACT NAME:

PHONE:        MOBILE:        FAX:

HOME:        EMAIL:

SUBRECIPIENT CONTACT NAME (if applicable):

PHONE:        MOBILE:        FAX:

E-MAIL:

GRANT ADMINSTRATOR:

PHONE:        MOBILE:        FAX:

HOME:        E-MAIL:

# PROJECT DESCRIPTION

## (APPENDIX B)

- 1) Describe the proposed project. Attach (Appendix B-1) and reference a summary or abstract of preliminary engineering reports, building plans, scaled drawings and dimensions, cost estimates, feasibility studies, etc.
  
- 2) Explain plans for the ongoing maintenance and repair of the completed project (sewer/water system, building, vehicle, etc.). What entity will be responsible and how will work be funded? How much will be set aside each year for this purpose and in what type of fund?
  
- 3) Upon completion of this project what measure will be used to determine the effectiveness of the project (e.g. removal from sewer connection ban, improvement in ISO rating, etc.)?
  
- 4) If applicable, please identify the roles and responsibilities of the applicant and the sub-recipient. Also, attach (Appendix B-4) documentation for the 501 (c) designation in Appendix One.
  
- 5) Is the project located within a 100-year flood plain?  Yes  No
  
- 6) Has this project been submitted in a prior round?  Yes  No
  
- 7) If yes, please describe everything that has changed in the project description since the most recent submission.

# PROJECT NEED

(APPENDIX C)

1) How do the proposed improvements address the needs of the community and proposed projects? Please be as specific as possible providing dates and other details as appropriate (e.g. IDEM documentation, photos, letters from knowledgeable authorities, government agency documentation, testing results, etc.). (Appendix C-1)

2) Why is this project the highest priority for the community? Explain how this priority was determined.

3) Describe the short and long-term benefits this project will have on the community.

4) **FOR FIRE PROTECTION PROJECTS ONLY --** What is the ISO rating of the community? Include the average number of runs for the last three years and a list of volunteer firepersons and their training levels. Attach and reference documentation (Appendix C-4).

5) **FOR WATER, SEWER, STORM WATER PROJECTS ONLY --** Is your community under an enforcement action by another government agency?

Yes  No

If yes, please summarize how this impacts the project. Attach and reference documentation (Appendix C-5).

6) Has this project been submitted in a prior round?

Yes  No

7) If yes, please describe everything that has changed in the project need since the most recent submission.

# FINANCIAL IMPACT

## (APPENDIX D)

- 1) **Annual operating budget of the lead applicant: \$**
- 2) **Total indebtedness of the lead applicant: \$**
- 3) **Total property tax rate (in dollars):**  
Attach and reference the county advertised tax sheet (Appendix D-3).
- 4) **Annual operating budget of the sub-recipient, if applicable: \$**
- 5) **Total indebtedness of the sub-recipient, if applicable: \$**
- 6) **FOR FIRE PROTECTION PROJECTS ONLY: What is the Assessed Valuation for the Fire Protection Area:**

*Attach map of service area and auditors letter for Assessed Valuation. (Appendix D-6)*

- 7) **Describe the funding package put together for this project. Identify the sources and amounts of match, as well as any requirements associated with the funding sources. For any loans, indicate the source of collateral, if any, and the repayment plan.**
- 8) **Describe why this funding package is the best choice for the project, as opposed to other funding options. Identify all other resources investigated and why those resources were not utilized.**
- 9) **Explain any ending fund balances in the applicant's and sub recipient's budget.**
- 10) **Explain the financial condition of the applicant and if necessary the subrecipient and why they cannot afford the project without grant assistance.**

# FINANCIAL IMPACT (CONTINUED)

11) Describe other issues, unrelated to this project, that have demanded the community's resources over the past 3-5 years, as well as any known projects scheduled for the next year. Please quantify the community's investment of time or finances.

12) Describe past and current efforts to address the problem locally. Quantify any investment, of time and finances, which the community has already made to address the issue.

13) Has this project been previously submitted in a prior round?

Yes  No

14) If yes, please describe everything that has changed in the financial impact section since the most recent submission.

*Attach (Appendix D-14) and reference the last annual budget of the lead applicant, and if necessary the subrecipient, showing the ending fund balances. The unit of local government's annual report (CTAR or CAR) is suggested.*

*Also include (Appendix D-15) the five year project pro forma for all public facilities.*

# INFRASTRUCTURE

## (APPENDIX E)

Answer the following questions for water, wastewater, and storm drainage projects ONLY.

**Rate information:**

	CURRENT RATES	WITH CFF FUNDS	WITHOUT CFF FUNDS
Water rate for 4,000 gallons			
Sewer rate for 4,000 gallons			
Stormwater fee/assessment			
Combined rate for 4,000 gallons			

- 1) **Total number of users on the system:**
  
- 2) **The gap for this project is \$ . The gap must be calculated using the IOCRA rate calculation worksheet.**

	Year current ordinance was passed	Year previous ordinance was passed	Change in rates (in dollars)
Water Ordinance			
Sewer Ordinance			

Attach and reference the most recent water and sewer rate ordinances.

- 3) **Describe your rate history and what impacts this project will have on current rates.**

# INFRASTRUCTURE

(CONTINUED)

Provide the following information on the *existing* system for which the application is being submitted:

	Age	Capacity	Ave. Daily Flow/Usage	Max. Daily Flow/Usage	Date and type of most recent improvement
Sewer					
Water					

**4) If new sewer or water lines are being installed as part of the project, describe the plans that are in place for undeveloped land around new lines.**

# LOCAL EFFORT

(APPENDIX F)

- 1) What type of formal, long-range planning has this community completed? Explain how this project fits in with this planning.
  
- 2) Was a regional approach to addressing this issue used? Please explain.
  
- 3) Describe the public participation during the development of this project. Reference and include information (e.g. meeting minutes, sign-in sheets, summaries, etc.) from any public hearings, meetings, surveys, etc. (Appendix F-3)
  
- 4) Excluding this project, what other projects, programs or amenities does the community offer that address the community's quality of life (e.g. civic programs, organizations, general community activities, parks, recreation, etc.)?
  
- 5) Has this project been submitted in a prior round?  
Yes  No
  
- 6) If yes, please describe everything that has changed in the local effort section since the most recent submission.

# **PROJECT COMPLETION TIMETABLE**

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

# PROJECT BUDGET

Please complete the table below. **Also, immediately following this page, attach itemized cost estimates for each line item.**\* For assistance, see the Sample Itemized Project Budget on page 53 of the CFF Application Package.

## TOTAL SOURCE OF FUNDS

ACTIVITY	CFF	LOCAL	IN-KIND/ INELIGIBLE	TOTAL
Construction Costs				
Professional Fees				
Labor Standards (\$5,000 max)				
Land Acquisition (if any)				
Environmental Review				
Administration (Max 8% of CFF)				
<b>TOTAL</b>				

\* Do **not** include any miscellaneous, contingency, general costs, etc. in budget.

List sources of local match and leveraged funds:  
(Documentation of financial commitments from all sources is required)

Source	Amount
<b>TOTAL LOCAL LEVERAGE</b>	

**1) Source(s) of local match:**

# NATIONAL OBJECTIVE IDENTIFICATION

(APPENDIX H)

CHECK ONLY ONE OF THE NATIONAL OBJECTIVES BELOW. ALL PROJECTS MUST PROVIDE ALL INFORMATION REQUESTED ON THIS PAGE.

## **Benefit to Low- and Moderate-Income Persons**

Area Benefit       Limited Clientele       Housing       Jobs

## **Prevention or Elimination of Slums or Blight**

Area Basis       Spot Basis

**1) List percentage of population of low- and moderate-income persons served by this project:      %**

**2) Source:  2000 Census Data or  Income Survey (attach and reference (Appendix I-2) income survey)**

**3) Date of first income survey certification letter**

**4) Date of second income survey certification letter, if appropriate**

**5) List the census tract number(s) that are included in the project area:**

**6) List the census tract block group(s) that is included in the project area**

**7) Below, explain your selection of the above H.U.D. National Objective. REFER TO PAGES 3 OF THE INSTRUCTIONS FOR QUESTIONS TO BE ADDRESSED REGARDING THE NATIONAL OBJECTIVE SELECTED.**

# NATIONAL OBJECTIVE IDENTIFICATION: SLUM/BLIGHT PROJECTS (APPENDIX I)

Please check the statements that are appropriate for your project. Attach documentation in the National Objective Appendix (Appendix J) supporting your selections.

- Slum/Blight Area or Spot designated by resolution of the local unit of government (50 points)
- The applicant is an Indiana Main Street Community, and the project relates to downtown revitalization (5 points)
- The project site is a Brownfield\* (5 points)
- The project is located in a designated redevelopment area under IC 36-7-14 (5 points)
- The building or district is listed on the Indiana or National Register of Historic Places (10 points)
- The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 points)
- The building or district is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (5 points)

\* The State of Indiana defines a Brownfield as a parcel of real estate that is abandoned or inactive; or may not be operated at its appropriate use; and on which expansion, redevelopment, or reuse is complicated because of the presence or potential presence of a hazardous substance, a contaminant, petroleum, or a petroleum product that poses a risk to human health and the environment.

## BENEFICIARIES

Items 11-20 MUST add up to the number of people as well as low/moderate and non-low/moderate columns!

Project Title:

Total Beneficiaries (all activities):

		Total	Of the total population in the service area how many are Hispanic?	Activity Description
<b>Number of People</b>				
S I N G L E  R A C E	11	Number of Whites		
		Percent		
	12	Number of Blacks / African Americans		
		Percent		
	13	Number of Asian		
		Percent		
	14	Number of American Indian / Alaskan Native		
		Percent		
M U L T I  R A C E	15	Number of Native Hawaiian / Other Pacific Islander		
		Percent		
	16	American Indian / Alaskan Native & White		
		Percent		
	17	Asian & White		
		Percent		
	18	Black / African American & White		
		Percent		
R A C E	19	American Indian / Alaskan Native & Black / African American		
		Percent		
	20	Balance / Other		
		Percent		
		Number of Handicapped		
		Percent		
		Number of Elderly People		
		Percent		
	Number of Female-headed Households			
	Percent			
	<b>Number of Low/Moderate-Income People</b>			
	Percent			
	<b>Number of Non-Low/Moderate People</b>			
	Percent			

## BENEFICIARIES

Number of households receiving <b>new</b> assistance:	
Number of households receiving <b>improved access or service:</b>	
Number of households that will <b>no longer have substandard service</b> upon completion of the project:	

# **READINESS STATUS**

## **THIS PAGE IS ONLY FOR PROPOSALS**

Please discuss the current status of your project in meeting each of the following readiness criteria. For activities not yet complete, outline the remaining steps. Refer to the “Readiness to Proceed Guidelines” (Appendix 4) for information on what needs to be completed at the time of application.

### **Financing**

### **Preliminary Engineering/Architectural Plans**

### **Environmental Review**

### **Permits**

### **Site Control**

# CITIZEN PARTICIPATION REPORT

**1. Complete the following:**

CFF information to the public	Date
Notice of first public hearing	
Date of first public hearing	
Notice of second public hearing	
Date of second public hearing	

**2. Describe the methods used to solicit participation of low- and moderate-income persons:**

**3. Denote any adverse comments/complaints received and describe resolution:**

Please attach the following:

- \* Copy of publisher’s affidavit of all public notices.
- \* Signed minutes of the public hearings including a sign-in sheet of attendees.
- \* Copy of response(s) to comments and/or complaints.
- \*\* If a third party, such as a grant administrator, takes the minutes of the meeting, the applicant must include a signed letter stating that the third party is acting as its representative.

I certify that submission of this **proposal** has been duly authorized by the governing body of the applicant; that the applicant has the legal capacity to carry out the proposed project; that the proposed project is designed to meet the identified housing and community development needs of the community, including those of low- and moderate-income persons; and that the proposed project will minimize the need for displacement of businesses and families and provide reasonable benefits for those displaced. I also certify that the proposed project will be completed within eighteen (18) months of contract award, if approved.

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

\_\_\_\_\_  
Date

Typed Name and Title:

Please attach the following:

- \* Copy of publisher's affidavit of all public notices.
  - \* Signed minutes of the public hearings including a sign-in sheet of attendees.
  - \* Copy of response(s) to comments and/or complaints.
- \*\* If a third party, such as a grant administrator, takes the minutes of the meeting, the applicant must include a signed letter stating that the third party is acting as its representative.

I certify that submission of this **application** has been duly authorized by the governing body of the applicant; that the applicant has the legal capacity to carry out the proposed project; that the proposed project is designed to meet the identified housing and community development needs of the community, including those of low- and moderate-income persons; and that the proposed project will minimize the need for displacement of businesses and families and provide reasonable benefits for those displaced. I also certify that the proposed project will be completed within eighteen (18) months of contract award, if approved.

---

Signature, Chief Elected Official

Date

Typed Name and Title:

## IOCRA GAP CALCULATION WORKSHEET

This worksheet will allow you to quickly calculate the monthly rate impact on your utility customers that would result from financing your project without CFF grant assistance. This worksheet is not intended to substitute for a true rate analysis, but allows IOCRA to evaluate the impact of grant funds on all communities in a consistent way.

### Costs without CFF

1. Grant Amount Requested \_\_\_\_\_
2. Debt Coverage Factor \_\_\_\_\_  
(assume 25%)
3. Total Funds Needed \_\_\_\_\_  
(multiply line 1 by 1.25)
4. Amortization Constant .00633 \_\_\_\_\_  
(4.5% APR)
5. Monthly Payment \_\_\_\_\_  
(multiply line 3 by line 4)
6. O/M Cost Factor \_\_\_\_\_  
(multiply line 5 by .05)
7. Total Monthly Costs \_\_\_\_\_  
(add lines 5 and 6)
8. Number of Users \_\_\_\_\_
9. Monthly Rate Impact \_\_\_\_\_  
(divide line 7 by line 8)

The result on line 9 should give you the amount that your community would have to increase the monthly rate charged to each customer without CFF grant assistance, given the above assumptions. This is the “gap”, which is the amount by which grant funds will reduce or “buy down” your utility rates. This amount added to the actual rates anticipated with CFF funds will give you the rates needed “without CFF funds”.

## READINESS TO PROCEED CERTIFICATION

The (City/Town/County of \_\_\_\_\_), hereinafter referred to as “Applicant”, submits this certification to the Indiana Office of Community and Rural Affairs, hereinafter referred to as “IOCRA” respective to the Applicant’s application to IOCRA for federal Community Development Block Grant (CDBG) funding from IOCRA’s Community Focus Fund Program, hereinafter referred to as “CFF”. This certification is submitted to IOCRA to assure that the Applicant has attained sufficient readiness in order to complete the subject project within eighteen (18) months after award of the CFF grant by IOCRA. The Applicant warrants that the project will be completed within eighteen (18) months following CFF grant award, and herein indicates the level of readiness-to-proceed respective to the following areas:

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

### **Project Financing**

As Chief Elected Official (CEO) of the Applicant, I hereby certify that all non-CFF sources of funding necessary to carry out the project as listed in the project application have been secured and are available for expenditure immediately upon full execution of the CFF grant agreement between Applicant and IOCRA, and subsequent release of funds by IOCRA. I further certify that all such project matching funds will be placed into, and disbursed from, a separate special fund in accordance with I.C. 36-1-8-12, as amended by House Enrolled Act 1542 of the Acts of the 1997 General Assembly. Pertinent comments respective to this certification are indicated below.

Typed Name and Title

\_\_\_\_\_  
Signature

Date: \_\_\_\_\_, 20

(List any comments regarding this section here)

## Status of Required Environmental Review Process

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

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

Except for an exempt activity, I further certify that all applicable local, state and federal agencies have been contacted in writing and the present status of the environmental review process for this project is as follows (complete all that apply):

YES    N/A

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

Typed Name and Title

\_\_\_\_\_  
Signature

Date:       , 20

(List any comments regarding this section here)

### Project Engineering and/or Architectural Services

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

Typed Name and Title

\_\_\_\_\_  
Signature

Date:       , 20

(List any comments regarding this section here)

**Status of Site Control**

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

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

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

**Applicant’s Legal Counsel**

Typed Name and Title

\_\_\_\_\_  
Signature

Date:           , 20

**Applicant’s Professional Engineer or Architect**

Typed Name and Title

\_\_\_\_\_  
Signature

Date:           , 20

(List any comments regarding this section here)

**Status of Permits**

As Chief Elected Official of the Applicant, I hereby certify that all local, state and federal permits necessary to complete the project have been listed in the CFF application document and such permits may be secured in sufficient time for the Applicant to complete the project within eighteen (18) months following grant award.

Typed Name and Title

\_\_\_\_\_  
Signature

Date:           , 20

**Affirmation by Applicant’s Professional Engineer or Architect**

Typed Name and Title

\_\_\_\_\_  
Signature

Date:           , 20

(List any comments regarding this section here)

# DISPLACEMENT ASSESSMENT

N/A - No displacement will occur

Use this page to assess displacement plans and strategy.

1. Describe the need for displacement:

2. Substantiate the need for displacement:

3. Explain how displacement will be minimized:

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

(Attach Local Displacement Plan even if displacement will not occur – see sample)

**INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS  
COMMUNITY DEVELOPMENT BLOCK GRANT SMALL CITIES PROGRAM  
ASSURANCES AND CERTIFICATIONS**

The applicant hereby assures and certifies that:

- (a) It possesses legal authority to apply for the grant, and to execute the proposed program.
- (b) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
- (c) It has complied with all requirements of Executive Order 12372, and that either:
  - 1) Any comments or recommendations made by or through clearinghouses are attached and have been considered prior to submission of the application; or
  - 2) The required procedures have been followed and no comments or recommendations have been received prior to submission of the application.
- (d) It has facilitated or will facilitate citizen participation by:
  - 1) Publishing a statement of proposed activities so that affected citizens have an opportunity to Submit comments on the proposed activities and community development performance of the applicant;
  - 2) Providing adequate notices for two or more public hearings, specifically to persons of low and moderate income;
  - 3) Holding two or more public hearings on the proposed application at times and locations convenient to potential beneficiaries, convenient to the handicapped, and meeting needs of non-English speaking residents, if appropriate, to obtain citizens' views before adoption of a resolution or similar action by the local governing body authorizing the filing of the application;
  - 4) Providing citizens information concerning the amount of funds available for proposed community development activities and the range of those activities;
  - 5) Providing citizens with information concerning the amount of funds that will benefit persons of low and moderate income;
  - 6) Furnishing citizens with the plans made to minimize the displacement of persons and to assist persons actually displaced as a result of grant activities;
  - 7) Providing technical assistance to groups representing persons of low and moderate income requesting such assistance in developing proposals;
  - 8) Providing citizens with reasonable notice of substantial changes proposed in the use of grant funds and providing opportunity for public comment;
  - 9) Providing citizens with reasonable access to records regarding the past use of CDBG funds received; and
  - 10) Any modifications or amendments of the program that are made from time to time will be made in accordance with the same procedures required in (d) for the preparation and submission of a statement of proposed activities.
- (e) It has identified housing and community development needs, including those of low- and moderate-income persons and the activities to be undertaken to meet such needs.
- (f) The Community Development program has been developed so as to give maximum feasible priority to activities that will benefit low- and moderate-income families, or aid in the prevention or elimination of slums or blight.

[The requirement for this certification will not preclude the Office of Community and Rural Affairs from approving an application where the applicant certifies, and the Office of Community and Rural Affairs determines, that all or part of the Community Development Program activities are designed to meet other community development needs having a particular urgency as specifically explained in the application.]
- (g) It will minimize displacement of persons and provide for reasonable benefits to any person involuntarily and permanently displaced as a result of activities associated with program funds.

- (h) It will not attempt to recover any capital costs of public improvements assisted in whole or part with CDBG funds by assessing any amount against properties owned and occupied by persons of low and moderate income including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless (i) CDBG funds received are used to pay the proportion of such fee or assessment that relates to the capital costs of public improvements that are financed from revenue sources other than CDBG funds; or (ii) for purposes of assisting any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, the grantee certified to the Secretary or such State, as the case may be, that it lacks sufficient funds received from CDBG Program to comply with the requirements of clause.
- (i) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with OMB Circular No. A-102, Revised, which includes a provision that program or project completion be no longer than eighteen (18) months from project startup, inclusive of the bid process for professional and engineering services as well as program close-out. In addition, said provision includes an assurance of the availability of project funds, both local and private, upon award of the project grant.
- (j) It will comply with:
- 1) Section 110 of the Housing and Community Development Act of 1974, as amended, by the Housing and Urban-Rural Recovery Act of 1983 and the Housing and Community Development Act of 1987, 24 CFR 570.603, and State regulations regarding the administration and enforcement of labor standards;
  - 2) The provisions of the Davis-Bacon Act (46 U.S.C. S 276a-5) with respect to prevailing wage rates (except for projects for the rehabilitation of residential properties of fewer than eight units);
  - 3) Contract Work Hours and Safety Standards Act of 1962, 40 U.S.C. 327-332, requiring that mechanics and laborers (including watchmen and guards) employed on federally assisted contracts be paid wages of not less than one and one-half times their basic wage rates for all hours worked in excess of forty in a work-week, and
  - 4) Federal Fair Labor Standards Act, 29 U.S.C. S 102 et seq., requiring that covered employees be paid at least the minimum prescribed wage, and also that they be paid one and one-half times their basic wage rate for all hours worked in excess of the prescribed work-week; and
  - 5) Anti-kickback (Copeland) Act of 1934, 18 U.S.C. S 874 and 40 U.S.C. S 276c, which outlaws and prescribes penalties for “kickbacks” of wages in federally financed or assisted construction activities.
- (k) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative requirements.
- (l) It will comply with:
- 1) Title VI of the Civil Rights Act of 1964 (Public Law 88-352), and the regulations issued pursuant thereto (24 CFR Part 1), which provides that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received Federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits;
  - 2) The Fair Housing Act (previously known as Title VIII of the Civil Rights Act of 1968) (Public Law 90-284), as amended, administering all programs and activities relating to housing and community development in a manner to affirmatively further fair housing in the sale or rental of housing, the financing of housing, and the provision of brokerage services;
  - 3) Section 109 of Title I of the Housing and Community Development Act of 1987, as amended, and the regulations issued pursuant thereto (24 CFR 570.602), which provides that no person in the United

States shall, on the grounds of race, color, national origin, religion, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or part with funds provided under the Act. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to otherwise qualified handicapped individuals as provided in Section 504 of the Rehabilitation Act of 1973 shall also apply to any such program activity;

- 4) Executive Order 11063, as amended by Executive Order 12259 on equal opportunity in housing and non-discrimination in the sale or rental of housing built with Federal assistance, and requiring that programs and activities relating to housing and urban development be administered in a manner affirmatively to further the goals of Title VIII of the Civil Rights Act of 1968; and
  - 5) Executive Order 11246 as amended by Executive Orders 11375 and 12086, and the regulations issued pursuant hereto (24 CFR Part 130 and 41 CFR Chapter 60), and the regulations issued pursuant thereto (24 CFR Part 130 and 41 CFR Chapter 60), the Indiana Code (I.C. 22-9-1-10), which provides that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal or federally assisted construction contracts. Contractors and subcontractors on Federal and federally assisted construction contracts shall take affirmative action to insure fair treatment in employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training and apprenticeship.
- (m) It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended, requiring that to the greatest extent feasible opportunities for training and employment be given to lower income residents of the project area and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing within the unit of local government.
- (n) It will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and Federal implementing regulation at 49 CFR Part 24, and the requirements of section 570.496a and it is following a residential anti-displacement and relocation assistance plan under section 104(d) of Title I of the Housing & Community Development Act of 1974, as amended.
- (o) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
- (p) It will comply with the provisions of the Hatch Act, which limits the political activity of employees.
- (q) It will give State, HUD and the Comptroller General through any authorized representatives, access to and the right to examine all records, books, papers, or documents related to the grant.
- (r) Its chief executive officer or other officer of applicant approved by the Office of Community and Rural Affairs:
- 1) Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 (NEPA)(42 U.S.C. S 4321 et seq.) and other provisions of Federal law, as specified at 24 CFR 58.1 (a)(3) and (a)(4), which further the purposes of NEPA insofar as the provisions of such Federal law apply to the Indiana Small Cities Development Block Grant Program; and
  - 2) Is authorized and consents on behalf of the applicant and himself/herself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his/her responsibilities as such an official.
- (s) It will comply with:

- 1) The National Environmental Policy Act of 1969 (42 U.S.C. S 4321 et seq.) and 24 CFR Part 58, and in connection with its performance of environmental assessments under the National Environmental Policy Act of 1969, comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 470), Executive Order 11593, and the Preservation of Archaeological and Historical Data Act of 1966 (U.S.C. 469a-1, et seq.) by:
    - a) Consulting with the State Historic Preservation Officer to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the proposed activity; and
    - b) Complying with all requirements established by the State and to avoid or mitigate adverse effects upon such properties.
  - 2) Executive Order 11988, Floodplain Management;
  - 3) Executive Order 11990, Protection of Wetlands;
  - 4) Endangered Species Act of 1973, as amended, (16 U.S.C. Section 1531 et seq.);
  - 5) The Fish and Wildlife Coordination Act of 1958, as amended, (16 U.S.C. Section 661 et seq.);
  - 6) The Wild and Scenic Rivers Act of 1968, as amended, (16 U.S.C. Section 1271);
  - 7) The Safe Drinking Water Act of 1974, as amended, (42 U.S.C. Section 300f et seq.);
  - 8) Section 401(f) of the Lead-Based Paint Poisoning Prevention Act, as amended, (42 U.S.C. Section 4831 (b));
  - 9) The Clean Air Act of 1970, as amended, (42 U.S.C. Section 7401 et seq.);
  - 10) The Federal Water Pollution Control Act of 1972, as amended, (33 U.S.C. Section 1251 et seq.);
  - 11) The Clean Water Act of 1977 (Public Law 95-217); and
  - 12) The Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 (42 U.S.C. Section 6901 et seq.);
  - 13) Section 202(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4106) as it relates to the mandatory purchase of flood insurance for special flood hazard areas.
- (t) It will comply with all parts of Title I of the Housing and Community Development Act of 1974, as amended, which have not been cited previously as well as with other applicable laws.
- (u) It will comply with the provisions of the Indiana Code (I.C.) 35-44-1-3 and 4.
- (v) It will abide by the provision that no member, officer, or employee of the grantee or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise any functions or responsibilities with respect to the program during the tenure or for one year thereafter shall have any direct or indirect interest in any contractor, subcontractor, or the proceeds thereof, financed in whole or in part with Title I grants.
- (w) It agrees to repay to the State of Indiana any funds under this program which, as the result of a HUD or State of Indiana authorized audit, are found to have been spent in an unauthorized manner or for unauthorized activities.
- (x) It certifies that none of the funds being applied for will be used to substitute for any local, state, federal or private dollars that have been committed to the project as proposed in this application.
- (y) It certifies that it has adopted and will enforce a policy of prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction (Section 104(l) of Title I of the Housing & Community Development Act of 1974, as amended).
- (z) It certifies that pursuant to 31 U.S.C. Section 1352, and any regulations promulgated thereunder:
- 1) no federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, 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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the proposed Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 3) The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

---

THE LEGAL APPLICANT/RECIPIENT CERTIFIES THAT:

To the best of my knowledge and belief, the recipient will comply with the above assurances if assistance is approved.

CERTIFYING REPRESENTATIVE: (To be signed by Chief Elected Official or Designee)

---

Signature, Chief Elected Official

Name (typed or printed)

Title

Date



---

PART III - OTHER GOVERNMENT ASSISTANCE PROVIDED/APPLIED FOR

---

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

---

Name and Address of Agency Providing or to provide Assistance	Program	Type of Assistance	Amount requested or Provided
--	---------	-----------------------	---------------------------------

---

  

---

---

PART IV - INTERESTED PARTIES

---

Alphabetical List of All Persons In With Reportable Financial Interest in the Project	SSN or Employer ID No.	Type of Participation in Project	Financial Interest Project S & %
--	------------------------------	-------------------------------------	-------------------------------------

---

---

---

PART V - EXPECTED SOURCES AND USES OF FUNDS

---

This Part requires that you identify the sources and uses of all assistance that have been or may be used in the project.

---

Source	Use

---

PART VI - CERTIFICATION

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

---

(Chief Elected Official)

(Date)

---

# CIVIL RIGHTS CERTIFICATION

The Applicant, any contractor, any subcontractor, or any other party performing any services or having any responsibilities hereunder shall fully and completely comply with the following:

- a) Section 109 of the Housing and Community Development Act of 1974 which requires that no person in the United States shall on the grounds of race, color, national origin or sex, be excluded from the participation in, be denied the benefits of, or be subjected to, discrimination under any program or activity funded in whole or in part with Community Development Block Grant (CDBG) funds.
- b) Shall not, under any program or activity pursuant to this Agreement, directly or through contractual or other arrangements, on the grounds of race, color, national origin, sex, age, handicap status or religion:
  - i. Deny any individual any facilities, services, financial aid or other benefits provided under the program or activity.
  - ii. Provide any facilities, services, financial aid or other benefits in a different form from the provided under the program or activity.
  - iii. Subject any person to segregated or separate treatment in, or in any matter of process related to receipt of any services or benefit under the program or activity.
  - iv. Restrict an individual in any way access to, or the enjoyment of, any advantages or privilege enjoyed by others in connection with facilities, services, financial aid or any other benefits under the program or activity.
  - v. Treat an individual different from others in determining whether the individual satisfies any admission, enrollment, eligibility, membership, or other requirement or condition which the individual must meet in order to be provided any facilities, services or any benefit provided under the program or activity.
  - vi. Deny an individual an opportunity to participate in a program or activity as an employee.
- c) Shall not use criteria or methods of administration which have the effect of subjecting individuals to discrimination on the basis of race, national origin, sex, age, handicap status or religion, or have the effect of defeating or substantially impairing the accomplishment of the objectives of the Housing and Community Development Act of 1974, (as amended).
- d) In determining a site or location of housing or facilities shall not make selections of such site or location which have the effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination on the grounds of race, color, national origin, sex, age, handicap status, or religion.

The Applicant in all contracts or agreements subject to Executive Order 11246 shall be subject to HUD Equal Employment Opportunity regulations at 24 CFI Part 130 applicable to HUD assisted construction contracts.

The Applicant shall cause or require to be inserted in full in any non-exempt contract and subcontract for construction work, or modification thereof, as defined in said regulations, which is paid for in whole or in part with assistance provided under this Agreement, the following equal opportunity clause:

The Applicant will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin or handicap. Such action shall include, but not limit to the following: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training; including apprenticeship. The applicant agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Grantor setting for the provisions of this nondiscrimination clause.

The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the applicant, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

The Applicant/Contractor will comply with all provisions of Executive Order 11246 of September 1965, and of the rules, regulations and relevant orders of the Secretary of Labor.

The Applicant/Contractor will comply with all provisions of Title VIII, Civil Rights Act of 1968, which prohibits discrimination in the sale or rental of dwellings, discrimination in the financing of housing, blockbusting, and discriminatory advertising and makes it unlawful to deny any person access to, or membership or participation in, any multiple listing services or real estate brokers' organization for discriminatory reasons.

The Applicant/Contractor will comply with Section 3 Housing and Urban Development Act of 1968, Section 504: Rehabilitation Act of 1974, Executive Order 11063 and all other Federal Rules and Regulations.

The Applicant will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules and regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by IOCRA and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

In the event of the Applicant's noncompliance with the nondiscrimination clauses of an executed agreement or with any such rules, regulations, or orders, this agreement may be canceled, terminated or suspended in whole or in part and the applicant may be declared ineligible for further government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 14, 1965, or by rule, regulation, or order of the Secretary of Labor.

The Applicant shall require that the language referred to in this certification be included in the award documents for all sub-awards at all tiers (including sub-contract, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

The Legal Applicant/Recipient Certifies That:

To the best of my knowledge and belief, the recipient will comply with the above certification if assistance is approved.

Certifying Representative: (To be signed by Chief Elected Official or Designee)

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

Name (typed or printed)

Title

Date

# **SAMPLE DOCUMENTS**

## SAMPLE PROJECT COMPLETION TIMETABLE

CITY/TOWN/COUNTY OF \_\_\_\_\_  
PROJECT NAME \_\_\_\_\_

<u>TASK</u>	<u>DATE</u>
Environmental review process	COMPLETED
CFF grant award	June, 2006
Community receives contract and authority to begin incurring costs for grant admin./e.r. and engineering	Aug., 2006
Procure professional services	Aug., 2006
Select professional for grant admin./environ. review, engineering	Aug., 2006
Town authorizes design of plans and specifications	Aug., 2006
Town submits plans and specifications to IDEM/IOCRA	Oct., 2006
IDEM approves plans and specs. /issues construction permit	Dec., 2006
Town advertises for construction bids	Jan., 2007
Town receives construction bids	Feb., 2007
Release of funds	Feb., 2007
Town awards contracts/commences construction	Mar., 2007
Completion of construction	Nov., 2007
Administratively complete CFF grant	Jan., 2008

\*All activities must be completed within 18 months of the date the awardee receives grant agreement documents for signature.

\*All grantees must secure release-of-funds and execute all project construction contracts within eight months following the date of receipt of the grant agreement documents for signature.

## SAMPLE ITEMIZED PROJECT BUDGET

ITEM	CFF	LOCAL	TOTAL
1 Booster Pump Station	\$15,000	\$15,000	\$30,000
1 Elevated Storage Tank	\$57,500	\$57,500	\$115,000
24,700 L.F. 4" PVC Water Main	\$98,500	\$98,500	\$197,000
21,950 L.F. Granular Backfill	\$43,900	\$43,900	\$87,800
21,950 L.F. Compacted Aggregate Base	\$54,750	\$54,750	\$109,500
21,950 L.F. Pavement Replacement	\$109,900	\$109,900	\$219,800
1 Stream Crossing	\$20,000	\$20,000	\$40,000
50 Hydrants @ \$1,500	\$37,500	\$37,500	\$75,000
Plans and Specifications	\$27,500	\$27,500	\$55,000
Inspection	\$17,500	\$17,500	\$35,000
<b>Const. Sub-total</b>	<b>\$482,000</b>	<b>\$482,000</b>	<b>\$964,000</b>
Grant Administration	\$15,000	----	\$15,000
Environmental Review	\$500	----	\$500
Bond and Legal Counsel	----	\$20,000	\$20,000
Financial Advisor	----	\$7,500	\$7,500
Fees, Advertising and Printing	----	\$3,000	\$3,000
<b>Admin. Sub-total</b>	<b>\$15,500</b>	<b>\$30,500</b>	<b>\$46,000</b>
<b>Total Project Cost</b>	<b>\$497,500</b>	<b>\$512,500</b>	<b>\$1,010,000</b>

### SOURCES OF LOCAL MATCH

Water Utility Cash on Hand	\$112,500
Revenue Bond	\$400,000
<b>TOTAL LOCAL MATCH</b>	<b>\$512,500</b>

## **SAMPLE PUBLIC HEARING NOTICE**

On or about (date), (Applicant) intends to apply to the Indiana Office of Community and Rural Affairs for a grant from the Office of Community and Rural Affairs's Community Focus Fund of the State Community Development Block Grant (CDBG) program. This program is funded by Title I of the federal Housing and Community Development Act of 1974, as amended. These funds are to be used for a community development project that will include the following activities: (summary of proposed project). The total amount of CDBG funds to be requested is \$\_\_\_\_\_. The amount of CDBG funds proposed to be used for activities that will benefit low- and moderate-income persons is \$(amount of CFF funds requested x percentage of low- to moderate-income residents). The Applicant also proposes to expend an estimated \$\_\_\_\_\_ in non-CDBG funds on the project. These non-CDBG funds will be derived from the following sources: (source and amount).

(Applicant) will hold a public hearing on (date), at (time), in (place) to provide interested parties an opportunity to express their views on the proposed federally funded CDBG project. Persons with disabilities or non-English speaking persons who wish to attend the public hearing and need assistance should contact (name, address, and phone #) not later than (date). Every effort will be made to make reasonable accommodations for these persons.

Information related to this project will be available for review prior to the public hearing as of (date) at the office the (Applicant) located at (address) between the hours of (office hours). Interested citizens are invited to provide comments regarding these issues either at the public hearing or by prior written statement. Written comments should be submitted to (name and address) no later than (date) in order to ensure placement of such comments in the official record of the public hearing proceedings. A plan to minimize displacement and provide assistance to those displaced has been prepared by (Applicant) and is also available to the public. This project will result in (no displacement of any persons or businesses – or – displacement of the following persons and businesses [name and address]). For additional information concerning the proposed project, please contact (person – telephone – office hours and days) or write to (person – address).

# **SAMPLE SLUM AND BLIGHT AREA DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted areas within the corporate limits of (city/town), Indiana, and specifically downtown (city/town), and

WHEREAS, identifying such areas is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the downtown area has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, ( ) percent of first floor commercial space, ( ) percent of second floor commercial space, and ( ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of downtown commercial buildings has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following areas of downtown (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: High Street from 1/2 block east of Meridian Street to and including Oak Street, and Oak and Union Streets 1/2 block north and south of High Street.

# **SAMPLE SLUM AND BLIGHT SPOT DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted structures within the corporate limits of (city/town), Indiana, and

WHEREAS, identifying such a structure is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the structure has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, ( ) percent of first floor commercial space, ( ) percent of second floor commercial space, and ( ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of the structure has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following property of (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: (insert specific address of spot location).

# SAMPLE RESOLUTION AUTHORIZING APPLICATION SUBMISSION AND LOCAL MATCH COMMITMENT

RESOLUTION OF THE CITY/TOWN/COUNTY COUNCIL OF THE CITY/TOWN/COUNTY OF \_\_\_\_\_, INDIANA, AUTHORIZING THE SUBMITTAL OF THE CFF APPLICATION TO THE INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS AND ADDRESSING RELATED MATTERS

WHEREAS, the Council of the City/Town/County of \_\_\_\_\_, Indiana recognizes the need to stimulate growth and to maintain a sound economy within its corporate limits; and

WHEREAS, the Housing and Community Development Act of 1974, as amended, authorizes the Indiana Office of Community and Rural Affairs to provide grants to local units of government to meet the housing and community development needs of low- and moderate-income persons; and

WHEREAS, the City/Town/County of \_\_\_\_\_, Indiana has conducted or will conduct public hearings prior to the submission of an application to the Indiana Office of Community and Rural Affairs, said public hearings to assess the housing, public facilities and economic needs of its low- and moderate-income residents;

NOW, THEREFORE, BE IT RESOLVED by the Council of \_\_\_\_\_, Indiana that:

1. The Mayor/Town Council Pres. /County Commission Pres. is authorized to prepare and submit an application for grant funding to address (summary of proposed project), and to execute and administer a resultant grant including requisite general administration and project management, contracts and agreements pursuant to regulations of the Indiana Office of Community and Rural Affairs and the United States Department of Housing and Urban Development.
  
2. The City/Town/County of \_\_\_\_\_, Indiana hereby commits the requisite local funds in the amount of \_\_\_\_\_ (\$ \_\_\_\_\_), in the form of (source of local match), as matching funds for said program, such commitment to be contingent upon receipt of CFF funding from the Indiana Office of Community and Rural Affairs.

Adopted by the City/Town/County Council of the City/Town/County of \_\_\_\_\_, Indiana this \_\_\_\_\_ day of (month), (year), at (time).

SIGNATURE: \_\_\_\_\_  
Chief Elected Official, Title  
(Mayor, Board President)

ATTEST: \_\_\_\_\_  
Chief Financial Officer, Title  
(Controller, Clerk-Treasurer, Auditor)

***\*\*Please note a separate letter must be attached by the Chief Financial Officer. See Readiness to Proceed Guidelines for further details regarding letter content.***

## **SAMPLE LOCAL DISPLACEMENT PLAN**

1. (Applicant) will consider for submission to the Indiana Office of Community and Rural Affairs, under its various Community Development Block Grant funded programs, only projects and activities that will result in the displacement of as few persons or businesses as necessary to meet State and local development goals and objectives.
2. (Applicant) will certify to the State, as part of its application process, that it is seeking funds for a project or activity that will minimize displacement.
3. (Applicant) will provide referral and reasonable moving assistance, both in terms of staff time and dollars, to all persons involuntarily and permanently displaced by any project or activity funded with Community Development Block Grant funds.
4. All persons and businesses directly displaced by (applicant) as the result of a project or activity funded with Community Development Block Grant funds will receive all assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, including provisions of the Uniform Relocation Act Amendments of 1987, Title IV of the Surface Transportation and Uniform Relocation Assistance Act of 1987.
5. (Applicant) will provide reasonable benefits and relocation assistance to all persons and businesses involuntarily and permanently displaced by the Community Development Block Grant activity funded by the State in accordance with appendices attached hereto, provided they do not receive benefits as part of such action under number 4 above.

## SAMPLE COOPERATION AGREEMENT

The City/Town of \_\_\_\_\_, Indiana, seeks to support the efforts of the City/Town of \_\_\_\_\_ to obtain a Community Focus Fund grant from the Indiana Office of Community and Rural Affairs for (proposed project) located in both the aforementioned Cities/Towns. As the chief executive officers of our respective local governments, we are signing this agreement to provide our full cooperation to accomplish these improvements. The City/Town of \_\_\_\_\_ is hereby designated as the lead agency for this application and program and will be the applicant for funds. The City/Town of \_\_\_\_\_ will be liable for all the program's administrative functions should the grant be awarded.

\_\_\_\_\_  
Mayor

\_\_\_\_\_  
Town President

City of \_\_\_\_\_

\_\_\_\_\_  
Attest/ Date  
SEAL:

\_\_\_\_\_  
Attest/ Date  
SEAL:

Note: This general form (or a suitable variation) is to be used by local government applicants whose proposed project area involves more than one jurisdiction. It is a required part of any "in behalf of" or "joint" application with appropriate modifications as may be required to fit local situations.

# **GRANT EVALUATION CRITERIA**

# GRANT EVALUATION CRITERIA

## 1,100 POINTS TOTAL

### Economic and Demographic Characteristics (450 points):

#### **National Objective Score (200 points):**

Depending on the National Objective to be met by the project, one of the following two mechanisms will be used to calculate the score for this category.

**1. National Objective = Benefit to Low- and Moderate-Income Persons:** 200 points maximum awarded according to the percentage of low- and moderate-income individuals to be served by the project. The total points given are computed as follows:

$$\text{National Objective Score} = \% \text{ Low/Mod Beneficiaries} \times 2.5$$

The point total is capped at 200 points or 80% low/moderate beneficiaries, i.e., a project with 80% or greater low/moderate beneficiaries will receive 200 points. Below 80% benefit to low/moderate-income persons, the formula calculation will apply.

**2. National Objective = Prevention or Elimination of Slums or Blight:** 200 points maximum awarded based on the characteristics listed below. The total points given are computed as follows:

$$\text{National Objective Score} = (\text{Total of the points received in each category below}) \times 2.5$$

- \_\_\_ Slum/Blight Area or Spot designated by resolution of the local unit of government (50 pts.)
- \_\_\_ Community is an Indiana Main Street Senior Partner or Partner, and the project relates to downtown revitalization (5 pts.)
- \_\_\_ The project site is a brownfield\* (5 pts.)
- \_\_\_ The project is located in a designated redevelopment area under IC 36-7-14 (5 pts.)
- \_\_\_ The building or district is listed on the Indiana or National Register of Historic Places (10 pts.)
- \_\_\_ The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 pts.)
- \_\_\_ The building is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (15 pts.)

\* The State of Indiana defines a brownfield as an industrial or commercial property that is abandoned, inactive, or underutilized, on which expansion or redevelopment is complicated due to actual or perceived environmental contamination.

**Community Distress Factors (250 Points):** The community distress factors used to measure the economic conditions of the applicant are listed below. Each is described with an explanation and an example of how the points are determined. Each factor can receive a maximum of 50 points with the total distress point calculation having a maximum of 250 points. The formula calculation for each measure is constructed as a percentage calculation along a scale range. The resulting percentage is then translated into a point total on a fifty point scale for each measure.

**Unemployment Rate (50 points maximum):** Unemployment rate for the county of the lead applicant. The most recent average annual rate available is used.

- a. If the unemployment rate is above the maximum value, 50 points are awarded.
- b. If the unemployment rate is below the minimum value, 0 points are awarded.
- c. Between those values, the points are calculated by taking the unemployment rate, subtracting the minimum value, dividing by the range, and multiplying by 50.

**Unemployment Rate Points =  $[(\text{Unemployment rate} - \text{minimum})/\text{range}] \times 50$**

For example, if the unemployment rate is 4.5%, the minimum value is 2.6%, maximum value is 9.7%, and range is 7.1%, take unemployment rate of 4.5%, subtract the minimum value of 2.6%, divide by a range of 7.1%, and multiply by 50. The score would be 13.38 point of a possible 50;  $[(4.5 - 2.6)/7.1] \times 50$ .

**Net Assessed Value/capita (50 points maximum):** Net assessed value per capita (NAV pc) for lead applicant<sup>1</sup>. The most recent net assessed valuation figures<sup>2</sup>, as well as the most recent population figures are used.

To determine the NAV pc, divide the net assessed valuation by the population estimate for the same year. For example, for 2002 NAV pc, you would divide the 2002 NAV by the Census Bureau's estimate of the population on July 1, 2002.

**NAV per capita = NAV/Total Population**

- d. If the net assessed value per capita for the lead applicant is above the maximum value, 0 points are awarded.
- e. If the net assessed value per capita for the lead applicant is below the minimum value, 50 points are awarded.
- f. Between those values, the points are calculated by subtracting 50 from the NAVpc minus the minimum value, divided by the range and multiplied by 50.

**NAV per capita points =  $50 - [(\text{NAV pc} - \text{minimum})/\text{range}] \times 50$**

For example, if the NAVpc is \$29,174, the minimum value is \$2,589 (excluding outliers), maximum value is \$75,524 (excluding outliers), and the range is \$72,935, take 50, subtract the NAV/capita of \$29,174 minus the minimum value of \$2,589, divide by the

---

<sup>1</sup> For unincorporated areas, the NAV pc will be calculated based on data at the township level.

<sup>2</sup> All applicants will utilize the same basis, i.e., true tax value or market value, for the NAV pc calculation.

range of \$72,935, and multiply by 50. The score would be 31.78 points of a possible 50 points;  $50 - [(29,174 - 2,589)/72,935] \times 50$ ].

**Median Housing Value (50 points maximum):** Median Housing Value (MHV) for lead applicant<sup>3</sup>. Data from the most recent census are used.

**Median Housing Value Points =  $50 - [((MHV - \text{minimum})/\text{range}) \times 50]$**

- g. If the median housing value for the lead applicant is above the maximum value, 0 points are awarded.
- h. If the median housing value for the lead applicant is below the minimum value, 50 points are awarded.

For example, if the median housing value is \$79,000, the minimum value is \$24,300 (excluding outliers), maximum value is \$246,300 (excluding outliers) and the range is \$222,000. Take the MHV of \$79,000 minus the minimum value of \$24,300, divide the difference by the range of \$222,000, and multiply by 50 then subtract this amount from 50. The score would be 37.68 points out of a total possible of 50;  $50 - [(79,000 - 24,300)/222,000] \times 50$ ].

**Median Household Income (25 points maximum):** Median household income (MHI) for the lead applicant<sup>4</sup>. Data from the most recent census are used.

**Median Household Income Points =  $25 - [((MHI - \text{minimum})/\text{range}) \times 25]$**

- i. If the median household income is above the maximum value, 0 points are awarded.
- j. If the median household income is below the minimum value, 25 points are awarded.
- k. Between those values, the points are calculated by subtracting 25 from the MHI minus the minimum value, divided by the range, and multiplied by 25.

For example, if the Median Household Income is \$35,491, the minimum value is \$16,667 (excluding outliers), maximum value is \$97,723 (excluding outliers), range is \$81,056, take 25, subtract the MHI of \$35,491, minus the minimum value of \$16,667, divide by the range of \$81,056, and multiply by 25. The score would be 19.19 points out of a possible 25;  $25 - [(35,491 - 16,667)/81,056] \times 25$ ].

**Family Poverty Rate (25 points maximum):** Family poverty rate for the lead applicant<sup>5</sup>. Data from the most recent census are used.

**Family Poverty Rate Points =  $[((\text{Family Poverty Rate} - \text{minimum})/\text{range}) \times 25]$**

---

<sup>3</sup> For unincorporated areas MHV will be calculated based on data at the township level.

<sup>4</sup> For unincorporated areas MHI will be calculated based on data at the township level.

<sup>5</sup> For unincorporated areas Family Poverty Rate will be calculated based on data at the township level.

- l. If the family poverty rate is above the maximum value, 25 points are awarded.
- m. If the family poverty rate is below the minimum value, 0 points are awarded.
- n. Between those values, the points are calculated by subtracting the Family Poverty Rate from the minimum value, then dividing by the range, and multiplying by 25.

For example, if the family poverty rate is 1.4%, the minimum value is 0% (excluding outliers), maximum value is 25% (excluding outliers), and range is 25%, take family poverty rate of 1.4%, subtract the minimum value of 0%, divide by a range of 25%, and multiply by 25. The score would be 1.4 points of a possible 50;  $[(1.4 - 0)/25] \times 25$

**Percentage Population Change (50 points maximum):** Percentage population change from 1990 to 2000 for the lead applicant<sup>6</sup>. The percentage change is computed by subtracting the 1990 population from the 2000 population and dividing by the 1990 population. Convert this decimal to a percentage by multiplying by 100.

**Percentage Population Change = [(2000 population - 1990 population)/1990 population] X 100**

- o. If the population changed above the maximum percentage value, 0 points are awarded.
- p. If the population changed below the minimum percentage value, 50 points are awarded.
- q. Between those values, the points are calculated by subtracting 50 from the percentage population change minus the minimum value divided by the range, and multiplied by 50.

**Percentage Population Change points = 50 - [(Percentage population change - minimum)/range] X 50]**

For example, if the population increased by 16.61%, the minimum value is -61.33% (excluding outliers), maximum value is 181.27% (excluding outliers), range is 242.60%, take 50, subtract 16.61% minus the minimum value of -61.33%, divide the range of 242.60%, and multiply by 50. The score would be 33.94 points out of a total possible of 50;  $50 - [(16.61 - (-61.33))/242.60] \times 50$ .

---

<sup>6</sup> For unincorporated areas percentage population change will be calculated based on data at the township level.

**Local Match Contribution (100 points):**

Up to 100 points possible based on the percentage of local funds devoted to the project. This total is determined as follows:

$$\text{Total Match Points} = \% \text{ Eligible Local Match} \times 2$$

Eligible local match can be local cash, debt or in-kind sources. Government grants are not considered eligible match. In-kind sources may provide eligible local match for the project, but the amount that can be counted as local match is limited to 5% of the total project budget or a maximum of \$25,000. Use of in-kind donations as eligible match requires approval from the Indiana Office of Community and Rural Affairs, Community Affairs Division four weeks prior to application submission.

**Project Design Factors (450 points):**

450 points maximum awarded according to the evaluation in three areas:

**Project Need** - why does the community need this project?

**Financial Impact** - why is grant assistance necessary to complete this project?

**Local Effort** - what has/is the community doing to move this project forward?

The project can receive a total of 150 points in each category. The points in these categories are awarded by the IOCRA review team when evaluating the projects. Applicants should work with IOCRA to identify ways to increase their project's scores in these areas.

**Project Priority Factors (100 points):**

**Infrastructure Projects** 75 points

Water System Improvements

Sewer System Improvements

Storm water System Improvements

\*infrastructure projects constitute 55% of total CFF funding per round

**Group A Projects** 75 points

Health Facilities

Youth Centers

**Group B Projects** 60 points

Community Centers  
Day Care Centers  
Senior Centers  
Fire Stations  
Libraries  
Infrastructure in support of housing  
ADA/Handicap Compliance  
Other Special Needs Facilities

**Group C Projects** 45 points

Fire Trucks  
Historic Preservation  
Downtown Revitalization  
Parks/Recreation  
Slum/Blight Clearance

\*Group A-C projects constitute 45% of total CFF funding per round

**Leveraging of Philanthropic Capital** 25 points

2% of total Grant amount or \$5,000  
(whichever is greater) is being  
funded by Philanthropic capital. Sources include  
but are not limited to:

County Community Foundation  
Lilly Foundation  
Kellogg Foundation  
University Foundations  
Private Endowments

**Points Reduction Policy:**

It is the policy of OCRA not to fund more than one phase or component of a single project type in different funding rounds. This applies to all project types, although it is particularly relevant to utility projects. If a community needs to phase a project in order to complete it, they should consider which phase would be most appropriate for CFF assistance. Even if a community doesn't intentionally phase a project, OCRA will take into account previously awarded projects for the same project type. A Community that has previously been awarded a grant for the same project type will likely not be competitive and will be subject to the follow point reduction. This applies to all project types, although it is particularly relevant to utility projects.

0 – 5 years since previous funding – 50pts  
5 – 7 years since previous funding – 25pts

Example:

Community submits and receives a CFF award for a new water tower in Round I of 2002. When applying for a water system upgrade (or a new water tower because the one

they purchased failed) in Round I of 2007, they would be subject to a point reduction of 50pts.

## **CFF Project Development Issues**

## **CFF PROJECT DEVELOPMENT ISSUES – WATER PROJECTS**

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201(c))
<b>National Objective:</b>	Area-wide LMI (51% minimum) based on HUD Census data or certified income survey
<b>Regulatory:</b>	Citizen Participation requirements Special assessments involved
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
<b>Prerequisites:</b>	Preliminary engineering report completed Readiness issues above completed \$5,000 per beneficiary limit
<b>Benchmarks:</b>	\$55 combined water/sewer/storm rates; for single utility, \$25 rate for water/\$30 rate for sewer Minimum \$5 gap on rate (difference between rates with and without CFF grant) using 4.5% APR, 20 years, 1.25 debt coverage, based upon 4,000 gallon consumption
<b>Project Need:</b>	Documentation of residential problems Documentation from IDEM, Health Department, County Sanitarian, DNR Age of existing system Does the project encourage expansion? Are we subsidizing infrastructure expansion to accommodate current problem or future development (which is prohibited)?
<b>Financial Impact:</b>	Have all other financial tools been investigated? Include applicable/current water and sewer ordinances Local tax rates, utility rates, financial gap, indebtedness, and current fund balances History of recent rate increases Attendance at the Environmental Infrastructure Working Group (EIWG) Funds expended on past improvements
<b>Local Effort:</b>	Previous planning studies and recommendations Previous testing and engineering efforts/expenditures Dates and description of last expansion and/or renovation Letters of support and other evidence of community support Evidence of prior planning

## **CFF PROJECT DEVELOPMENT ISSUES – SEWER PROJECTS**

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201( c ))
<b>National Objective:</b>	Area-wide LMI (51% minimum) based on HUD Census data or certified income survey
<b>Regulatory:</b>	Citizen Participation requirements Special assessments involved
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information
<b>Prerequisites:</b>	Preliminary engineering report completed Readiness issues above completed \$5,000 per beneficiary limit
<b>Benchmarks:</b>	\$55 combined water/sewer/storm rates; for single utility, \$25 rate for water/\$30 rate for sewer Minimum \$5 gap on rate (difference between rates with and without CFF grant) using 4.5% APR, 20 years, 1.25 debt coverage, based upon 4,000 gallon consumption
<b>Project Need:</b>	Documentation of residential problems Documentation from IDEM, Health Department, County Sanitarian, DNR Age of existing system Does the project encourage expansion? Are we subsidizing infrastructure expansion to accommodate current problem or future development (which is prohibited)?
<b>Financial Impact:</b>	Have all other financial tools been investigated? Include applicable/current water and sewer ordinances Local tax rates, utility rates, financial gap, indebtedness, current fund balances History of recent rate increases Attendance at the Environmental Infrastructure Working Group (EIWG) Funds expended on past improvements
<b>Local Effort:</b>	Previous planning studies and recommendations Previous testing and engineering efforts/expenditures Dates and description of last expansion and/or renovation Letters of support and other evidence of community support Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *STORM DRAINAGE PROJECTS*

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201(c))
<b>National Objective:</b>	Area-wide LMI (51% minimum) based on HUD Census data or certified income survey
<b>Regulatory:</b>	Citizen Participation requirements Special assessments involved?
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information
<b>Prerequisites:</b>	Preliminary engineering report completed Readiness issues above completed \$5,000 per beneficiary limit
<b>Benchmarks:</b>	\$55 combined water/sewer/storm rates; for single utility, \$25 rate for water/\$30 rate for sewer Minimum \$5 gap on rate (difference between rates with and without CFF grant) using 4.5% APR, 20 years, 1.25 debt coverage – Calculate gap as a monthly cost per household
<b>Project Need:</b>	Documentation of residential problems Personal property damage Pictures (color copies) Documentation from IDEM, Health Department, County Sanitarian, DNR Age of existing system Consistent with long range planning/priority of projects Are we subsidizing infrastructure expansion to accommodate current problem or future development (which is prohibited)?
<b>Financial Impact:</b>	Have all other financial tools been investigated? Bonding capacity; impact of CFF funding on project Local tax rates, utility rates, financial gap, indebtedness, current fund balances History of recent rate increases Attendance at the Environmental Infrastructure Working Group (EIWG) Funds expended on past improvements
<b>Local Effort:</b>	Evidence of community support Previous planning studies and recommendations Previous testing and engineering efforts/expenditures Dates and description of last expansion and/or renovation Letters of support and other evidence of community support Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *HOUSING INFRASTRUCTURE PROJECTS*

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201(c))
<b>National Objective:</b>	Area-wide LMI (51% minimum) Percentage of homes must be reserved for low-moderate income persons, so that at least 51% of the beneficiaries are low-moderate income
<b>Regulatory:</b>	Citizen Participation requirements Special assessments involved in the project
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
<b>Prerequisites:</b>	Development agreement – unit of local government and developer Preliminary engineering report completed Project Pro-Forma (5 years) required Housing needs assessment/market demand study completed Readiness issues above completed Developer must transfer ownership of infrastructure to unit of local government (public infrastructure) For owner-occupied projects, a 5-year disposition requirement must be warranted (or re-sale to LMI household) Number of beneficiaries must match the number of homes to be constructed and the extent of infrastructure to be built Involvement of Certified Housing Development Organization required, or other similar organization to assist with buyer qualification Involvement of lending institution committed to the project Percentage of homes must be reserved for low-moderate income persons, so that at least 51% of the beneficiaries are low-moderate income.
<b>Project Need:</b>	Documentation of need for affordable housing; Waiting list of qualified buyers For rental units, waiting list for Section 8 voucher assistance For owner-occupied, bank participation to allow LMI equity in home as a result of reduced development costs Less down payment required Number of homes to be built
<b>Financial Impact:</b>	Have all other financial tools been investigated? History of rate increases Local tax rates, utility rates, financial gap, indebtedness, and current fund balances Must have all the funding in place to compete the <u>entire</u> project, including construction of housing Is the developer contributing toward infrastructure?
<b>Local Effort:</b>	Funds expended on past improvements Previous planning studies and recommendations Previous testing and engineering efforts/expenditures Letter of support and other evidence of community support Attendance at Indiana Housing Assistance Review Team (IHART) meeting Down-payment assistance programs, other partnerships

## **CFF PROJECT DEVELOPMENT ISSUES – SENIOR CENTERS**

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c))
- National Objective:** Presumptive LMI – Limited Clientele (100% LMI)
- Regulatory:** Citizen participation requirements  
Will the building be used for activities other than limited-clientele in nature?
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans  
List of program activities  
Who will own the building – unit of local government or subrecipient – subrecipient agreement drafted if applicable  
Project Pro-Forma (5 years) required  
Will revenues pay fixed and variable costs for the required period of 5 years after grant closeout?  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Age/ condition of present facility  
What is the senior population being served (service area)  
Expansion of programs/ activities  
Number of persons using facility on daily basis  
Hours of operation, schedule of activities  
No duplication of services  
Pictures (color copies)
- Financial Impact:** Current and projected operating budget, maintenance budget  
Who is responsible for running facility?  
Sources of funding for daily operations (taxes, insurance, and debt service)  
Costs for maintenance of the existing facility  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** Fund raising efforts: amount raised, when, and types of activities  
Certified staff, staff training, and volunteer efforts  
Letters of support and other evidence of community support  
Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – DAYCARE CENTERS

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c))
- National Objective:** Limited Clientele – LMI (51% minimum)
- Regulatory:** Citizen participation requirements  
Will the building be used for activities other than limited-clientele in nature?  
Does the project involve rehab of an existing facility? If so, date of construction of current facility.  
If existing facility built prior to 1978 – probable lead based paint issues
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans – architect must certify that building is licensable by the State  
Who will own the building – unit of local government or subrecipient – sub recipient agreement drafted if applicable  
Project Pro-Forma (5 years) required  
Will revenues pay fixed and variable costs for the required period of 5 years after grant closeout?  
5-year business plan required  
Are rates affordable for LMI children? Is there a tuition reserve fund?  
Lead-based paint certification for existing pre- 1978 buildings  
Number of spaces reserved for LMI children  
Readiness issues above completed  
Must be state-licensed facility  
\$5,000 per beneficiary limit
- Project Need:** Number of existing, licensed daycares in commuting distance  
Number of children on waiting list (Head Start or other)  
Percentage from low-moderate income families  
Age/ condition of present facility  
Step Ahead Plan – letter from Step Ahead Council  
Support by local school corporation – letter included  
Types of services provided  
Hours of operation  
Expansion of services  
Pictures (color)
- Financial Impact:** Maintenance, current, and projected operating budgets  
Sources of funding for daily operations (taxes, insurance, and debt service)  
Child-care expenses (buy-down); tuition reserve fund for LMI families?  
Costs for maintenance of the existing facility  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** Fund raising efforts: amount raised, when, and types of activities  
Certified staff, staff training, and volunteer efforts  
Letters of support and other evidence of community support

## **CFF PROJECT DEVELOPMENT ISSUES – *COMMUNITY CENTERS***

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c))
- National Objective:** Area-wide LMI (51% minimum) based on HUD Census data or certified income survey
- Regulatory:** Citizen Participation requirements  
Will the building be used for ineligible activities (e.g. general government)?
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans  
List of program activities  
Project Pro-Forma (5 years) required  
Will revenues pay fixed and variable costs for the required period of 5 years after grant closeout?  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Age/ condition of present facility  
What is population being served? (Area-wide LMI requirement)  
Community survey results  
How will entire community use the facility?  
Types of activities or schedule  
Expansion of program/ activities  
No duplication of services  
Hours of operation  
Number of persons using facility on daily basis
- Financial Impact:** Maintenance, current, and projected operating budgets  
Sources of funding for daily operations (taxes and insurance)  
Costs for maintenance of the existing facility  
Local tax rates, utility rates, financial gap, indebtedness, current fund balances
- Local Effort:** Fund raising efforts: amount raised, when, and types of activities  
Certified staff, staff training, and volunteer efforts  
Letters of support and other evidence of community support  
Co-location with other amenities  
Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *DOWNTOWN REVITALIZATION*

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c)), and rehab (24 CFR 570.202)
- National Objective:** Area-wide Slum and Blight (24 CFR 570.208(b)(1))
- Regulatory:** Citizen participation requirements  
Meets state statutory requirements (I.C. 36-7)  
Boundaries of area declared officially by unit of local government  
via declaratory ordinance or resolution.  
25% minimum deteriorated buildings (residential and commercial), or  
At least 2 items of public infrastructure are in state of deterioration  
Activity address either deteriorated buildings and / or public infrastructure  
deterioration  
Residential rehabilitation activities must meet Section 8 Housing Quality  
standards
- Readiness:** Several items must be complete at the time of application. Please see the  
document “Community Focus Fund – Readiness to Proceed Guidelines” for  
detailed information.
- Prerequisites:** Scope of revitalization is beyond streetscape and infrastructure  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Listed on National Register of Historic Places; or  
Eligible to be listed on the National Register of Historic Places;  
Listed in a State or Local inventory of historic places (e.g. local  
historical society); or  
Designated as a State or Local landmark or historic district by  
appropriate law or ordinance.  
Local business plan by redevelopment commission, chamber of commerce, etc.  
Impact on residents and businesses  
Documentation of blighted conditions  
Pictures (color copies)
- Financial Impact:** Percentage of cost to be paid from local and/ or private sources  
Local financing initiatives (low-interest bank loans, local RLF’s, etc.)  
Review local budgets and fund balances (particularly CCIF)  
Financial participation of business owners  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** What is business community doing to revitalize downtown  
Planning and A/E studies; downtown revitalization/ redevelopment plan completed per  
IOCRA Guidelines  
Is it a Main Street Community?  
Downtown marketing plan and business recruitment effort  
Maintenance plan or other economic development initiatives  
Efforts by property owners or committees  
List of downtown events  
Letters of support and other evidence of community support  
Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *HISTORIC PRESERVATION*

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Eligible rehabilitation and preservation activities (24 CFR 570.202)
- National Objective:** Spot Slum and Blight (24 CFR 570.208(b)(2))
- Regulatory:** Citizen participation requirements  
Specific site – legal description required in the unit of local government declaratory resolution  
Not required to be in designated area-wide blighted area  
Eligible activities restricted to: acquisition, clearance, relocation, historic preservation, and limited rehabilitation activities to correct specific conditions detrimental to public health and safety.
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans and accurate cost estimates as well as project pro forma  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Letter of approval from SHPO  
List on National Register of Historic Places; or  
Eligible to be listed on the National Register of Historic Places;  
Listed in a State or Local inventory of historic places (e.g. local historical society); or  
Designated as a State or Local landmark or historic district by appropriate law or ordinance.  
Proposed use of building meets an important community need  
Documentation of blighted conditions; pictures (color copies)  
History of building and its uses  
Importance of the building to the community
- Financial Impact:** Current and projected operating budget  
Sources of funding for operation and maintenance expenses  
Local financing initiatives (low-interest bank loans, local RLF’s, etc.)  
Review local budgets and fund balances (particularly CCIF)  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** What is owner doing to restore building?  
Planning and A/E studies  
Who is paying expenses for improvements and maintenance?  
Is this a Main Street Community?  
Volunteer efforts  
Private initiatives in historic preservation  
Letters of support and other evidence of community support  
Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *LIBRARIES*

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c))
- National Objective:** If area-wide LMI (51% minimum) based on HUD Census data or certified income survey, can do renovation and expansion  
If not area-wide LMI, can be a spot blight project, activities limited to renovation only  
(See historic preservation for more information)
- Regulatory:** Citizen Participation requirements  
Will the building be used for ineligible activities (general government)?
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans and accurate cost estimates  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Age/condition of present facility  
Population being served/number of cardholders (area-wide LMI requirement)?  
Expansion of programs/activities  
No duplication of services – number of existing libraries in area  
Circulation history (more users and more activity from existing users)  
Number of persons using facility on daily basis
- Financial Impact:** Maintenance, current, and projected operating budgets  
Sources of funding for daily operations (taxes and insurance)  
Cost of maintenance of the existing facility  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** What are the library board and the community doing to provide expanded services?  
A/E studies conducted  
Fund raising efforts, staffing level, and volunteer efforts  
Letters of support and other evidence of community support  
Evidence of prior planning

## **CFF PROJECT DEVELOPMENT ISSUES – *HEALTHCARE CENTERS***

- Eligibility:** Eligible applicant – non-entitlement city, town or county  
Public Facilities (24 CFR 570.201(c))
- National Objective:** Limited Clientele – LMI (51% minimum)
- Regulatory:** Citizen Participation requirements
- Readiness:** Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
- Prerequisites:** Building plans  
Project Pro-Forma (5 years) required  
Will revenues pay fixed and variable costs for the required period of 5 years after grant closeout?  
Readiness issues above completed  
\$5,000 per beneficiary limit
- Project Need:** Age/condition of present facility  
What population is being serve (Screening required)?  
Expansion of programs/activities  
No duplication of services  
Is this a medically underserved area?  
Number of persons using facility on daily/monthly/yearly basis
- Financial Impact:** Maintenance, current, and projected operating budgets  
Sources of funding for daily operations (taxes and insurance)  
Does local and/or county government support the program?  
Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
- Local Effort:** What is the healthcare provider doing to provide expanded services?  
Planning and A/E studies  
Fund raising efforts, staffing level, and volunteer efforts  
Letters of support and other evidence of community support  
Letters from clients served  
Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – *SPECIAL NEEDS BUILDINGS*

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201(c))
<b>National Objective:</b>	Limited Clientele – presumptive category or LMI (51% minimum)
<b>Regulatory:</b>	Citizen Participation requirements
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
<b>Prerequisites:</b>	Building plans Project Pro-Forma (5 years) required Will revenues pay fixed and variable costs for the required period of 5 years after grant closeout? Readiness issues above completed \$5,000 per beneficiary limit
<b>Project Need:</b>	Age/condition of present facility What population is being served? Expansion of programs/activities No duplication of services Is there a waiting list? Do local and/or county government support financially?
<b>Financial Impact:</b>	Maintenance, current, and projected operating budgets Sources of funding for daily operations (taxes and insurance) Number of persons using facility on daily basis Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
<b>Local Effort:</b>	What is the provider doing to provide expanded services Planning and A/E studies Fund raising efforts, staffing level, and volunteer efforts Letters of support and other evidence of community support Letters from clients served Evidence of prior planning

## CFF PROJECT DEVELOPMENT ISSUES – FIRE STATIONS/FIRE TRUCKS

<b>Eligibility:</b>	Eligible applicant – non-entitlement city, town or county Public Facilities (24 CFR 570.201(c))
<b>National Objective:</b>	Area-wide LMI (51% minimum) based on HUD Census data or certified income survey
<b>Regulatory:</b>	Citizen Participation requirements Will the building be used for ineligible activities (general government)?
<b>Readiness:</b>	Several items must be complete at the time of application. Please see the document “Community Focus Fund – Readiness to Proceed Guidelines” for detailed information.
<b>Prerequisites:</b>	Who will own the building – unit of local government or subrecipient ? Subrecipient agreement drafted if applicable Building plans with appropriately sized bays for number and size of fire trucks Readiness issues above completed Specifications for fire truck \$100 Million NAV <b>maximum</b> for fire service area \$5,000 per beneficiary limit \$350,000 maximum grant award for fire and/or EMS stations
<b>Benchmarks:</b>	ISO rating of 8 or higher
<b>Project Need:</b>	How would ISO rating change with proposed improvement? Age/condition of present facility Appropriate number of bays and building size Detailed map of service area Number of runs for the last 3-5 years Number of trucks and ages Costs of maintenance of the existing facility/truck(s)
<b>Financial Impact:</b>	Current and projected operating budget of fire department Sources of funding for department operation and project Annual funding level from Township Trustee 5 year pro forma for station Local tax rates, utility rates, financial gap, indebtedness, and current fund balances
<b>Local Effort:</b>	Mutual aid agreements Fund raising efforts: amount raised, when, and types of activities Staffing level, training, and volunteer efforts Letters of support and other evidence of community support Evidence of prior planning

# PLANNING GRANT APPLICATION PACKAGE

Community Development Block Grant Program  
U.S. Department of Housing and Urban Development

July 2007

# TABLE OF CONTENTS

## I. APPLICATION INSTRUCTIONS

	<u>PAGE NUMBER</u>
Overview of the Planning Grant Program	3
Minimum Program Requirements	3
Eligible Planning Activities	4
Meeting a Goal of the Federal Act	5 - 6
Amount of Grant Request & Local Match	6
Consultants & Grant Administration	7
Public Hearings & Citizen Participation	7
Application Process & Deadlines	8 - 9
Guidelines & Expectations for Final Product	10 - 11
How to Complete the Forms	11 - 12

## II. PLANNING GRANT APPLICATION

Application Checklist	13 - 14
Application Cover Sheet	15 - 16
Project Narrative	17 - 21
Project Budget	22
National Objective Identification	23 - 24
Beneficiaries Form	25 - 26
Citizen Participation Report	27
Displacement Assessment	28
Assurances and Certification	39 - 32
Disclosure Report	33 - 37
Certification of Accessibility	38
Civil Rights Certification	39 - 40

## III. SAMPLES OF REQUIRED ATTACHMENTS AND DOCUMENTATION

SAMPLE - Letter of Intent to Submit	41
SAMPLE - Legal Ad for RFQ/RFP	42 - 45
SAMPLE – Resolution Authorizing Application Submission	46
SAMPLE - Public Notice for First Public Hearing	47
SAMPLE – Public Notice for Second Public Hearing	47
SAMPLE – Local Resolution Approving the Plan	48
SAMPLE – Local Displacement Plan	48
SAMPLE – Environmental Exemption Letter	49
SAMPLE – Slum and Blight Declaratory Resolution	50
SAMPLE – Cooperation Agreement	51

## IV. APPENICES

APPENDIX ONE – Evaluation Criteria	53
APPENDIX TWO – Procurement	57

## OVERVIEW OF THE PLANNING GRANT PROGRAM

The Planning Grant program is funded with Federal Community Development Block Grant (CDBG) dollars from the U.S. Department of Housing and Urban Development (HUD). The goal of the program is to encourage communities to plan for long-term community development. Communities interested in planning for projects relating to such issues as infrastructure, downtown revitalization, and community facilities are encouraged to apply. To be competitive, projects must demonstrate (1) they meet a goal of the Federal Act; (2) the particular planning initiative addresses established long-term community priorities; (3) the funds granted will have a significant impact on the overall project; (4) the community has a strong commitment to the project; and (5) the project is ready to proceed upon grant award and will be completed within 15 months. Further instructions are provided on the following pages.

### MINIMUM PROGRAM REQUIREMENTS

To be eligible for Planning Grant assistance, projects must meet certain minimum program requirements. Those requirements are as follows:

- The lead applicant must be a city, incorporated town, or county. The community must not be a HUD Entitlement grant recipient (receiving CDBG dollars directly from HUD), and must possess the legal capacity to carry out the proposed project.
- The lead applicant may apply on behalf of a 501c3 not-for-profit organization for an eligible project, provided that the organization can document its not-for-profit status with the U.S. Internal Revenue Service, the Indiana Department of Revenue, and the Indiana Secretary of State.
- All planning projects must meet one of the following goals of the Federal Act: 1) to benefit at least 51% low-to-moderate-income individuals; or 2) to aid in the prevention or elimination of slums or blight.
- If the applicant has previously received Community Focus Funds (CFF), CFF Planning Grant Funds (CFFPG), Community Economic Development Funds (CEDF) or any CDBG Funds through the Indiana Housing and Community Development Authority (IHCDA) the applicant must NOT have:
  - ❖ any unresolved monitoring/audit findings;
  - ❖ any overdue grant reports or close-out documents;
  - ❖ for cities and towns, more than one (1) open CFF or Planning Grant at the time of application;
  - ❖ for counties, more than two (2) open CFF and/or Planning Grants at the time of applications
  - ❖ an open CFF grant or Planning Grant that has not received Release of Funds;
    - If a community has an open CFF or Planning Grant, the community must have an executed construction contract and be under construction, or a consultant under contract for planning grants before the community map apply for an additional CDBG Grant.
- Any CDBG Program Income accumulated from a previous CDBG grant must be committed for use that has been approved by the Indiana Office of Community and Rural Affairs before another CDBG grant will be approved. Any available Program Income may be used as part of the local match for a CDBG project. Please contact Community Affairs at (317) 232-1703 for additional information regarding Program Income.
- The cost per beneficiary ratio of the proposed project may not exceed \$5,000 (grant funds only).
- Ten percent of the total project cost must consist of cash or debt provided by the applicant. In-kind contributions do not count toward the 10% local match requirement.

- **Procurement of professional services for the planning study must be completed prior to submitting a planning grant application.** The applicant must use the Qualification Based Selection (QBS) or Request for Proposal (RFP) process as laid out in the Procurement Overview included in this document. All documentation of the process must be attached to the application. (Please see Appendix Two of this packet for required forms and attach the required documentation as Appendix Eight of your application).
- Grant Administrators used for CDBG projects must have participated in, or tested out of, the Grant Administrator Training Course administered by the Indiana Office of Community and Rural Affairs. A complete list of grant administrators who are current in this training is available on our Web site ([www.in.gov/ocra/](http://www.in.gov/ocra/)).
- **Three** sets of the application, one that contains original signatures and documents and two copies, must be received by the Indiana Office of Community and Rural Affairs by 5 p.m. on the due date, which is the last business day of each month.

### **ELIGIBLE PLANNING ACTIVITIES**

The following list identifies the general types of eligible activities for the planning grant program. The list is not all-inclusive. Applicants should contact their Community Development Specialist to determine if their project is eligible for funding. Eligible planning activities consist of all costs associated with data gathering, study, analysis, and preparation of plans and the identification of actions to implement such plans, including:

1. Individual project plans\* and feasibility studies;
2. Community development, redevelopment and functional plans in areas such as:
  - Infrastructure in support of housing;
  - Land use and urban environmental design;
  - Comprehensive Plans\*\*
  - Economic development;
  - Park plans;
  - Downtown revitalization plans;
  - Floodplain and wetlands management;
  - Utilities; and
  - Historic preservation.
3. Environmental review and environmental assessments\*\*\*;
4. Site specific/site control activities excluding land acquisition and purchase of options;

\*Planning dollars can be used for preliminary design activities only, and NOT for construction documents or bid specifications.

\*\* Priority will be given to those communities that have never prepared a Comprehensive Plan in the past. Updates will be considered for funding, but will not be the most competitive projects. By their very nature, Comprehensive Plans must be kept current in order to maximize their effectiveness; therefore, communities should make financial provisions to fund necessary future updates.

\*\*\*Environmental review and site control activities are strongly encouraged in the planning process. Planning grants are provided primarily to help develop potential Community Focus Fund (CFF) projects to proceed with a full CFF application or to develop a plan for another funding source. Pre-engineering studies and downtown redevelopment plans are examples of planning projects that help potential CFF projects become ready to move quickly into construction. Planning should include the environmental review necessary to apply for a CFF grant. If CDBG dollars are being used for the environmental review activity, a maximum of \$3000 will be allowed. **PLEASE NOTE:** if environmental review is included in the budget for a planning project, it cannot be included in the budget for a subsequent CFF application related to the planning project.

## MEETING A GOAL OF THE FEDERAL ACT

Title I of the Housing and Community Development Act of 1974, as amended, identifies three national objectives of the CDBG program. Planning projects must meet one of the following two national objectives and meet the requirements set out for that objective:

- Benefit low- and moderate-income persons
  - On an area basis
  - Of a limited clientele groupAt least 51% of the project's beneficiaries must be low- to moderate-income persons.
- Aid in the prevention or elimination of slums or blight on either an area or spot basis.

For each objective, the community will need to demonstrate that it meets the objective by providing documentation and answering the questions relevant to that objective.

### **Benefit to Low- and Moderate-Income Persons – Area Basis**

To show that a project benefits an area of low- to moderate-income people, the following questions must be clearly answered in the application on the National Objective Identification page:

1. What are the boundaries of the service area?
2. How do the boundaries correspond to the project's intended beneficiaries?
3. What percentage of persons in the service area is of low- to moderate-income?
4. How were the income characteristics of the target population determined?
5. Is the proposed facility available to all service area residents?

The low-moderate income population can be obtained either through Census Data or through an income survey. Income surveys are valid for two years from the date of the certification letter. The survey may be re-certified one time for an additional two years. The four-year period during which the income survey may be used is calculated from the date of the first certification letter. The project area must be certified as a single area; two separate previously certified income surveys will not be accepted.

The following documentation **MUST** be provided in the application:

1. Map(s) showing location and boundaries of service area.
2. If applicable, certification of income survey results by a qualified professional. The methodology of the income survey **MUST** also be included.

### **Benefit to Low- and Moderate-Income Persons – Limited Clientele Basis**

There are eight groups of people that are presumed to be low- to moderate-income people by federal regulations. Those groups are as follows: senior citizens (people who are 62 years of age or older), migrant farm workers, abused children, battered spouses, severely handicapped adults, homeless persons, illiterate adults and persons with AIDS. For limited clientele projects serving other persons, benefit to low- to moderate-income persons will have to be documented.

For a limited clientele project, these questions will need to be clearly answered in the application on the National Objective Identification page:

1. Who will use the proposed facility?
2. Will any other groups or the general public also use the facility? If so, to what extent?

3. If the facility is to be used on an income-eligible basis, how will the income and family size information of users be documented? If less than 100% of users are to be of low- to moderate-income, how was the percentage of low-to moderate-income users determined or estimated?

### **Prevention or Elimination of Slums or Blight – Area Basis**

The following questions must be answered in the application on the National Objective Identification page:

1. What are the boundaries of the area?
2. What are the conditions that cause the area to be considered blighted?
3. What percentage of the buildings in the area are deteriorated? How are they deteriorated?
4. What public facilities in the area are deteriorated? Describe this deterioration.
5. How will the proposed project remedy one or more of the blighted conditions described above?

The following documentation to the application must be attached with a slum and blight, area basis application:

1. Municipal resolution passed by governing body that describes boundaries of the specific blighted conditions within the area, and officially designates an area as blighted.
2. Map of area showing location of project activities.

### **Prevention or Elimination of Slums or Blight- Spot Basis**

The following issues must be addressed on the National Objective Identification page:

1. Show the specific blighted or deteriorating structure that will be affected by the proposed project.
2. Provide a detailed description of the conditions to be remedied by the proposed project, accompanied by a detailed statement of activities to address those conditions.

The following documentation to the application must be attached with a slum and blight, spot basis application:

1. Municipal resolution passed by governing body that describes the blighted or deteriorating structure, including a legal description, and officially designates the property as blighted under spot basis.

Spot basis to slum/blight projects are limited to five project activities: acquisition, relocation, clearance, historic preservation, and limited rehabilitation to correct specific conditions detrimental to public health and safety. **Please note a spot basis blight project must not be located within a designated blighted area.**

### **AMOUNT OF GRANT REQUEST & LOCAL MATCH**

The Indiana Office of Community and Rural Affairs (IOCRA) has established a maximum grant award of \$50,000 for most Planning Grant applications. For environmental infrastructure projects, the limits are as follows: \$30,000 for a study on a single utility, \$40,000 for a study on two utilities, and \$50,000 for a study on water, wastewater, and storm water utilities. Park plans are limited to a maximum of \$20,000. **The maximum award is not intended to serve as a target figure for requests for grant assistance.** The IOCRA will review the level of grant assistance requested and will consider the appropriateness of the project's scope, level of demonstrated need, and the financial resources of the applicant. **If the IOCRA determines that a lesser amount is appropriate, it may be necessary to revise the application before it is considered for funding.**

In order to participate in the Planning Grant program, **communities must commit at least ten percent (10%) of the total project cost** in matching funds toward the grant. For example, an applicant applying to fund a project costing a total of \$35,000 must commit at least \$3500 or ten percent (10%) of this project cost. The grant request would then be for the amount of \$31,500.

## CONSULTANTS AND GRANT ADMINISTRATION

All consultants to be paid with CDBG dollars, such as engineers, architects, and grant administrators, must be procured using the Qualifications Based Selection (QBS) or Request for Proposal (RFP) process prior to the submittal of the application to IOCRA. Additional information regarding these processes may be obtained from [www.qbsindiana.org](http://www.qbsindiana.org), or from IOCRA.

All grant administrators involved in CDBG projects must have successfully completed, or successfully tested out of, the Grant Administrator Training Course. This certification must be current at the time of application. A list of such grant administrators can be provided upon request by calling 317-232-1703 or visiting our Web site [www.in.gov/ocra](http://www.in.gov/ocra).

A maximum of eight (8) percent of the grant amount requested, or \$4,000, whichever is less, of CDBG funds may be used for grant administration. Grant administration may also be paid with local dollars, as part of the required local match. In this case, QBS is not required.

**NOTE:** Private firms or non-governmental entities that perform project development and administration activities for CDBG-assisted projects (project development, environmental review, grant application preparation, procurement assistance, grant administration) will NOT be allowed to also perform architectural, engineering, planning, or other related services/activities for grantees or their non-profit sub-recipients. These restrictions apply while persons are employed with a firm or agency, and for a period of one (1) year following their employment with that firm or agency. Units of general local government and certain special governmental units, and their employees, will be permitted to administer CDBG grants and undertake certain other activities to the extent that they may be reimbursed ONLY for actual expenses incurred, plus an overhead rate approved by a federal grantor agency or prepared by an independent accounting firm and approved by the IOCRA. The one-year post employment restriction, and the IOCRA certification requirements, will also apply to employees of such governmental units.

## PUBLIC HEARINGS & CITIZEN PARTICIPATION

The Federal Act requires that at least two (2) public hearings be held on the proposed project. These two (2) public hearings must be held at different stages of project development. One public hearing must be held prior to the submission of the application and the second must be held after a draft of the planning study has been completed.

Indiana law prescribes the method by which the public must be notified of such hearings in this state. Among the statutory requirements contained in I.C. 5-3-1 is the publication of legal advertisement of each such hearing at least 10 calendar days in advance (the date of the hearing counts as day #10) in one newspaper of general circulation in the area where the project is to be implemented. Other provisions of I.C. 5-3-1 may also apply.

To be considered a legal public hearing, each hearing must have the required 10 days notice, must have been advertised through a legal advertisement, and said legal advertisement must contain all required information. All public hearings must be accessible to handicapped persons and non-English speaking persons, in addition to other requirements (see Sample Public Notice for First Hearing in the Samples Section of this application packet).

**Other methods of soliciting public participation**, such as letters to affected residents, fliers, public posting of notices, electronic and print media coverage, etc., **are also strongly recommended**. These other methods should take into consideration the needs and circumstances of low- to moderate-income persons.

The original publisher's affidavit(s) documenting publication dates for at least the required first public hearing must be attached to the application. Minutes from that public hearing, including a sign-in sheet, also must be attached to the application. *Note: if a third party, such as a grant administrator, takes the minutes of the meeting, the applicant must include a document stating that the third party is acting as its representative.* **Minutes must be signed and date by the party that recorded them.** It is recommended that an audio tape of the public hearings be maintained until the grant is closed out. The IOCRA may request transcripts of the public hearings.

## APPLICATION PROCESS & DEADLINES

**A total of three (3) copies of the application**, at least one that bears the original signature of the chief elected official of the lead applicant, must be submitted to the Community Affairs Division of the IOCRA. Facsimile transmissions will not be accepted. **Applications are due by 5 p.m. in the office of the Community Affairs Division of the IOCRA on that last business day of each month.**

The following process must be followed:

1. **Letter of Intent to Submit Planning Application:**

A letter of intent to submit a planning grant application must be submitted prior to the start of the required procurement process used to select a consultant. A sample letter is included in the Samples section of this application packet. This letter will notify the Community Affairs Division and the appropriate Community Liaison will contact the community to set up a site visit to help develop the application and to advise on the planning process.

Letters of Intent will be kept on file for six (6) months. If an application is not received within six (6) months of the date on the letter of intent, a new one will need to be submitted to IOCRA.

2. **Procurement:**

The applicant must use Qualifications Based Selection (QBS) or Request for Proposal (RFP) process as laid out in the Procurement Overview in Appendix Two of this document. This process should begin after the applicant has met with IOCRA pertaining to their desired project, to allow inclusion in the scope of work any additional items identified at the site visit.

3. **Planning Grant Application:**

Planning grant applications will be reviewed during ongoing monthly funding cycles. The application deadline is the last business day of each month. Verbal notice of approval or denial of the grant will be given on or around the last working day of the following month. Denial notices will include reasons for denial and suggested areas for improvement. Unless notified otherwise, denied applicants may reapply when satisfactory changes to the proposed project are made.

NOTE: In the event of an incomplete application, the applicant will be required to make any changes that are necessary before an award is made. All of the additional information needed to complete the application must be submitted by the 20<sup>th</sup> of the month for consideration in that month's funding cycle. If the project is not awarded within 120 days from the last business day of the month of original submission, the community may be required to submit a new letter of intent and begin the process again.

**Letters of Intent/Applications should be submitted to:**

**Indiana Office of Community and Rural Affairs  
Community Affairs Division  
Attn: Community Affairs Director  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204**

4. **Grant Agreement Execution:**

After verbal notice of the grant award has been given, the grantee will receive a letter signed by the Lieutenant Governor of the State of Indiana officially granting the award (usually within two weeks). Following that, the community will receive one (1) copy of the grant agreement, which needs to be signed by the chief elected official and returned to the state. Upon the state's receipt of these documents, the signatures of various state officials will be obtained. (This process can take up to eight weeks.) **Once all**

**parties have signed the documents, the grant agreement is executed.** No contract(s) can be signed with consultants until a notice of Removal of Environmental Conditions and a Notice of Release of Funds and Authorization to Incur Costs have been issued by Grant Services.

The community will receive a copy of the Lieutenant Governor's Award Letter. Prior to the award letter will be a memo noting important deadlines and milestones for the grant. In general, these milestones are as follows:

Grant Award Date: the last day of the month

Lieutenant Governor's Award Letter: arrives within 2-3 weeks of the award date

Grant Agreement: two copies arrive within 2-3 weeks of the Award Letter

Grant Agreement Execution: takes 6-12 weeks, depending upon return from grantee

Contract Signed with Consultant: any day after the date of the last signature on the grant agreement

Final Plan Due at IOCRA: one year from Award Date

Expiration Date of Grant: three months after the plan is due

Term Date of Grant: one year from expiration date

#### **5. Review of Draft Planning Study:**

Upon completion of the draft planning study, two copies must be forwarded to the Director, in the Community Affairs Division of IOCRA, for approval. The document will be reviewed to be sure all necessary components were included (please see Guidelines and Expectations for the Final Product). A minimum of thirty (30) days should be allowed for this review process. Please note, however, that the plan is due to IOCRA three months prior to the deadline of the grant, in order to allow time for any revisions that may be necessary, as well as administrative close-out of the grant. If the community intends to apply for a Community Focus Fund (CFF) grant to implement the planned project, be aware that the draft planning study must be submitted to IOCRA for review at least 120 days prior to the CFF Application deadline, in order to allow for the same review, revision and processing time. In addition to this review, the lead applicant **must** approve the plan by resolution. A sample resolution is provided in this packet; please see Sample Local Resolution Approving Plan.

#### **6. Planning Project Completion:**

In addition to the submittal of the draft document for approval, a **second public hearing must be held to solicit public comment on the draft document.** This hearing must follow all the same guidelines discussed above in the Public Hearings and Citizen Participation section of this application packet. A sample notice is provided in this packet; please see Sample Public Notice for the Second Hearing. A copy of the second public hearing notice, the publisher(s) affidavit, sign-in sheet, minutes, and the resolution approving the plan at the local level shall be forwarded to the Community Affairs Division, Indiana Office of Community and Rural Affairs. Receipt of these documents and approval of the document must occur prior to the submission of the request for final draw down of funds, or the draw request will be denied. *Note: if a third party, such as a grant administrator, takes the minutes of the meeting, the applicant must include a document stating that the third party is acting as its representative.*

NOTE: It is expected that all planning projects funded under this program will be completed within one year.

## GUIDELINES & EXPECTATIONS FOR FINAL PRODUCT

The IOCRA has certain expectations for the document that is produced with grant funds; primarily that it assists the community in making an informed decision about their options and enables them to take the next step in the project. In order to fully provide the community with the information they need, the document must contain the following:

For all projects:

- The preparer of the plan should assume the audience is neither technically trained nor familiar with the history of the project. Should implementation not occur immediately, future community leaders (utility superintendents, town councils, and other interested parties) should be able to read this document and understand the situation and what had been considered to date. This product should provide historical documentation for the community's files;
- Funding information sufficient to aid the community in making decisions, including preliminary rate impact on the users and funding scenarios assuming different grant amounts or funding sources;
- All options adequately described, pros and cons discussed, and costs provided for each alternative before the recommended alternative is presented;
- An Executive Summary at the beginning of the report summarizing the description of the issues leading to the study, the discussion of the alternatives, the recommended actions, and cost estimates.

For infrastructure projects:

- All information, in the correct, for submittal of the Preliminary Engineering Report (PER) to either USDA or IDEM for their funding programs;
- Regional options are given full consideration for new systems;
- Alternative technologies are given full consideration and explanation;
- Documentation that community members attended a meeting of the Environmental Infrastructure Working Group (EIWG), during the planning process.
- When filling out rate information for infrastructure projects, please provide a realistic picture of what the rates actually will be with the various options provided within the plan.

For Comprehensive Plans:

- **All comprehensive plans must include chapters on the following issues:** Transportation (including non-motorists), Housing, Public/Environmental Infrastructure, Recreation, Economic Development (including the Central Business District), Central Business District, Land Use, and Quality of Life.
- All sections must include a discussion of the following: existing conditions, factors contributing to those conditions, current and future trends, short-term and long-term goals for the community, and implementation steps for each goal. The Land Use and Downtown sections, and others as the community and consultant deem appropriate, should include discussion of development standards.
- Demographic information should be presented early in the document.
- Public participation is absolutely essential to a successful process and outcome. The IOCRA expects that more than the minimum of two required public hearings is necessary to maximize the effectiveness of the resulting plan. A separate chapter of the document shall be dedicated to summarizing what process was followed and shall contain the meeting dates, sign in sheets, minutes or notes, and other details necessary for historical documentation.

In addition to the above information, planning grants funded by the Indiana Office of Community and Rural Affairs (IOCRA), Community Development Division shall adhere to the following guidelines:

Water Facility Plans: RUS Bulletin 1780-2

Sewer System Studies: RUS Bulletin 1780-2

Storm Drainage Plans: RUS Bulletin 1780-5

Conservancy District Plans: DNR Guidelines, I.C. 13-3-3-1 to 13-3-3-102

State Revolving Loan Projects:	IDEM Preliminary Engineering Report Guidelines
Downtown Redevelopment Plans:	IOCRA Downtown Planning Guidelines
Historic Preservation Projects:	The Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings

## **HOW TO COMPLETE THE FORMS**

### **Project Narrative**

This is the section of the application where the community tells its story. It is organized to encourage brief but complete answers to the questions concerning project development and history. Please be succinct and use numerical and quantified information whenever possible. **Documentation that supports the narrative may be provided in the appendices; please be sure to reference the location of each piece of documentation, and do not include attachments that are not discussed and referenced in the narrative,** unless Federal or state policy requires those attachments.

### **Beneficiaries Form**

The Beneficiaries Form is included to provide information on the demographic make-up of the people who will benefit from the project. This information is used by the Indiana Office of Community and Rural Affairs for reporting purposes.

This information is available from published U.S. Census reports available at many libraries or on the web at [www.stats.indiana.edu](http://www.stats.indiana.edu). In those instances where the target population does not correspond to the population of a county, city, or town, much of the requested information will have to be extrapolated from these U.S. Census reports. This is done by applying the percentages for county populations to the target population to derive numbers under each category. The number and percentage of low- and moderate-income persons MUST be taken either from HUD low- and moderate-income level data or from income survey results.

The Beneficiaries Form reflects the categories and format that HUD now expects to be reported. A special web page is available at [www.stats.indiana.edu](http://www.stats.indiana.edu) that can assist grant administrators in filling out this page. Please contact Grant Support for further information.

Please make certain to provide information about persons, not families. Only in instances where different project activities have different beneficiaries (example: a project consisting of a water line extension and a new water tower for the entire system) does information need to be reported under more than one "activity description." In such instances, the numbers reported under each column should correspond to the groups benefiting from the respective activities.

**In the event a community conducts an income survey, the number represented on the Beneficiaries Form MUST correspond to the results of the survey**

### **Citizen Participation Report**

The Citizen Participation Report requests a summary of the methods used to solicit public participation in the development of the proposed project and the decision to submit the application. As discussed in the Public Hearings & Citizen Participation section of this application packet, at least one properly advertised public hearing is required prior to application. Other methods of soliciting public participation, such as letters to affected residents, fliers, public posting of notices, electronic and print media coverage, etc. are also recommended. These other methods should take into consideration the needs and circumstances of low- to moderate-income persons. **Applicants maximizing public involvement will obtain higher scores on their applications.** Describe such methods on Items #3 of the Citizens Participation Report. Any comments or complaints received, the actions taken and the responses made to such comments or complaints must be recorded in Item #4.

### **Displacement Plan and Displacement Assessment**

All applicants are required to complete the Displacement Assessment form and a Displacement Plan even if no displacement will occur as a result of the proposed project. Where no displacement is anticipated, simply checking the “N/A – No displacement will occur” line at the top of the form completes the displacement assessment form. The sample local displacement plan included may be used as a guide, and addresses the minimum requirements established.

### **Assurances and Certifications**

Immediately preceding the space for the signature of the chief elected official is a list of assurances and certifications. By affixing his or her signature to the application, the chief elected official is committing the applicant to comply with these assurances if grant assistance is approved.

The assurances and certifications must be signed and dated by the chief elected official of the lead applicant. For cities, the chief elected official is the mayor; for towns, the president of the town council (not the clerk-treasurer); for counties, the president of the county commissioners. At a minimum, the chief elected official and/or the corporate counsel should read the assurances and understand the provisions to which the applicant is agreeing. Questions concerning the provisions of any of the assurances and certifications may be directed to the Community Affairs Division.

### **Civil Rights Certification**

In addition to the assurances and certifications section, the civil rights certification has been included to certify that the local unit of government shall follow all necessary Federal civil rights requirements.

### **Federal Disclosure Requirements of Applications**

24 CFR Part 4

Section 102 of the HUD Reform Act of 1989

Applicants who have received or expect to receive \$200,000 or more in Community Development Block Grant funds in a federal fiscal year (October 1 to September 30) will be required to disclose certain information periodically.

All applications for CDBG assistance must include the following information:

- \* Assistance from other government sources in connection with the project;
- \* The financial interest of persons in the project;
- \* The sources of funds to be made available for the project; and
- \* The uses of all project funds.

Application received from units of local government will be made available for public inspection for a period of 5 years, beginning not less than 30 days after award of assistance.

### **Certificate of Accessibility**

Aside from equal employment opportunities and participation in CDBG funded projects, it is the responsibility of the Grantee to ensure that all newly constructed, leased, or financed buildings and facilities, as well as buildings assigned for public use, are designed, constructed, and altered so as to be accessible to and usable by persons with physical disabilities. To accomplish this, the Grantee must complete the following tasks:

- \* Coordinate activities with the design architect or engineer;
- \* Complete and submit as part of the application a Certification of Accessibility form.

## APPLICATION COMPLETION CHECKLIST

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

**Please place the information in the application in the following order so that the IOCRA Staff can review the information efficiently. Use tabs or some other mechanism to separate appendices and number pages for easy referencing.**

- Application:** one (1) original and two (2) copies
- Cover Sheet**
  - Is the Very First Page of the Application
  - Match is at least 10% of the Total Project Cost
  - All blanks completed
- Application Narrative**, all questions answered
  - Project Description Page
  - Project Need Page
  - Financial Impact Page
  - Infrastructure Information Page
  - Local Effort Page
- Project Budget**
  - Numbers add up correctly
  - All budgets in agreement
  - Corresponds to cover page and narrative
  - Reasonable cost estimates for each line item
- The following forms**, completed and attached
  - National Objective Form
    - Appropriate national objective indicated
    - Answered all questions related to the selected national objective
    - Slum-Blight Projects page included, as appropriate
  - Beneficiaries Form
    - Do the numbers add up?
    - If applicable, do numbers correspond to survey results?
    - The CFF request divided by the total number of beneficiaries does not exceed \$5,000 (\$10,000 for housing and day care projects)
  - Citizens Participation
    - Original publisher's affidavit for public meeting
    - Was ad at least 10 days prior?
    - Attach minutes of public hearing
    - Attach list of attendees for public hearing
    - Documentation of third party authorization

### APPENDIX ONE: Project Description Documentation

- Scope of Work
- Map of Service Area
- Sub-recipient not-for-profit status documentation, including Federal designation from the IRS, Indiana Dept. of Revenue certification, and certificate of good standing from the Secretary of State

### APPENDIX TWO: Project Need Documentation

- Color Copies of all pictures provided in all copies of application

### APPENDIX THREE: Financial Impact Documentation

- Ending fund balances for lead applicant (**Do not include all budget pages**)
- County advertised tax sheet
- Annual operating budget of sub-recipient, if applicable

### APPENDIX FOUR: Local Effort Documentation

**APPENDIX FIVE: National Objective Information**

- Maps
  - Boundaries of jurisdiction shown
  - Project area shown
  - Service area corresponds to survey area
  - Floodplain shown
  - USGS map (preferred)
- Income Survey Information (if applicable)
  - Description of survey methodology
  - Copy of sample survey form
  - Copies of written survey material (instructions, cover letter, etc.)
  - Map of survey area
  - Survey results analysis form
  - Certification letter
- Slum and Blight Declaratory Resolution (if applicable)

**APPENDIX SIX: Readiness Information**

- Environmental Exemption Letter
- Local match commitment resolution indicating source and amount of match
- Correspondence from bank, not-for-profit or other funding source (If applicable- Must be with original signature on letterhead)

**APPENDIX SEVEN: Legal Information**

- Displacement Assessment
- Displacement Plan (See Sample)
- Assurances and Certifications
  - Original signature of Chief Elected Official
- Disclosure Report
- Certification of Accessibility
- Civil Rights Certification
  - Original signature of Chief Elected Official
- Cooperation Agreements (if applicable)
- Multi-jurisdictional (if applicable)
  - Assurances and Certifications for each jurisdiction
  - Citizens' participation for each jurisdiction
  - Public hearings held for each jurisdiction
  - Displacement Plans and Assessments for each jurisdiction
  - Legal opinions for each jurisdiction affirming interlocal cooperation
  - Resolution for each jurisdiction

**APPENDIX EIGHT: Procurement Documentation (only required in the original document)**

- Copy of the detailed scope of work
- Original legal ad announcing Request for Proposals/Qualifications and publisher's affidavit
- Copies of certified mail receipts
- List of firms solicited
- List of at least two MBE firms solicited (**please note which firms are MBE**)
- List of firms responding to solicitation
- List of firms on the short list
- List of scoring/selection committee members and titles
- Copies of all SIGNED score sheets (one per committee member per firm considered)
- Summary of scores (Group Interview Evaluation Form)
- Copies of any correspondence to firms, including copies of letters sent to firms not selected
- Copy of proposed contract with selected firm, including Third Party Contract Provisions

# II: PLANNING GRANT APPLICATION

(COVER SHEET)

**A. CHIEF ELECTED OFFICIAL (NAME & TITLE):**

**LEAD (LEGAL) APPLICANT:**

**MAILING ADDRESS:**

**CITY: COUNTY: CDBG County Code:**

**ZIP: PHONE: FAX:**

**EMAIL:**

**CHIEF FINANCIAL OFFICER (NAME & TITLE):**

**PHONE: EMAIL:**

**IF NOT CHIEF ELECTED OFFICIAL, WHO IS THE PRIMARY COMMUNITY CONTACT FOR THE PROJECT? (NAME & TITLE):**

**PHONE: EMAIL:**

**FEDERAL I.D./TAX NUMBER:**

**B. GRANT ADMINISTRATOR:**

**ORGANIZATION:**

**ADDRESS:**

**CITY:**

**ZIP: PHONE: FAX:**

**EMAIL:**

**METHOD OF PROCUREMENT (check one): RFP: . Local Funds: .**

**DATE OF MOST RECENT CERTIFICATION FROM IOCRA**

**PROJECT TITLE:**

**PROJECT ABSTRACT:**

**C. LEAD APPLICATION CENSUS POPULATION: 1990: 2000:**

**LEAD APPLICANT CURRENT ASSESSED VALUATION: \$**

**BASIS FOR VALUATION: NET ASSESSED VALUATION TRUE TAX VALUE**

**D. PROJECT FUNDING SOURCES: AMOUNT**

**PLANNING GRANT AMOUNT REQUESTED: \$**

**MATCH AMOUNT (At least 10% of TOTAL PROJECT COST): \$**

**TOTAL PROJECT COST: \$**

**LIST SOURCE(S) OF MATCH:**

**G. LIST PROFESSIONAL/FIRM TO COMPLETE PLAN:**

**METHOD OF PROCUREMENT (check one): QBS , Local Funds .**

**H. FAIR HOUSING ORDINANCE (check one): On-file with IOCRA , Attached .**

**DRUG FREE WORK-PLACE POLICY (check one): On-file with IOCRA , Attached .**

# APPLICANT INFORMATION

## CONTINUED

**LIST ARCHITECT/ENGINEER:**

**METHOD OF PROCUREMENT (check one):** QBS  RFP  Local Funds

**FAIR HOUSING ORDINANCE (check one):** On-file with IOCRA   
Attached (Appendix A-2)  None

**DRUG FREE WORK-PLACE POLICY (check one):** On-file with IOCRA  Attached (Appendix A-3)  None

**In what Indiana Senate District does this project fall under?**  
**State Senator representing this district:**

**In what Indiana House of Representatives District does this project fall under?**  
**State Representative representing this district:**

**Is this project site within a certified “Clean City” by IDEM?**

## **PROJECT NARRATIVE**

### **Project Description**

Describe below what exactly is proposed, i.e. the components or summarized scope of the project. List or mention all major project activities, including only as much detail as necessary to give someone who is not familiar with the project a general understanding of what is planned. Attach in Appendix One the scope of work and a map of the project area.

Identify the guidelines that will be used to prepare the final document (see the *Guidelines and Expectations for the Final Product* section of the Application Instructions for minimum requirements).

### **Timeline**

Provide below the major milestones involved in this project and the timing of each to allow for completion of all planning activities within one year (estimate the date of the second public hearing to receive comment on the draft planning study).

### **For Comprehensive Planning**

Has the community completed a Comprehensive Plan in the past? **Yes** **No**

If yes, please answer the following questions:

In what year was the plan completed?

Has the plan been update since its completion?

Were CDBG funds used to pay for any portion of the existing plan?

Has the plan been implemented?

**Yes** **No**

**Yes** **No**

**Yes** **No**

## **PROJECT NARRATIVE, continued**

### **Project Need**

Discuss below why the community needs this project. Specifically, address each of the following (you may attach additional sheets if necessary):

- Describe particular community problems that have prompted an interest in this project. Be as specific as possible and provide dates and other details.
- Explain why this planning project is the NUMBER ONE priority for the community. Explain how this priority was determined.
- Describe other issues the community is facing.
- List the current plans/documents used by the community (e.g. Community Development Plan, Economic Development Plan, Comprehensive Plan, or Capital Improvement Plan) and provide the dates of the most recent updates. Explain how this project fits into the objectives of the plan(s). If there are no formal plans currently used by the community, explain how the community proposes to identify and address future needs of the residents.
- Assuming this project was completed and implemented, describe the next anticipated priority of the community.

## PROJECT NARRATIVE, continued

### **Financial Impact**

Answer the following questions completely and thoroughly and provide additional information as necessary to explain why local resources are insufficient to fund or carry out the proposed planning activities:

Assessed Valuation (AV) \$

Net Assessed Valuation  True Tax Value

Total current population (2000 Census)

AV per capita (AV divided by total pop.) \$

Total community indebtedness \$

Annual Operating budget of Community: \$

Total property tax rate

Attach and reference the county advertised tax sheet

Annual operating budget for the applicant \$

List other taxes (EDIT, CEDIT, CAGIT, COIT, etc.) or sources of income for the applicant

In the space provided, please address the following:

- Explain ANY balances in operating budgets and capital reserve funds (attach year end balances).
- Itemize components of any local debt.
- If there is a sub-recipient, explain their financial condition and why they cannot afford the project without grant assistance. Attach the organization's annual budget and other relevant financial information.
- Describe other issues, unrelated to this project, that have demanded the community's resources over the past 3-5 years, as well as any known projects scheduled for the next year. Please quantify any investment of time or finances.

# PROJECT NARRATIVE, continued

(Complete this form for ALL projects)

## Infrastructure

Is your community under an enforcement action by another state agency? Yes  No

(Attach any reference/documentation/correspondence, i.e. early warning sewer ban, IDEM Agreed Order, etc.)

If yes, please describe:

Provide the total number of users on the system:

	Water Utility	Sewer Utility	Storm water Utility
Residential Users			
Commercial/Industrial Users			
Total Users			

Provide the following current rate information:

Current water rate for 4,000 gallons	
Current sewer rate for 4,000 gallons	
Current Storm water rate	
Total combined rate for 4,000 gallons	

Are rate increases subject to approval of the Indiana Utility Rate Commission (IURC)? Yes  No

Provide the following rate history information:

	Year current ordinance was passed	Year previous ordinance was passed	Change in rates (in dollars)
Water Ordinance			
Sewer Ordinance			
Storm water Ordinance			

Attach in Appendix Three and reference the most recent water and sewer rate ordinances (for utility projects only).

Provide the following information on the existing systems:

	Age	Capacity	Avg. Daily Flow/Usage	Max. Daily Flow/Usage	Date and type of most recent major capital improvement
Sewer					
Water					
Storm water					

## **PROJECT NARRATIVE, continued**

### **Local Effort**

This is the opportunity to explain all the community has been able to accomplish, both in regard to this project and in other areas. In the space provided, please address the following:

- Describe past and current efforts to address the problem locally. Please quantify any investment of time or finances, which the community has already made to correct the problem.
- Describe other activities undertaken by the applicant and/or sub recipient in the past 3-5 years to improve the livability of the community. (Note: do not repeat information already shared in the Financial Impact narrative.)
- Explain the expected useful life of this document, and the frequency of updates needed. Describe any efforts being taken to finance future plans. Indicate how attention will be given to provide for the maintenance of the improvements that may be proposed.
- Describe in detail the public participation process proposed for the planning project. Indicate how the community will make extra efforts to ensure public involvement throughout the planning process, in addition to the two required public hearings.
- List all previously conducted studies related to this issue or system, including cost, year, and a summary of the scope of work.
- List any previous grant awards, including but not limited to IOCRA funds.

## PROJECT BUDGET

Summarize all project costs by funding source.

ACTIVITY	CDBG	LOCAL	TOTAL
Planning			
Environmental Review*			
Administration**			
TOTAL			

\*If using CDBG funds for Environmental Review, maximum amount permitted for this use is \$3000.

\*\*If using CDBG funds for grant administration, then maximum amount permitted is 8% of the total CDBG requested or \$4,000, whichever is less. Please see additional information in the “Consultants & Grant Administration” section of the Application Instructions.

List sources of local match and leveraged funds:  
(Documentation of financial commitments from all sources is required)

Source	Amount
TOTAL LOCAL LEVERAGE	

**In addition to completing the above forms, attach an itemized budget as the next page of this application.**

# NATIONAL OBJECTIVE IDENTIFICATION

CHECK ONLY ONE OF THE NATIONAL OBJECTIVES BELOW. ALL PROJECTS MUST PROVIDE ALL INFORMATION REQUESTED ON THIS PAGE.

## Benefit to Low- and Moderate-Income Persons

Area Benefit

Limited Clientele

## Prevention or Elimination of Slums or Blight

Area Basis

Spot Basis

List percentage of population of low- and moderate-income persons served by this project:        %

Source:        2000 Census Data\* or        Income Survey (attach and reference income survey)

Date of first income survey certification letter

Date of second income survey certification letter, if applicable

List the census tract number(s) that are to be included in the project area:

List the census tract block groups(s) that are to be included in the project area:

\*Please refer to page 5 of this application packet for further information on acceptable data.

Below, explain your selection of the above H.U.D. National Objective. REFER TO PAGES 5-6 OF THE INSTRUCTIONS FOR QUESTIONS TO BE ADDRESSED REGARDING THE NATIONAL OBJECTIVE SELECTED. For Low-moderate income/Area Benefit, there are five questions and two attachments required. For Low-moderate income/Limited Clientele, there are three questions required. For Slum/Blight/Area Wide there are five questions and two attachments required. For Slum/Blight/Spot Basis there are two questions and one attachment required.

## NATIONAL OBJECTIVE IDENTIFICATION: SLUM/BLIGHT PROJECTS

Please check the statements that are appropriate for your project. Attach documentation in the National Objective Appendix (Appendix 5) supporting your selections.

- Slum/Blight Area or Spot designated by resolution of the local unit of government (50 points)
- The applicant is an Indiana Main Street Community, and the project relates to downtown revitalization (5 points)
- The project is located in a designated redevelopment area under IC 36-7-14 (5 points)
- The building or district is listed on the Indiana or National Register of Historic Places (10 points)
- The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 points)
- The building or district is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (5 points)
- The project site is a Brownfield (5 points)

\* The State of Indiana defines a Brownfield as a parcel of real estate that is abandoned or inactive; or may not be operated at its appropriate use; and on which expansion, redevelopment, or reuse is complicated because of the presence or potential presence of a hazardous substance, a contaminant, petroleum, or a petroleum product that poses a risk to human health and the environment.

## BENEFICIARIES

**Items 11-20 MUST add up to the number of people as well as low/moderate and non-low/moderate columns!**

Project Title:

Total Beneficiaries (all activities):

		Total	Of the total population in the service area, how many are Hispanic?	Activity Description
	<b>Number of People</b>			
S I N G L E  R A C E	11 Number of Whites			
	Percent			
	12 Number of Blacks/African Americans			
	Percent			
	13 Number of Asian			
	Percent			
	14 Number of American Indian / Alaskan Native			
	Percent			
15 Number Native Hawaiian / Other Pacific Islander				
	Percent			
M U L T I  R A C E	16 American Indian / Alaskan Native & White			
	Percent			
	17 Asian & White			
	Percent			
	18 Black / African American & White			
	Percent			
19 American Indian / Alaskan Native & Black / African American				
Percent				
20 Balance / Other				
	Percent			
	Number of Handicapped			
	Percent			
	Number of Elderly People			
	Percent			
	Number of Female-headed Households			
	Percent			
	<b>Number of Low/Moderate Income People</b>			
	Percent			
	<b>Number of Non-Low/Moderate Income People</b>			
	Percent			

## BENEFICIARIES

Number of households receiving <b>new</b> assistance:	
Number of households receiving <b>improved access or service:</b>	
Number of households that will no longer have substandard service upon completion of the project:	

# CITIZEN PARTICIPATION REPORT

1. Complete the following.

Planning information to the public	Date
Notice of first public hearing	
Date of first public hearing	
Anticipated Notice of second public hearing	
Anticipated Date of second public hearing	

2. Describe the methods used to solicit participation of low- and moderate-income persons:

3. Denote any adverse comments/complaints received and describe resolution:

After this page, include the following

- \*Publisher’s affidavit of all public notices.
- \*Minutes of the public hearings including a sign-in sheet of attendees.
- \* Copy of response(s) to comments and/or complaints.

I certify that submission of this **application** has been duly authorized by the governing body of the applicant; that the applicant has the legal capacity to carry out the proposed project; that the proposed project is designed to meet the identified housing and community developments needs of the community; including those of low- and moderate-income persons; and that the proposed project will minimize the need for displacement of businesses and families and provide reasonable benefits for those displaced. I also certify that the proposed project will be completed within fifteen (15) months of contract award, if approved.

\_\_\_\_\_  
Signature, Chief Elected Official Date

Type Name and Title:

## DISPLACEMENT ASSESSMENT

N/A – No displacement will occur

INSTRUCTIONS: Use this page to assess displacement plans and strategy.

---

1. Describe the need for displacement:
2. Substantiate the need for displacement:
3. Explain how displacement will be minimized:
4. Explain how the negative effects of displacement will be minimized:

**Attach Local Displacement Plan even if displacement will not occur – see Sample in Sample Section of this Application Packet.**

**INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIR  
COMMUNITY DEVELOPMENT BLOCK GRANT SMALL CITIES PROGRAM  
ASSURANCES AND CERTIFICATIONS**

The applicant hereby assures and certifies that:

- (a) It possesses legal authority to apply for the grant, and to execute the proposed program.
- (b) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
- (c) It has complied with all requirements of Executive Order 12372, and that either:
  - 1) Any comments or recommendations made by or through clearinghouses are attached and have been considered prior to submission of the application; or
  - 2) The required procedures have been followed and no comments or recommendations have been received prior to submission of the application.
- (d) It has facilitated or will facilitate citizen participation by:
  - 1) Publishing a statement of proposed activities so that affected citizens have an opportunity to submit comments on the proposed activities and community development performance of the applicant;
  - 2) Providing adequate notices for two or more public hearings, specifically to persons of low- and moderate-income;
  - 3) Holding two or more public hearings on the proposed application at times and locations convenient to potential beneficiaries, convenient to the handicapped, and meeting needs of non-English speaking residents, if appropriate, to obtain citizens' views before adoption of resolution or similar action by the local governing body authorizing the filing of the application;
  - 4) Providing citizens information concerning the amount of funds available for proposed community development activities and the range of those activities;
  - 5) Providing citizens with information concerning the amount of funds that will benefit persons of low- and moderate-income;
  - 6) Furnishing citizens with the plans made to minimize the displacement of persons and to assist persons actually displaced as a result of grant activities;
  - 7) Providing technical assistance to groups representing persons of low- and moderate-income requesting such assistance in developing proposals;
  - 8) Providing citizens with reasonable notice of substantial changes proposed in the use of grant funds and providing opportunity for public comment;
  - 9) Providing citizens with reasonable access to records regarding the past use of CDBG funds received; and
  - 10) Any modifications or amendments of the program that are made from time to time will be made in accordance with the same procedures required in (d) for the preparation and submission of a statement of proposed activities.
- (e) It has identified housing and community development needs, including those of low- and moderate-income persons and the activities to be undertaken to meet such needs.
- (f) The Community Development program has been developed so as to give maximum feasible priority to activities that will benefit low- and moderate-income families, or aid in the prevention or elimination of slums or blight.

[The requirement for this certification will not preclude the Indiana Office of Community and Rural Affairs from approving an application where the applicant certifies, and the Indiana Office of Community and Rural Affairs determines, that all or part of the Community Development Program activities are designed to meet other community development needs having a particular urgency as specifically explained in the application.]
- (g) It will minimize displacement of persons and provide for reasonable benefits to any person involuntarily and permanently displaced as a result of activities associated with program funds.

- (h) It will not attempt to recover any capital costs of public improvements assisted in whole or part with CDBG funds by assessing any amount against properties owned and occupied by persons of low- and moderate-income including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless (I) CDBG funds received are used to pay the proportion of such fee or assessment that relates to the capital costs of public improvements that are financed from revenue sources other than CDBG funds; or (II) for purposes of assisting any amount against properties owned and occupied by persons of low- and moderate-income who are not persons of very low income, the grantee certified to the Secretary or such State, as the case may be, that it lacks sufficient funds received from CDBG Program to comply with the requirements of clause.
- (i) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative approved in accordance with OMB Circular No. A-102, Revised, which includes a provision that program or project completion be no longer than eighteen (18) months from project startup, inclusive of the bid process for professional and engineering services as well as program close-out. In addition, said provision includes an assurance of the availability of project funds, both local and private, upon award of the project grant.
- (j) It will comply with:
- 1) Section 110 of the Housing and Community Development Act of 1974, as amended, by the Housing and Urban-Rural Recovery Act of 1983 and the Housing and Community Development Act of 1987, 24 CFR 570.603, and State regulations regarding the administration and enforcement of labor standards;
  - 2) The provisions of the Davis-Bacon Act (46 U.S.C. S 276a-5) with respect to prevailing wage rates (except for projects for rehabilitation of residential properties of fewer than eight units);
  - 3) Contract Work Hours and Safety Standards Act of 1962, 40 U.S.C. 327-332, requiring that mechanics and laborers (including watchmen and guards) employed on federally assisted contracts be paid wages of not less than one and one-half times their basic wage rates for all hours worked in excess of forty in a work-week, and
  - 4) Federal Fair Labor Standards Act, 29 U.S.C. S 102 et seq., requiring that covered employees be paid at least the minimum prescribed wage, and also that they be paid one and one-half times their basic wage rate for all hours worked in excess of the prescribed work-week; and
  - 5) Anti-kickback (Copeland) Act of 1934, 18 U.S.C. S 874 and 40 U.S.C. S 276c, which outlaws and prescribes penalties for “kickbacks” of wages in federally financed or assisted construction activities.
- (k) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative requirements.
- (l) It will comply with:
- 1) Title VI of the Civil Rights Act of 1964 (Public Law 88-352), and the regulations issued pursuant thereto (24 CFR Part 1), which provides that no person in the United State shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under any program or activity for which the applicant received Federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits;
  - 2) The Fair Housing Act (previously known as Title VIII of the Civil Rights Act of 1968) (Public Law 90-284), as amended, administering all programs and activities relating to housing and community development in a manner to affirmatively further fair housing in the sale or rental of housing, the financing of housing, and the provision of brokerage services;
  - 3) Section 109 of Title I of the Housing and Community Development Act of 1987, as amended, and the regulations issued pursuant thereto (24 CFR 570.602), which provides that no person in the United States shall, on the grounds of race, color, national origin, religion, or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination on the basis of age under the Age Discrimination Act of 1975 or with respect to otherwise qualified handicapped individuals as provided in Section 504 of the Rehabilitation Act of 1973 shall also apply to any such program activity;
  - 4) Executive Order 11063, as amended by Executive Order 12259 on equal opportunity in housing and non-discrimination in the sale or rental of housing built with Federal assistance, and requiring that programs and activities relating to housing and urban development be administered in a manner affirmatively to further the goals of Title VIII of the Civil Rights Act of 1968; and

- 5) Executive Order 11246 as amended by Executive Order 11375 and 12086, and the regulations issued pursuant hereto (24 CFR Chapter 60), the Indiana Code (I.C. 22-9-1-10), which provides that no person shall be discriminated against on the basis of race, color, religion, sex or national origin in all phases of employment during the performance of Federal or federally assisted construction contracts. Contractors and subcontracts on Federal and federally assisted construction contracts shall take affirmative action to insure fair treatment in employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training and apprenticeship.
- (m) It will comply with Section 3 of the Housing and Urban Development Act of 1968, as amended, requiring that to the greatest extent feasible opportunities for training and employment be given to lower income residents of the project area and contracts for work in connection with the project be awarded to eligible business concerns which are located in, or owned in substantial part by, persons residing within the unit of local government.
- (n) It will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and Federal implementing regulation at 49 CFR Part 24, and the requirements of section 570.496a and it is following a residential anti-displacement and relocation assistance plan under section 104(d) of Title I of the Housing & Community Development Act of 1974, as amended.
- (o) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
- (p) It will comply with the provisions of the Hatch Act, which limits the political activity of employees.
- (q) It will give State, HUD and the Comptroller General through any authorized representatives, access to and the right to examine all records, books, papers, or documents related to the grant.
- (r) Its chief executive officer or other officer of applicant approved by the Indiana Office of Community and Rural Affairs:
- 1) Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. S 4321 et seq.) and other provisions of Federal law, as specified at 24 CFR 58.1 (a) (3) and (a) (4), which further the purposes of NEPA insofar as the provisions of such Federal law apply to the Indiana Small Cities Development Block Grant Program; and
  - 2) Is authorized and consents on behalf of the applicant and himself/herself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his/her responsibilities as such an official.
- (s) It will comply with:
- 1) The National Environmental Policy Act of 1969 (42 U.S.C. S 4321 et seq.) and 24 CFR Part 58, and in connection with its performance of environmental assessments under the National Environmental Policy Act of 1969, comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 470), Executive Order 11593, and the Preservation of Archaeological and Historical Data Act of 1966 (U.S.C. 469a-1, et seq.) by:
    - a) Consulting with the State Historic Preservation Officer to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the proposed activity; and
    - b) Complying with all requirements established by the State and to avoid or mitigate adverse effects upon such properties.
  - 2) Executive Order 11988, Floodplain Management;
  - 3) Executive Order 11990, Protection of Wetlands;
  - 4) Endangered Species Act of 1973, as amended, (16 U.S.C. Section 1531 et seq.);
  - 5) The Fish and Wildlife Coordination Act of 1958, as amended, (16 U.S.C. Section 661 et seq.);
  - 6) The Wild and Scenic Rivers Act of 1968, as amended, (16 U.S.C. Section 1271);
  - 7) The Safe Drinking Water Act of 1974, as amended, (42 U.S.C. Section 300f et seq.);
  - 8) Section 401(f) of the Lead-Based Paint Poisoning Prevention Act, as amended, (42 U.S.C. Section 4831 (b));
  - 9) The Clean Air Act of 1970, as amended, (42 U.S.C. Section 7401 et seq.);
  - 10) The Federal Water Pollution Control Act of 1972, as amended, (33 U.S.C. Section 1251 et seq.);
  - 11) The Clean Water Act of 1977 (Public Law 95-217); and
  - 12) The Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976 (42 U.S.C. Section 6901 et. seq.);

- 13) Section 202(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4106) as it relates to the mandatory purchase of flood insurance for special flood hazard areas.
- (t) It will comply with all parts of Title I of the Housing and Community Development Act of 1974, as amended, which have not been cited previously as well as with other applicable laws.
  - (u) It will comply with the provisions of the Indiana Code (I.C.) 35-44-1-3 and 4.
  - (v) It will abide by the provision that no member, officer, or employee of the grantee or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise any functions or responsibilities with respect to the program during the tenure or for one year thereafter shall have any direct or indirect interest in any contractor, subcontractor, or the proceeds thereof, financed in whole or in part with Title I grants.
  - (w) It agrees to repay to the State of Indiana any funds under this program which, as the result of a HUD of State of Indiana authorized audit, are found to have been spent in an unauthorized manner or for unauthorized activities.
  - (x) It certifies that none of the funds being applied for will be used to substitute for any local, state, federal or private dollars that have been committed to the project as proposed in this application.
  - (y) It certifies that it has adopted and will enforce a policy of prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and enforcing applicable State and local laws against physically barring entrance in nonviolent civil rights demonstrations; and enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction (Section 104(I) of Title I of the Housing & Community Development Act of 1974, as amended).
  - (z) It certifies that pursuant to 31 U.S.C. Section 1352, and any regulations promulgated thereunder:
    - 1) no federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, 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 any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the proposed Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
    - 3) The applicant shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

---

**THE LEGAL APPLICANT/RECIPIENT CERTIFIES THAT:**

To the best of my knowledge and belief, the recipient will comply with the above assurances if assistance is approved. CERTIFYING REPRESENTATIVE: (To be signed by Chief Elected Official or Designee)

_____ Signature, Chief Elected Official	_____ Date
Name:	Title:
	Date:



---

PART III – OTHER GOVERNMENT ASSISTANCE PROVIDED/APPLIED FOR

---

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

---

Name and Address of Agency Providing or to provide Assistance	Program	Type of Assistance	Amount requested or Provided
--	---------	-----------------------	---------------------------------

---

PART IV – INTERESTED PARTIES

---

Alphabetical List of All Persons With Reportable Financial Interest in the Project	SSN or Employer ID No.	Type of Participation in Project	Financial Interest In Project S & %
--	------------------------------	-------------------------------------	--

---

---

PART V – EXPECTED SOURCES AND USES OF FUNDS

---

This Part requires that you identify the sources and uses of all assistance that have been or may be used in the project.

---

Source

Use

---

## PART VI – CERTIFICATION

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

---

(Chief Elected Official)

Date

Name

Title

## Certification of Accessibility

**I hereby certify that all applicable handicap standards of accessibility for the following project:**

Project Name:	
Grantee:	
Grant Number:	

**Project Classification** (Check applicable box.)

Project is Exempt:	<input type="checkbox"/>
Project has been designed in consistency with the current interpretation of the federal, state and local laws, regulations and codes:	<input type="checkbox"/>

**Type of CDBG Project** (Check applicable box.)

Sewer Facilities	<input type="checkbox"/>	Water Facilities	<input type="checkbox"/>	Drainage Facilities	<input type="checkbox"/>
Planning Activity	<input type="checkbox"/>	Public Facilities	<input type="checkbox"/>	Other	<input type="checkbox"/>

**In addition to the above, indicate efforts made by the Grantee/Sub-recipient to adhere to Section 504 regulations governing the accessibility of federally assisted buildings and facilities.** (Check all that apply.)

Programs and program information are made accessible to individuals with handicaps.	<input type="checkbox"/>
Has obtained special communication systems if needed (TTY, Braille).	<input type="checkbox"/>
Policies and procedures are nondiscriminatory.	<input type="checkbox"/>
Made reasonable accommodations for persons with known handicaps.	<input type="checkbox"/>

**To be completed by Grantee/Sub-recipient with more than 15 employees:** (Check all that apply.)

Designated Section 504 Coordinator.	<input type="checkbox"/>
Notified participants of non-discrimination policies.	<input type="checkbox"/>
Conducted self-evaluation of compliance.	<input type="checkbox"/>
Other, describe:	

**Signatures**

Signature of Chief Elected Official:	
Date:	
Signature of Design Engineer:	
Date:	

## CIVIL RIGHTS CERTIFICATION

The Applicant, any contractor, any subcontractor, or any other party performing any services or having any responsibilities hereunder shall fully and completely comply with the following:

- a) Section 109 of the Housing and Community Development Act of 1974 which requires that no person in the United States shall on the grounds of race, color, national origin or sex, be excluded from the participation in, be denied the benefits of, or be subjected to, discrimination under any program or activity funded in whole or in part with Community Development Block Grant (CDBG) funds.
- b) Shall not, under any program or activity pursuant to this Agreement, directly or through contractual or other arrangements, on the grounds of race, color, national origin, sex, age, handicap status or religion:
  - i. Deny any individual any facilities, services, financial aid or other benefits provided under the program or activity.
  - ii. Provide any facilities, services, financial aid or other benefits in a different form from those provided under the program or activity.
  - iii. Subject any person to segregated or separate treatment in, or in any matter of process related to receipt of any services or benefit under the program or activity.
  - iv. Restrict an individual in any way access to, or the enjoyment of, any advantages or privilege enjoyed by others in connection with facilities, services, financial aid or any other benefits under the program or activity.
  - v. Treat an individual different from others in determining whether the individual satisfies any admission, enrollment, eligibility, membership, or other requirement or condition which the individual must meet in order to be provided any facilities, services or any benefit provided under the program or activity.
  - vi. Deny an individual an opportunity to participate in a program or activity as an employee.
- c) Shall not use criteria or methods of administration which have the effect of subjecting individuals to discrimination on the basis of race, national origin, sex, age, handicap status or religion, or have effect of defeating or substantially impairing the accomplishment of the objectives of the Housing and Community Development Act of 1974, (as amended).
- d) In determining a site or location of housing or facilities shall not make selections of such site or location which have the effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination on the grounds of race, color, national origin, sex, age, handicap status, or religion.

The Applicant in all contracts or agreements subject to Executive Order 11246 shall be subject to HUD Equal Employment Opportunity regulations at 24 CFI Part 130 applicable to HUD assisted construction contracts.

The Applicant shall cause or require to be inserted in full in any non-exempt contract and subcontract for construction work, or modification thereof, as defined in said regulations, which is paid for in whole or in part with assistance provided under this Agreement, the following equal opportunity clause:

The Applicant will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin or handicap. Such action shall include, but not limit to the following: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising: layoff or termination: rates of pay or other forms of compensation: and selection or training: including apprenticeship. The applicant agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Grantor setting for the provisions of this nondiscrimination clause.

The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the applicant, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

The Applicant Contractor will comply with all provisions of Executive Order 11246 of September 1965, and of the rules, regulations and relevant orders of the Secretary of Labor.

The Applicant/Contractor will comply with all provisions of Title VIII, Civil Rights Act of 1968, which prohibits discrimination in the sale of rental dwellings, discrimination in the financing of housing, blockbusting, and discriminatory advertising and makes it unlawful to deny any person access to, or membership or participation in, any multiple listing services or real estate brokers' organization for discriminatory reasons.

The Applicant/Contractor will comply with Section 3 Housing and Urban Development Act of 1968, Section 504: Rehabilitation Act of 1974, Executive Order 11063 and all other Federal Rules and Regulations.

The Applicant will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules and regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the Department and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

In the event of the Applicants noncompliance with the nondiscrimination clauses of an executed agreement or with any Such rules, regulations, or orders, this agreement may be canceled, terminated or suspended in whole or in part and the applicant May be declared ineligible for further government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 14, 1965 or by rule, regulation, or order of the Secretary of Labor.

The Applicant shall require that the language referred to in this certification be included in the award documents for all sub-awards at all tiers (including sub-contract, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

The Legal Applicant/Recipient Certifies That:

To the best of my knowledge and belief, the recipient will comply with the above certification if assistance is approved.

Certifying Representative: (to be signed by Chief Elected Official or Designee)

\_\_\_\_\_  
Signature, chief Elected Official

\_\_\_\_\_  
Date

Name (typed or printed)

Title

Date

## SAMPLES

### LETTER OF INTENT TO SUBMIT PLANNING APPLICATION

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

Indiana Office of Community and Rural Affairs  
Community Affairs Division  
One North Capitol, Suite 600  
Indianapolis, Indiana 46204

Re: Notice of Intent to Submit Planning Application

Dear \_\_\_\_\_:

The **(city, town, county)** seeks to submit a planning grant application within the next six months. We are requesting a site visit prior to beginning the procurement process for this project. The **(city, town, county)** wishes to obtain a planning grant from the Indiana Office of Community and Rural Affairs for **(describe the proposed project)**.

The estimated cost of the planning project is \$ **(estimated cost)**, which includes the following work items: **(summarize the scope of work)**.

As the chief elected official of **(city, town, county)**, I am signing this letter in anticipation of receiving your assistance in developing our planning grant application. Please contact **(contact person's name and title)** at **(phone number)** regarding this project.

Sincerely,

**(Chief Elected Official)**

**SAMPLE**

**LEGAL ADVERTISEMENT FOR REQUEST FOR  
QUALIFICATIONS/REQUEST FOR PROPOSALS**

**REQUEST FOR PROPOSAL/STATEMENT OF QUALIFICATIONS  
TOWN OF AMERICANA, INDIANA**

In order to assure compliance with the Indiana Office of Community and Rural Affairs (IOCRA) and related requirements regarding competitive negotiation of planning services, the Town of Americana is seeking Statements of Qualifications for the provision of planning technical assistance relating to a utility master plan.

**Description of Services Needed**

WATER

- I. Project Planning Area Characteristics
  - Location and Background Information
  - General Characteristics of the Planning Area
  - Environmental Resources
  - Hydrology and Groundwater Resources
  - Land Use, Population Trends and Projections
  
- II. Existing Waterworks Facilities / Specific Problems
  1. Source of Supply
  2. Water Treatment Area (If Applicable)
  3. Water Distribution System
  4. Water Storage
  5. Hydraulic Analysis
  6. Compliance with Safe Drinking Water Act (SDWA)
  7. Water Pumpage
  8. Distribution of Users
  9. Water Loss
  10. Projected Future Water Demands
  11. Fire Protection Considerations
  12. Current Utility Financial Status
  
- III. Need for Project
  1. Description
  2. Design Criteria
  3. Layout Map
  4. Environmental Impacts
  5. Land Requirements
  6. Construction Problems
  7. Cost Estimates
    - a. Construction
    - b. Non-Construction
    - c. Annual Operation and Maintenance
    - d. Present Work
  8. Advantages / Disadvantages
    - Short and Long Term

- IV. Proposed Recommend Alternatives (Short and Long Term)
  - 1. Project Preliminary Design
  - 2. Cost Estimate
  - 3. Annual Operating Budget
- V. Funding Options
  - 1. Indiana Office of Community and Rural Affairs
  - 2. Rural Development
- VI. Preliminary Rate Derivation
  - 1. Residential Customers
- VII. Conclusions and Recommendations
  - 1. Project Implementation Schedule

#### WASTEWATER

- I. Project Planning Area
  - 1. General Characteristics
  - 2. Location Maps
  - 3. Environmental Resources
  - 4. Growth Areas
- II. Existing Facilities / Specific Problems
  - 1. Location Map
  - 2. History
  - 3. Present Conditions
  - 4. Adequacy of Current Facilities
- III. Need for Project
  - 1. Health and Safety
  - 2. Regulatory Concerns
  - 3. Growth and Future Needs During the Planning Period
- IV. Alternatives Considered
  - 1. Description
  - 2. Preliminary Design Criteria
  - 3. Layout Map
  - 4. Environmental Resources
  - 5. Land Requirements
  - 6. Construction Problems
  - 7. Cost Estimates
    - a. Construction
    - b. Non-Construction
    - c. Annual Operations and Maintenance
    - d. Present Worth
  - 8. Advantages / disadvantages
  - 9. Short and Long Term

## **Type of Contract**

The town of Americana will execute a cost reimbursement type of contract for these services that is contingent on the final commitment of planning grant funding. All services will be stated on the cost reimbursement basis (hourly rate and maximum hours fixed). The awarded contract will have a not to exceed  $\leq$  clause that will limit the allowable fees charged in connection with these services through close out.

## **Federal Requirements**

Prospective offerors should note the successful proposer must meet the following terms and conditions:

1. 24 CFR Part 85 .36
2. Title VI of the Civil Rights Act of 1964
3. Conflict of Interest (24 CFR Part 570).
4. Access to records.
5. Executive Order 11246 – Equal employment Opportunity
6. Executive Order 12138 – Women Business Enterprise Policy.
7. Architectural Barrier Act of 1968.
8. Age Discrimination Act of 1975.
9. Section 3 clause – Housing and Urban Development Act of 1968.
10. Section 504-Rehabilitation Act of 1973.
11. Retention and Custodial Requirements (24 CFR Part 85.42).
12. Executive Order 11063
13. Affirmative Action Program / Plan.
14. Davis Bacon and Related Acts.

The Indiana Office of Community and Rural Affairs has a 10% MBE/WBE goal for all projects funded with Community Development Block Grant Funds.

## **Rate of Proposals/Qualifications**

The proposal must include sufficient information regarding qualifications and determine that the engineer is qualified and experienced in water/sewer utility projects. Do not include a proposed fee with the proposal, as this is a qualification based selection process. The proposal should include the following:

1. A description of expertise, experience and resources directly relevant and available for the proposed project.
2. A list of similar projects previously completed.
3. A list of references.
4. Resumes of professional staff members that will work on this project.
5. Name of person to be in charge of project.
6. Description of scope of services as per Description of Services Needed
7. A project time line.

The proposal shall also provide the following information: name, title, address and telephone number of individuals with authority to negotiate and bind the proposer contractually, and who may be contracted during the period of proposal evaluation.

## **Award of Contract**

Proposal Evaluation criteria shall include:

1. Specialized experience or technical expertise of the organization and its personnel in connection with the scope of services to be provided and complexity of the project. (\_\_\_ points )

2. Past record of performance on contracts, including quality of work, timelines and cost control. (\_\_\_ points)
3. Capacity of the organization to perform the work within time limitations, taking into consideration the current planned workload of the firm. (\_\_\_ points)
4. Familiarity of the organization with this type of project or problems applicable to the project. (\_\_\_ points)

\* For a total of \_\_\_ points possible.

If you are interested in providing the required services, please note that six (6) copies of the Statement of Qualification/Proposal of each prospective organization must be received by the Town of Americana, Clerk Treasure's Office, P.O. Box 177, Americana, Indiana 46777 no later than 12:00 p.m. (noon) local time on May 1, 2001. Each statement of Qualification/Proposal will be reviewed for completeness and clarity according to the above criteria. Interviews are expected to be held on May 16, 2001.

The Town may or may not negotiate the fee schedule with one or more offers. The Town reserves the right to reject any and / or all proposals. The town is an Equal Opportunity Employer. The contract is tentatively scheduled to be awarded by the Town on June 1, 2001. Offerors may desire additional information, a site visit or clarification regarding the Statement of Qualification / Proposal. If so please contact John Smith between 9:00 a.m. and 5:00 p.m. local time at (317) 555-1234.

# SAMPLE RESOLUTION AUTHORIZING APPLICATION SUBMISSION AND LOCAL MATCH COMMITMENT

RESOLUTION OF THE CITY/TOWN/COUNTY COUNCIL OF THE CITY /TOWN/COUNTY OF \_\_\_\_\_, INDIANA AUTHORIZING THE SUBMITTAL OF THE CDBG PLANNING GRANT APPLICATION TO THE INDIANA OFFICE OF COMMUNITY AND RURAL AFFAIRS AND ADDRESSING RELATED MATTERS

WHEREAS, the Council of the City/Town/County of \_\_\_\_\_, Indiana recognizes the need to stimulate growth and to maintain a sound economy within its corporate limits: and

WHEREAS, THE Housing and Community Development Act of 1974, as amended, authorizes the Indiana office of Community and Rural Affairs to provide grants to local units of government to meet the housing and community development needs of low-and moderate-income persons; and

WHEREAS, the City/Town/County of \_\_\_\_\_, Indiana has conducted or will conduct public hearings prior to the submission of an application to the Indiana Office of Community and Rural Affairs, said public hearings to assess the housing, public facilities and economic needs of its low-and moderate-income residents:

NOW, THEREFORE BE IT RESOLVED by the Council of \_\_\_\_\_, Indiana that:

1. The Mayor/Town Council President/County Commission President is authorized to prepare and submit an application for grant funding to address (summary of proposed project) and to execute and administer a resultant grant including requisite general administration and project management, contracts and agreements pursuant to regulations of the Indiana Office of Community and Rural Affairs and the United States Department of Housing and Urban Development.
  
2. The City/Town/County of \_\_\_\_\_, Indiana hereby commits the requisite local funds in the amount of \_\_\_\_\_ (\$ \_\_\_\_\_) in the form of (source of local match), as matching funds for said program, such commitment to contingent upon receipt of CDBG funding from the Indiana Office of Community and Rural Affairs.

Adopted by the City/Town/County council of the City/town/County of \_\_\_\_\_, Indiana this \_\_\_\_\_ day of (month), (year), at (time).

SIGNATURE: \_\_\_\_\_  
Chief Elected Official, Title  
(Mayor, Board President)

ATTET: \_\_\_\_\_  
(Chief Financial Officer, Title)  
(Controller, Clerk-Treasurer, Auditor)

***\*\*Please note a separate letter must be attached by the Chief Financial Officer. See Readiness to Proceed Guidelines for further details regarding letter content.***

## SAMPLE

### PUBLIC NOTICE FOR FIRST PUBLIC HEARING

On or about (date), (Applicant) intends to apply to the Indiana Office of Community Rural Affairs for a grant from the State Community Development Block Grant (CDBG) Planning program. This program is funded by Title I of the federal Housing and Community Development Act of 1974, as amended. These funds are to be used for a community development planning project that will include the following activities: (summary of proposed project). The total amount of CDBG funds to be requested is \$(amount of request). The amount of CDBG funds proposed to be used for activities that will benefit low- and moderate-income persons is \$(amount of CDBG Planning funds requested x percentage of low- to moderate-income residents\*). The Applicant also proposes to expend an estimated \$(amount of local match) in non-CDBG funds on the project. These non-CDBG funds will be derived from the following sources: (source and amount).

(Applicant) will hold a public hearing on (date), at (time), in (place) to provide interested parties an opportunity to express their views on the proposed federally funded CDBG project. Persons with disabilities or non-English speaking persons who wish to attend the public hearing and need assistance should contact (name, address, phone #) not later than (date). Every effort will be made to make reasonable accommodations for these persons.

Information related to this project will be available for review prior to the public hearing as of (date) at the office the (Applicant) located at (address) between the hours of (office hours). Interested citizens are invited to provide comments regarding these issues either at the public hearing or by prior written statement. Written comments should be submitted to (name and address) no later than (date) in order to ensure placement of such comments in the official record of the public hearing proceedings. A plan to minimize displacement and provide assistance to those displaced has been prepared by (Applicant) and is also available to the public. This project will result in (no displacement of any persons or businesses – or – displacement of the following persons and businesses [name and address]). For additional information concerning the proposed project, please contact (person – telephone – office hours and days) or write to (person – address).

**\*This is required in the ad even for Slum/Blight projects.**

## SAMPLE

### PUBLIC NOTICE FOR SECOND PUBLIC HEARING

The (Applicant) will hold a public hearing on (date) beginning at (time) at the (location) to provide interested citizens an opportunity to express their views on the recently completed (name of study). The (name of study) was paid for using Federal Community Development Block Grant Funds from the Indiana Office of Community and Rural Affairs. Representatives from the (type of consulting firm) firm, (name of consulting firm) will present their findings and recommendations at the hearing. Every effort will be made to allow persons to voice their opinions at the public hearing. Persons with disabilities or non-English speaking persons who wish to attend the public hearing and need assistance should contact (contact person, title, mailing address) or call (phone number for contact person) not later than (deadline). Every effort will be made to make reasonable accommodations for these persons. For additional information concerning the public hearing or the (name of study) please contact: (contact person and title) at the address or phone number listed above.

## **SAMPLE**

### **LOCAL RESOLUTION APPROVING THE PLAN**

WHEREAS, the (city/town/county) had identified adequate reason to analyze (name of project or project abstract from cover page of application), and

WHEREAS, the (city/town/county) has hired (consultant name) to define and describe the issues, advise us of our options, and make recommendations to address this issue in the near future, and

WHEREAS, the (city/town/county) has received federal Community Development Block Grant dollars from the Indiana Office of Community and Rural Affairs to fund this study and has contributed (match amount) as local match for this project, and

WHEREAS, the (city/town/county) has reviewed the process and completed study thoroughly and is satisfied with the services performed, information contained therein, and methodology applied;

WHEREAS, the (city/town/county) has received (number of copies) copies of this document for our records and will keep them on file in the town offices for future reference, and

BE IT RESOLVED by the (city/town/county) that the final document is hereby approved, contingent upon comments and approval received from the Indiana Office of Community and Rural Affairs. The (city/town/county) will fully consider all comments and feedback received from the Indiana Office of Community and Rural Affairs and will direct its consultant to provide amended copies of this plan reflecting all said comments.

## **SAMPLE**

### **LOCAL DISPLACEMENT PLAN**

1. (Applicant) will consider for submission to the Indiana Office of Community and Rural Affairs, under its various Community Development Block Grant funded programs, only projects and activities that will result in the displacement of as few persons or businesses as necessary to meet State and local development goals and objectives.

2. (Applicant) will certify to the State, as part of its application process, that it is seeking funds for a project or activity that will minimize displacement.

3. (Applicant) will provide referral and reasonable moving assistance, both in terms of staff time and dollars, to all persons involuntarily and permanently displaced by any project or activity funded with Community Development Block Grant funds.

4. All persons and businesses directly displaced by (applicant) as the result of a project or activity funded with Community Development Block Grant funds will receive all assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, including provisions of the Uniform Relocation Act Amendments of 1987, Title IV of the Surface Transportation and Uniform Relocation Assistance Act of 1987.

5. (Applicant) will provide reasonable benefits and relocation assistance to all persons and businesses involuntarily and permanently displaced by the Community Development Block Grant activity funded by the State in accordance with appendices attached hereto, provided they do not receive benefits as part of such action under number 4 above.

**SAMPLE**

**ENVIRONMENTAL REVIEW EXEMPTION LETTER**

**(Date)**

Environmental Officer  
Grant Services  
Office of Lt. Governor  
One North Capitol, Suite 600  
Indianapolis, IN 46204-2288

The City/Town/County of **(name of applicant)** has received a planning grant from the Indiana Office of Community and Rural Affairs. Grants for the sole purpose of planning are classified as exempt per 24 CFR Part 58.24.

We are requesting from the State of Indiana, upon receipt of a fully executed planning grant agreement, the release our community's grant funds. We understand we are prohibited from incurring costs on this project prior to receiving a fully executed grant agreement without express written permission to do so from the IOCRA.

Sincerely,

**(Chief Elected Official)**

# **SAMPLE SLUM AND BLIGHT SPOT DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted structures within the corporate limits of (city/town), Indiana, and

WHEREAS, identifying such a structure is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the structure has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, ( ) percent of first floor commercial space, ( ) percent of second floor commercial space, and ( ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of the structure has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following property of (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: (insert specific address of spot location).

# **SAMPLE SLUM AND BLIGHT AREA DECLARATORY RESOLUTION**

**(CITY/TOWN/COUNTY) OF \_\_\_\_\_**  
**RESOLUTION # \_\_\_\_\_**

WHEREAS, the (city/town) Redevelopment Commission desires to eliminate slum and blighted areas within the corporate limits of (city/town), Indiana, and specifically downtown (city/town), and

WHEREAS, identifying such areas is necessary for effective action to eliminate slum and blighting conditions, and

WHEREAS, public improvements such as sidewalks and streets have severely deteriorated, contributing to slum and blighting conditions, and

WHEREAS, the downtown area has experienced a cessation of private investment since \_\_\_\_\_, and

WHEREAS, ( ) percent of first floor commercial space, ( ) percent of second floor commercial space, and ( ) percent of total commercial space in downtown (city/town) is currently vacant, and

WHEREAS, widespread deterioration of downtown commercial buildings has taken place as evidenced by crumbling facades, broken or boarded windows, unrepaired vandalism, growth of vegetation, and presence of litter in and around many downtown commercial buildings,

BE IT RESOLVED by the (city/town) Redevelopment Commission that the following areas of downtown (city/town) hereby be designated as (a slum/blighted) as defined by Indiana Code 36-7-14: High Street from 1/2 block east of Meridian Street to and including Oak Street, and Oak and Union Streets 1/2 block north and south of High Street.

**SAMPLE**

**COOPERATION AGREEMENT**

The City/Town of \_\_\_\_\_, Indiana, seeks to support the efforts of the City/Town of \_\_\_\_\_ to obtain a Community Focus Fund grant from the Indiana Office of Community and Rural Affairs for (proposed project) located in both the aforementioned Cities/Towns. As the chief executive officers of our respective local governments, we are signing this agreement to provide our full cooperation to accomplish these improvements. The City/Town of \_\_\_\_\_ is hereby designated as the lead agency for this application and program and will be the applicant for funds. The City/Town of \_\_\_\_\_ will be liable for all the program's administrative functions should the grant be awarded.

\_\_\_\_\_  
Mayor

\_\_\_\_\_  
Town President

City of \_\_\_\_\_

\_\_\_\_\_  
Attest/ Date  
SEAL:

\_\_\_\_\_  
Attest/ Date  
SEAL:

Note: This general form (or a suitable variation) is to be used by local government applicants whose proposed project area involves more than one jurisdiction. It is a required part of any "in behalf of" or "joint" application with appropriate modifications as may be required to fit local situations.

# **APPENDIX ONE: EVALUATION CRITERIA**

## GRANT EVALUATION CRITERIA - 1100 POINTS TOTAL

*Note: Planning projects MUST score a minimum of 600 points total to be funded.*

### Economic and Demographic Characteristics- 450 points:

#### **National Objective Score (200 points):**

Depending on the National Objective to be met by the project, one of the following two mechanisms will be used to calculate the score for this category.

**1. National Objective = Benefit to Low- and Moderate-Income Persons:** 200 points maximum awarded according to the percentage of low- and moderate-income individuals to be served by the project. The total points given are computed as follows:

$$\text{National Objective Score} = \% \text{ Low/Mod Beneficiaries} \times 2.5$$

The point total is capped at 200 points or 80% low/moderate beneficiaries, i.e., a project with 80% or greater low/moderate beneficiaries will receive 200 points. Below 80% benefit to low/moderate-income persons, the formula calculation will apply.

**2. National Objective = Prevention or Elimination of Slums or Blight:** 200 points maximum awarded based on the characteristics listed below. The total points given are computed as follows:

$$\text{National Objective Score} = (\text{Total of the points received in each category below}) \times 2.5$$

\_\_\_ Slum/Blight Area or Spot designated by resolution of the local unit of government (50 pts.)

\_\_\_ Community is an Indiana Main Street Senior Partner or Partner, and the project relates to downtown revitalization (5 pts.)

\_\_\_ The project site is a Brownfield\* (5 pts.)

\_\_\_ The project is located in a designated redevelopment area under IC 36-7-14 (5 pts.)

\_\_\_ The building or district is listed on the Indiana or National Register of Historic Places (10 pts.)

\_\_\_ The building or district is eligible for listing on the Indiana or National Register of Historic Places (5 pts.)

\_\_\_ The building is on the Historic Landmarks Foundation of Indiana's "10 Most Endangered List" (5 pts.)

\* The State of Indiana defines a Brownfield as an industrial or commercial property that is abandoned, inactive, or underutilized, on which expansion or redevelopment is complicated due to actual or perceived environmental contamination.

**Community Distress Factors (250 Points)** - the community distress factors used to measure the economic conditions of the applicant community are listed below. Each is described with an explanation and an example of how the points are determined. Each factor can receive a maximum of 50 points with the total distress point calculation having a maximum of 250 points. The formula calculation for each measure is constructed as a percentage calculation along a scale range. The resulting percentage is then translated into a point total on a 50 point scale for each measure.

**1. Unemployment Rate (50 points maximum)** - Unemployment rate for the county of the lead applicant. The average rate for the previous 12 months is used.

- a. If the unemployment rate is 10% or higher, 50 points are awarded.
- b. If the unemployment rate is 2% or below, 0 points are awarded.
- c. Between those values, the points are calculated by taking the unemployment rate, subtracting 2%, dividing by 8% and multiplying by 50, where 2% is the bottom point of the scale and 8% is the range of the scale.

$$\text{Unemployment Rate Points} = [(\text{Unemployment rate} - 2\%) / 8\%] \times 50$$

For example, if the unemployment rate is 5%, take unemployment rate of 5%, subtract 2%, divide by 8%, and multiply by 50. The score would be 18.75 point of a possible 50;  $[(5-2)/8 \times 50 = 18.75]$

**2. Net Assessed Value/capita (50 points maximum)** - Net assessed value per capita for lead applicant.

To determine the net assessed value per capita, take the appropriate net assessed value and divide by the total 1996 population (projected from census data) of the lead applicant;

$$\text{NAV/capita} = \text{NAV/Total Population}$$

- a. If the net assessed value/capita for the lead applicant is above \$10,000, 0 points are awarded.
- b. If the net assessed value/capita for the lead applicant is \$3,000 or under, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the NAV/capita from \$10,000, dividing by \$7000 and multiplying by 50, where \$10,000 is the top of the scale and \$7000 is the range of the scale.

$$\text{NAV/capita points} = [(\$10,000 - \text{NAV/capita})/\$7000] \times 50$$

For example, if the Net Assessed Value/capita is \$4,000, take \$10,000, subtract the NAV/capita of \$4,000, divide by \$7,000, and multiply by 50. The score would be 42.86 points of a possible 50 points;  $[(10,000 - 4,000)/7000] \times 50 = 42.86$ .

**3. Median Housing Value (50 points maximum)** - Median Housing Value for lead applicant.

$$\text{Median Housing Value Points} = [(\$75,000 - \text{median housing value})/\$50,000] \times 50$$

- a. If the median housing value for the lead applicant is \$75,000 or higher, no points are awarded.
- b. If the median housing value for the lead applicant is \$25,000 or lower, 50 points are applicant.

For example, if the median housing value is \$35,000, take \$75,000, subtract the median housing value of \$35,000, divide by \$50,000, and multiply by 50. The score would be 40 points out of a total possible of 50;  $[(75,000 - 35,000)/50,000 \times 50 = 40$ .

**4. Median Household Income (50 points maximum)**

$$\text{Median Household Income Points} = [(\$50,000 - \text{median household income})/\$25,000] \times 50$$

- a. If the median household income is \$50,000 or higher, no points are awarded.
- b. If the median household income is \$25,000 or lower, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the median household income from \$50,000, dividing by \$25,000 and multiplying by 50, where \$50,000 is the top of the scale and \$25,000 is the range of the scale.

For example, if the Median Household Income is \$32,500, take \$50,000, subtract the median household income of \$32,500, divide by \$25,000, and multiply by 50. The score would be 35 points out of a possible 50;  $[(50,000 - 32,500)/25,000] \times 50 = 35$ .

**5. Percentage Population Change (50 points maximum)** - Percentage population change (1990-2000).

The percentage change is computed by subtracting the 1990 population from the 2000 population projection and dividing by the 1990 population. Convert this decimal to a percentage by multiplying by 100.

$$\text{Percentage Population Change} = [(2000 \text{ population} - 1990 \text{ population})/1990 \text{ population}] \times 100$$

- a. If the population increased by 15% or greater, 0 points are awarded.
- b. If the population decreased by 10% or greater, 50 points are awarded.
- c. Between those values, the points are calculated by subtracting the Percent Population Change from 15%, dividing by 25%, and multiplying by 50, where 15% is the top of the scale and 25% is the range of the scale.

$$\text{Percentage Population Change points} = [(15\% - \text{Percentage Population Change})/25\%] \times 50$$

For example, if the population increased by 3%, take 15%, subtract 3%, divide by 25%, and multiply by 50. The score would be 24 points out of a total possible of 50;  $(15-3)/25 \times 50 = 24$ .

**Local Match Contribution- 100 points:**

Up to 100 points possible based on the percentage of local funds devoted to the project. This total is determined as follows:

$$\text{Total Match Points} = \% \text{ Eligible Local Match} \times 2$$

Eligible local match can be local cash or debt. Government grants, including Build Indiana Funds, are not considered eligible match.

**Project Design Factors- 450 points:**

450 points maximum awarded according to the evaluation in three areas:

**Project Need** - why does the community need this project?

**Financial Impact** - why is grant assistance necessary to complete this project?

**Local Effort** - what has/is the community doing to move this project forward?

The project can receive a total of 150 points in each category. The points in these categories are awarded by the IOCRA review team when evaluating the projects. Applicants should work with the Indiana Office of Community and Rural Affairs' Community Development Division to identify ways to increase their project's scores in these areas.

**Project Priority Factors (100 points):**

Group A Projects 75 points

- Health Facilities
- Youth Centers
- Water System Improvements
- Sewer System Improvements
- Storm water System Improvements

Group B Projects 60 points

- Community Centers
- Day Care Centers
- Senior Centers
- Fire Stations
- ADA/Handicap Compliance
- Infrastructure in support of housing
- Other Special Needs Facilities

Group C Projects 45 points

- Historic Preservation
- Downtown Revitalization
- Parks/Recreation
- Slum/Blight Clearance

Leveraging of Philanthropic Capital 25 points

- 2% of total Grant amount or \$5,000 (whichever is greater) is being funded by Philanthropic capital. Sources include but are not limited to:
  - County Community Foundation
  - Lilly Foundation
  - Kellogg Foundation
  - University Foundations
  - Private Endowments

# **APPENDIX TWO: PROCUREMENT**

## PROCUREMENT OVERVIEW

The procurement process required for the Community Development Block Grant (CDBG) programs is called Qualifications Based Selection (QBS) for architectural and engineering services, and Request for Proposal (RFP) for all other services. The QBS, or Request for Qualifications (RFQ), process does not include price as an evaluation criterion. The IOCRA has certain requirements for this process that must be met before the procurement process is approved and a grant is awarded. The following paragraphs outline the steps that a community must take in order to be in compliance with the requirements of the IOCRA.

1. The community must develop a preliminary scope of work for the project. This scope of work should include all major components of the proposed project in order to provide potential consultants with an understanding of what the community needs.

2. The community must solicit consulting firms qualified to do the work, using a Request For Statement of Qualifications (RFQ) or Request for Proposals (RFP). The community is responsible for two methods of such solicitation: (1) soliciting via direct mail and (2) placing a legal ad in a newspaper of general circulation. When deciding which firms to solicit, the community should consider businesses in the logical geographical area relative to their vicinity. Communities should also contact other communities for feedback and recommendations.

The direct mail solicitation must be sent to at least five (5) firms, two (2) of which must be certified Minority-owned Businesses (MBE) with the State of Indiana's Directory of Minority and Women-owned Businesses. (You can access this directory on the Internet at [www.ai.org/idoa/minority/index.html](http://www.ai.org/idoa/minority/index.html). While the IOCRA does encourage communities to solicit Women-owned Businesses, the Women-owned Businesses are not a substitute for the requirement of soliciting two Minority-owned Businesses.) The required five (5) direct-mail solicitations need to be sent via certified mail, and the certified mail receipts must be kept. Communities may solicit more than five (5) firms via direct mail, if local leaders so choose; if this occurs, certified mail receipts are required for all firms solicited.

The legal ad must contain the following elements: (a) the general scope of work, or outline of project components, (b) contact information for obtaining a detailed scope of work (if one is available), (c) the deadline for submitting the statement of qualifications/proposal, (d) the address to which the statement of qualifications/proposal should be sent, (e) the evaluation criteria that will be used for selection of the consultant, and (f) the scoring weight attached to each of the aforementioned evaluation criteria. Formal advertising for professional services is required by Federal regulations under 24 CFR 85.36(d) (3). An example of a legal advertisement for a Request For Statement of Qualifications/Request For Proposals is included in the Sample section of this Application Packet. Advertisements must be published no less than 30 calendar days before the proposal due date.

3. The lead applicant for the grant needs to appoint a selection committee that consists of objective local parties familiar with the proposed project. IOCRA recommends no more than three to five (3-5) persons\*. This committee is responsible for reviewing the information received as a result of the RFQ/RFP process and determining whether to short-list firms or take all into further consideration. The selection committee may choose to interview those firms it wishes to consider. Each individual committee member must complete a score sheet for each firm considered. This scoring can be done as part of the interview process, or simply at a meeting to evaluate submitted materials. The scoring is done based on the criteria and weights assigned and advertised in the legal ad. The firm compiling the most points as a result of the scoring process is considered the selected firm.

\*Grant administrators shall NOT serve on this committee, as they most likely have on-going working relationships with multiple firms.

4. If using QBS (for architectural or engineering services) negotiations can now begin with the selected firm to determine the price of the services. If a price is agreed upon, the selection process is complete. A proposed contract should be written between the community and the selected firm, BUT SHOULD NOT BE SIGNED. This contract must include the Professional Service Third Party Provisions attachment. (This attachment is included in the CDBG Program Grantee Implementation Manual and can also be obtained via our website at: [www.in.gov/ocra](http://www.in.gov/ocra).) If a price cannot be agreed upon, the community may begin negotiations with the firm in second place based on the scoring process.

5. Communities must submit a packet of procurement information for approval by IOCRA along with the grant application. The packet must contain all of the following: a copy of the detailed scope of work, the original legal advertisement and publisher's affidavit, copies of the certified mail receipts to the firms solicited (at least five in number), a list of all firms solicited with MBE firms clearly indicated, a list of the firms that responded, a list of the firms on the short list (if applicable), a list of the community members on the selection panel and their titles, a copy of each panel member's signed score sheet for each firm considered, a summary of scores, copies of correspondence to firms, and a copy of the proposed contract between the community and the selected firm, including the Professional Service Third Party Provisions attachment (available in the CDBG Program Grantee Implementation Manual and via our website at [www.in.gov/ocra/](http://www.in.gov/ocra/)).

6. Private firms or non-governmental entities that perform project development and administration activities for CDBG-assisted projects (project development, environmental review, grant application preparation, procurement assistance, and grant administration) will NOT be allowed to also perform architectural, engineering, planning or other related services/activities for grantee.

# Proposal/Statement of Qualifications Evaluation

## FOR SHORT-LISTING / INTERVIEWS

The following model is provided for your use as appropriate for your specific situation. The weights and rating values assigned should be the same as those used for the interviews, which you will do later. Complete a sheet for each firm submitting a proposal/qualifications.

The highest number represents the most value for each column. **Rating column:** 1-5 points. In this column you rate the firm based on each qualification. **Weight column:** 1-10 depending on value to the project. Use the weight column to indicate the level of importance (in your judgment), in each area, to the particular project. Multiply the rating by the weight for each category and enter the total. Add all totals to establish the grand total.

**Firm:**

**Contact Person:**

**Project Description:**

**Address:**

**Phone:**


### INDIVIDUAL EVALUATION

	RATING	X	WEIGHT	=	TOTAL
1. History of firm and resource capabilities to perform required services.		X		=	
2. Evaluation of assigned personnel.		X		=	
3. Related experience (as appropriate). - design services - planning - feasibility studies - other		X		=	
4. Budget, cost controls, experience, and results.		X		=	
5. Familiarity with local experience and results.		X		=	
6. Ability to relate to project.		X		=	
7. Analysis of narrative statement. (One page)		X		=	
8. Reference check (evaluation transfer from reference check form).		X		=	

<b>Name of Reviewer:</b>	<b>Grand Total:</b>
--------------------------	---------------------

**THE REFERENCE CHECK**

<b>Firm Being Checked:</b>	
<b>Project Referenced:</b>	
<b>Person Contacted:</b>	
<b>Phone:</b>	

\*Based on the reference provided in the firm’s proposal, or through networking with other owners who have worked with the firm.

**SAMPLE QUESTIONS TO BE ASKED:**  
(Owner may wish to add to this list of questions.)

	<b>5 Excellent</b>	<b>4 Good</b>	<b>3 Average</b>	<b>2 Fair</b>	<b>1 Poor</b>
1. What project did the firm perform for you?	<input type="checkbox"/>				
2. When was it completed?	<input type="checkbox"/>				
3. What was the scope of services? (Design work, construction phase services, studies, other).	<input type="checkbox"/>				
4. Was the project completed on schedule?	<input type="checkbox"/>				
5. Was the budget, cost control and financial administration within the planned controls and limitations?	<input type="checkbox"/>				
6. Did the firm and (you) the owner work well as a team in relation to the project?	<input type="checkbox"/>				
7. Did the firm personnel work well with the committee/board staff and on all of the specific requirements of the project?	<input type="checkbox"/>				
8. How would you rate the value you received to the cost of the services of the firm?	<input type="checkbox"/>				
9. What is your overall evaluation of the firms based on your experience?	<input type="checkbox"/>				
10. Would you use this firm on a similar project?	<input type="checkbox"/>				
<b>GRAND TOTAL</b>					

**GROUP QUALIFICATIONS EVALUATION SUMMARY  
SHORTLISTING**

The group evaluation form is provided for the chairperson of the evaluation group to evaluate the results of the process. Use it to develop a short-list of firms who submitted qualifications down to the number desired (firms to be interviewed).

<b>FIRMS</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Reviewer 1				
Reviewer 2				
Reviewer 3				
Reviewer 4				
Reviewer 5				
<b>GRAND TOTALS</b>				

---

## Letter to Short Listed Firms

---

### SAMPLE

**TO:** FIRMS SELECTED FOR INTERVIEWS

**FROM:**

**PROJECT:**

**RE:** INTERVIEW SCHEDULE AND REQUIREMENTS

The firms listed below have been selected to be interviewed for the professional services relative to the above referenced project.

Attached to this memo are the following:

- 1) An Interview Score Sheet, which will be used by the interviewers during the interview session.
- 2) Evaluation form for use by the evaluation group chairperson to compile the evaluation scores.

Each firm will be allowed 25 minutes to present their qualifications and 15 minutes to answer questions. The interviewers will schedule 10 minutes between interviews for informal discussion of information presented during the preceding interview. At the completion of the interviews, the committee will rank the firms interviewed in accordance with their determination of which firm is most qualified and compatible to do the work. The firm deemed to be most qualified will then be invited to negotiate the scope of work and activities and a contract to provide the necessary professional services. If contract terms cannot be reached, the firm deemed the next most qualified will be invited for contract negotiations.

Interviews will be held on \_\_\_\_\_, 20\_\_\_\_ in the \_\_\_\_\_ (all times listed are local time).

The order and time of interviews is:

**Firm A:**

**Time:**

**Firm B:**

**Time:**

**Firm C:**

**Time:**

Please contact \_\_\_\_\_ at \_\_\_\_\_ with any questions you may have.

Sincerely,

Chief Elected Official

---

## Letter to Firms Not Short Listed

---

### SAMPLE

**TO:** REJECTED FIRM  
**FROM:** (CLIENT)  
**PROJECT:**  
**RE:** STATUS OF SELECTION PROCESS  
**DATE:**

The Town of Americana would like to express their appreciation to you and your firm for submitting your Statement of Qualifications.

After careful consideration by the selection committee, a decision to interview (Insert number of firms to be interviewed) has been made.

The firms selected for further consideration are listed alphabetically:

- 1) (FIRM)
- 2) (FIRM)
- 3) (FIRM)

While your firm was not selected for an interview, we appreciate your interest in our project and the time spent in the preparation of your proposal.

Sincerely,

Chief Elected Official

---

## Instructions for the Scoring/Selection Committee

---

Highest number represents the most value for each column. **Rating column:** 1-5 points. In this column you rate the firm based on each category. Rates should vary from one reviewer to another. **Weight column:** 1-10 depending on the value to project. Use the weight column to indicate the level of importance (in your judgment), in each area, to the particular project. Weights should vary among the categories, but must be consistent among the reviewers.

At the completion of the interview, multiply the rating by the weight for each category and enter the total. Add all totals to establish the grand total. The chairperson will combine all of the totals for those participating in the interview session on the Group Interview Evaluation Form.

**Name of Reviewer:**

--

**Name of Firm:**

--

**General Notes:**

--

## EVALUATION SCORE SHEET

**Name of Reviewer**      **Name of Firm**

Weights should be assigned a value between 1-10, with ten (10) being the highest consideration. **Weights** should vary among the categories, but must be consistent among the reviewers. **Rates** should vary from one reviewer to another, as this is a personal judgment.

Categories	Rating	X	Weight	=	Total
1. Understanding of Project Requirements: (Owner may evaluate analysis, preparation and level of interest of the firm).		X		=	
2. Design Approach / Methodology: (Owner may evaluate firm or individual creativity and problem solving abilities).		X		=	
3. Key Personnel and Roles: (Owner may evaluate personal qualifications and professional skills of key individuals).		X		=	
4. Pertinent Experience, Firm: (Owner may evaluate related projects presented as previous work of the firm).		X		=	
5. Pertinent Experience, Individual: (Owner may evaluate related projects presented as previous work of key personnel).		X		=	
6. Consultant / In-House Resources: (Owner may evaluate abilities of the firm and importance of consultant or in-house support services).		X		=	
7. Technical Project Management: (Owner may evaluate abilities of the firm related to technical functions such as project cost controls, construction observation, time schedule, etc.).		X		=	
8. Responsiveness to Concerns of the Owner: (Owner may evaluate abilities of the firm to form successful working relationships and communications with the owner).		X		=	
9. Method of Compensation: (Owner may evaluate method of determining compensation used by the firm. Compensation proposals are NOT required at this time).		X		=	
10. Sub- Consultant Selection: (Owners may evaluate method of hiring sub-contractors).		X		=	
11. Cost (not applicable for architectural & engineering services)		X		=	
12. Other Relevant Issues: (Owner may evaluate importance of other relevant issues by firm).		X		=	
	<b>GRAND TOTAL</b>			=	

---

Signature of Reviewer

## GROUP INTERVIEW EVALUATION FORM

**NOTE:** Enter the grand total for each firm as recorded by each interviewer on the score sheet. After all entries are made and totaled, divide the combined group total for each firm by the number of interviewers to determine grand totals for each firm. This is to equalize scoring in the event all interviewers do not interview all firms

### COMBINED GROUP TOTALS

<b>Firm Name</b>			
	<b>FIRM A</b>	<b>FIRM B</b>	<b>FIRM C</b>
<b>Interviewer 1</b>			
<b>Interviewer 2</b>			
<b>Interviewer 3</b>			
<b>Interviewer 4</b>			
<b>Interviewer 5</b>			
<b>TOTALS</b>			

# **HOME & CDBG Allocation Plan**

---



**Program Description and Allocation Plan**

**Program Year 2007**

**Community Development Block Grant (CDBG)  
HOME Investment Partnership Program (HOME)  
American Dream Downpayment Initiative**

---

**Method of Distribution**

---

The Indiana Housing and Community Development Authority (IHCDA) allocates CDBG, HOME, and ADDI funds through the programs shown below. Each program area has unique criteria upon which funding decisions are based. For detailed program information, please refer to IHCDA's full application packages and/or program guides.

PROGRAM NAME	FUNDING SOURCE	TIMING OF FUNDING
CHDO Works	HOME	2 annual competitive funding cycles
HOME	HOME	3 annual competitive funding cycles
CDBG	CDBG	2 annual competitive funding cycles
HOME Administrative Subrecipients	HOME	As needed funding cycles
Homeownership Counseling Program	HOME	TBD
First Home/Plus	HOME/ADDI	Continuous throughout the year
First Home/One Down	HOME/ADDI	Continuous throughout the year
First Home 100	HOME/ADDI	Continuous throughout the year
HomeChoice	HOME/ADDI	Continuous throughout the year
First Home Community	HOME/ADDI	Continuous throughout the year
First Home Opportunity	HOME/ADDI	Continuous throughout the year

---

**CHDO Works**

---

**Eligible Applicants**

Eligible applicants are not-for-profit organizations that have successfully obtained certification from IHCDA as a Community Housing Development Organization (CHDO), are in good standing with IHCDA, and serve non-participating jurisdiction areas. Organizations that have not yet received CHDO certification (or whose certification is pending) are not eligible for operating funds.

\*Participating Jurisdiction areas include:

- |              |                |                                 |
|--------------|----------------|---------------------------------|
| Anderson     | Gary           | Muncie                          |
| Bloomington  | Hammond        | St. Joseph County Consortium*** |
| East Chicago | Indianapolis** | Terre Haute                     |

Evansville  
Fort Wayne

Lake County

Tippecanoe County Consortium\*\*\*\*

\*\*The Cities of Beech Grove, Lawrence, Speedway, Southport, and the part of the Town of Cumberland located within Hancock County are not considered part of the Indianapolis participating jurisdiction. Applicants that serve these areas would be eligible for CHDO Works funding.

\*\*\*St. Joseph County Consortium is made up of the cities of South Bend and Mishawaka and the unincorporated areas of the county. These areas are not eligible to receive funding from IHCDA. Other incorporated areas are eligible to receive assistance.

\*\*\*\*Tippecanoe County Consortium is made up of the cities of Lafayette and West Lafayette and the unincorporated areas of the county. These areas are not eligible to receive funding from IHCDA. Other incorporated areas are eligible to receive assistance.

### **Eligible Activities**

Eligible activities are those directly related to promoting the agency's ability to develop, sponsor, and/or own HOME CHDO-eligible affordable housing, such as homebuyer, rental, permanent supportive, and transitional housing. Any applicant who successfully competes for operating funds is required to apply and receive funding for a HOME CHDO-eligible housing activities within twenty-four (24) months from the date that an operating award is made.

According to 24 CFR §92.208, eligible costs include reasonable and necessary costs for the operation of the CHDO. Such costs include, but are not limited to, salaries, wages, and other employee compensation and benefits; employee education, training, and travel; rent; utilities; communication costs; taxes; insurance; equipment, including filing cabinets; materials; supplies; annual financial audit; and costs associated with a strategic long-range plan. Other costs may also be eligible. Applicants are encouraged to consider computer equipment needs, especially hardware and software updates.

Administrative costs associated with implementing the lead based paint regulations are eligible for funding under CHDO Works. These expenses include training staff on the regulations, staff certification for Lead Inspector/Risk Assessor and Lead Construction Supervisor, and special equipment purchases such as protective clothing or XRF machines.

Eligible costs do not include furniture or other office décor.

### **Threshold Criteria**

To be considered for funding, an applicant must meet all of the criteria listed below. Applications that fail to meet any of these criteria will not be scored. All required supporting documentation must be included in the application.

1. On or before the application deadline, the applicant must provide all documentation as instructed in the "CHDO Works Application." If the Authority requests additional information from the applicant, all documents are due on or before the date provided by IHCDA staff.
2. The applicant must be a legally constituted, state-certified Community Housing Development Organization (CHDO) that is in good standing with IHCDA. The applicant must be eligible to apply for assistance under IHCDA's HOME Investment Partnerships Program.
3. The proposed activity must meet all the requirements as instructed in the "Application Process," "Eligible Activities," "Application Forms," and the "Appendices," sections of

the CHDO Works Application. In addition, the application must meet all the requirements HOME Investment Partnerships Program regulations of 24 CFR 570 and 24 CFR 92.

4. CHDO Works award recipients may not apply for a new CHDO Works award until at least three CHDO Works funding rounds have passed since the board award date of their last CHDO Works award. The past CHDO Works award must be closed before the award recipient will receive a release of funds on a new CHDO Works award.

5. All recipients of CHDO Works awards are required to apply and receive funding for at least one IHCDA HOME CHDO-eligible activity within 24 months of receiving each CHDO Works award. Any applicant that has received a CHDO Works award more than 24 months prior to submission and has not yet received IHCDA HOME funding for a CHDO-eligible activity is not eligible to apply for additional CHDO Works awards until an IHCDA HOME CHDO award is made.

6. Any CHDO that has received \$50,000 or 50% of their total operating expenses, whichever is greater, in HOME operating funds (from IHCDA or Participating Jurisdiction) within the applicant's fiscal year is ineligible to apply for additional operating funds during that same fiscal year. This includes HOME-funded CHDO operating dollars received through an award for a specific housing activity. (See 24 CFR §92.300f).

7. IHCDA reserves the right to disqualify from funding any application where the applicant, subrecipient, administrator, preparer or any of their related parties has a history of disregarding the policies, procedures, or staff directives associated with administering any IHCDA program or programs of other State, Federal, or affordable housing entities, such as, but not limited to the Indiana Office of Rural Affairs, U.S. Department of Housing and Urban Development (HUD), U.S. Department of Agriculture - Rural Development, or Federal Home Loan Bank.

8. The applicant must meet the minimum scoring threshold as follows:

Number of Previous "CHDO Works" Awards	Threshold
0 awards	55 points
1 award	65 points
2 or more awards	75 points

### **Funding Limitations**

Applicants may apply for up to \$70,000 in operating assistance. CHDO Works funding (along with all other HOME-funded CHDO operating expenses) is limited to: (1) 50% of the CHDO's total operating expenses in any one fiscal year, or (2) \$50,000, whichever is greater. An award recipient will have up to \$35,000 available to them during the first 12 months of an award and an additional \$35,000 of funding available during the final 12 months of an award. Any amount of funds not expended in the first 12 months will not be transferred to the final 12 months unless a formal modification is approved. Contact your Funds Management Associate for further assistance.

---

## **HOME**

---

### **Eligible Applicants**

Eligible applicants include cities, towns, counties, townships, public housing authorities, CHDOs, not-for-profit 501(c)3 or 501(c)4 corporations.

Applications from, or housing activities located within, the following participating jurisdictions are not eligible for HOME funds:

Anderson	Gary	St. Joseph County Consortium**
Bloomington	Hammond	Terre Haute
East Chicago	Indianapolis*	Tippecanoe County Consortium***
Evansville	Lake County	
Fort Wayne	Muncie	

\*The cities of Beech Grove, Lawrence, Speedway, Southport, and the Town of Cumberland when the housing activity is located in Hancock County will be eligible to receive assistance.

\*\*St. Joseph County Consortium is made up of the cities of South Bend and Mishawaka and the unincorporated areas of the county. These areas are not eligible to receive funding from IHCD. Other incorporated areas are eligible to receive assistance.

\*\*\*Tippecanoe County Consortium is made up of the cities of Lafayette and West Lafayette and the unincorporated areas of the county. These areas are not eligible

### **Eligible Activities**

1. CHDO predevelopment and seed money loans.
2. New construction or rehabilitation of transitional, permanent supportive, or rental housing can be provided in the form of traditional apartments, group homes, or single room occupancy units (SROs).
3. New construction or rehabilitation of single-family homebuyer housing.
4. Applicants applying for HOME funds for developments that previously received other sources of IHCD funding (including RHTCs and LIHTF) will be allowed. However, these developments will be subject to analysis under the current underwriting requirements set forth in the application. Previously funded RHTC developments must have received their Form 8609 more than five years prior to application to be eligible to apply.
5. Applicants applying for HOME funds for developments that previously received HOME funding should refer to the Eligible Activities section for a description of "Supplemental HOME."

### **Scoring Preference Criteria**

To be considered for funding, an applicant must meet all of the criteria listed below. Applications that fail to meet any of these criteria will not be eligible to submit their application.

1. During a funding round, the applicant must provide all documentation as instructed in the application. If IHCD requests additional information from the applicant, all documentation must be received by IHCD prior to award decisions being made.
2. The application may only contain one housing activity, as listed in the Eligible Activities section.
3. The application must meet all the requirements under HOME Investment Partnerships Program regulations of 24 CFR 570 and 24 CFR 92.
4. An IHCD Community Development Representative must have completed a site visit.

5. Prior to the Allocation Round, IHCDA must have on file a copy of your organization's 10 month Housing Plan. An Organizational Housing Plan must contain the following information:
  - a) Anticipated housing development undertakings over the next 10 months
  - b) Identified your anticipated beneficiaries
    - i) Special Needs Populations
    - ii) Targeted AMI Levels
  - c) Identified how you will reach your beneficiaries
  - d) Anticipated development cost
  - e) Identified your anticipated financial resources
6. Applicants must meet the minimum number of preferences identified under each category (Does not pertain to Pre-Development of Seed Money loan applications):
  - a) General – Minimum of 3 items
  - b) Organizational Capacity – Minimum of 4 items
  - c) Development Characteristics – Minimum of 4 items
  - d) Housing Need – Minimum of all 4 items
  - e) Predevelopment Activities - Minimum of 4 items
  - f) Rental – Minimum of 4 items
  - g) Homebuyer – Minimum of 5 items
7. Applicants may not exceed \$1,500,000 in HOME funding through the HOME application program and/or the Qualified Allocation Plan within the previous 12-month period from application due date.
8. The applicant must have resolved all previous monitoring requirements.
9. IHCDA reserves the right to disqualify from funding any application where the applicant, subrecipient, administrator, preparer or any of their related parties has a history of disregarding the policies, procedures, or staff directives associated with administering any IHCDA program or programs of other State, Federal, or affordable housing entities, such as, but not limited to the Indiana Office of Rural Affairs, U.S. Department of Housing and Urban Development (HUD), U.S. Department of Agriculture - Rural Development, or Federal Home Loan Bank.
10. If there are any funds available at the end of an allocation round, then IHCDA reserves the right to fund applications that do not meet the minimum number of preferences identified under criteria number 6. However, these applications would have to be approved by the IHCDA Board of Directors.

**Funding Limitations**

Rental Housing Activities:

- The maximum award is \$750,000.
- HOME funds used for acquisition, rehabilitation, new construction, program delivery (including CHDO Predevelopment or CHDO Seed Money Loan), relocation, rent-up reserve, and developer's fee combined cannot exceed:

AMI Level	Subsidy Limit			
	0 Bedroom or Efficiency Units	1 Bedroom Units	2 Bedroom Units	3 or more Bedroom Units
30%	\$40,000	\$47,250	\$50,000	\$57,750
40%	\$38,000	\$45,000	\$47,500	\$55,000
50%	\$36,100	\$42,750	\$45,150	\$52,250
60%	\$34,300	\$40,600	\$42,850	\$49,650

#### Homebuyer Activity:

- The maximum award is \$750,000.
- HOME funds used for acquisition, rehabilitation, new construction, program delivery (including CHDO Predevelopment or CHDO Seed Money Loan), relocation, homeownership counseling, and developer's fee combined cannot exceed:
  - \$35,000 per 0 bedroom/efficiency unit, or
  - \$40,000 per 1 or 2 bedroom unit, or
  - \$50,000 per 3 or more bedroom unit.

#### Provisions for Rental Rehabilitation/Refinance:

- Applicants for transitional, permanent supportive, and rental rehabilitation/refinance must demonstrate that:
- Refinancing is necessary to maintain current affordable units and/or create additional affordable units.
- The primary activity is rehabilitation. The applicant must budget a minimum of 51% of the HOME funds for rehabilitation.
- The development will satisfy a minimum 15-year affordability period.
- Disinvestment in the property has not occurred.
- The long term needs of the development can be met.
- It is feasible to serve the targeted population over the affordability period.
  - The amount of funds applied to the refinance budget line item will be made as an amortized loan to the applicant. The applicant should propose at least a 2% interest rate, a term of not more than 30 years, and an amortization period of not more than 30 years.
  - The HOME loan must be fully secured.
  - The HOME funds used for construction may be forgiven at the end of the affordability period.
- Applicants for permanent supportive housing rehabilitation/refinance cannot use HOME funds to refinance multifamily loans made or insured by any other federal program, including, but not limited to, FHA, CDBG, or Rural Development.

#### General Provisions

- Award funds for administration or CHDO operating costs, environmental review, program delivery, and developer's fee combined cannot exceed 20% of the HOME award.
- Award funds for administration or CHDO operating costs cannot exceed 5% of the HOME award.
- Award funds for developer's fee cannot exceed 15% of the HOME award.
- Minimum amount of HOME funds to be used for rehabilitation or new construction is \$1,000 per unit.
- HOME funds cannot be used for reserve accounts for replacement or operating costs, but may be used as a Rent-Up Reserve.
- Units that have been certified as Energy Star® Rated may receive up to \$3,000 in additional subsidies.
- All subsidies must be secured throughout the affordability period by a written, legally binding, recorded restrictive covenant.

---

**CDBG**

---

#### **Eligible Applicants**

Eligible applicants include cities, towns, or counties that are located within Indiana but outside of CDBG entitlement communities and whose proposed activities are consistent with the State's HUD-approved Consolidated Plan. Not-for-profit 501(c)3 or 501(c)4 organizations, CHDOs, public housing authorities, regional planning commissions, or townships are encouraged to participate in activities as subrecipients of local units of government but must apply through a sponsoring eligible city, town, or county.

The following entitlement communities are not eligible to apply for CDBG funds:

Anderson	East Chicago	Gary	Kokomo	LaPorte	New Albany
Bloomington	Elkhart	Goshen	Indianapolis***	Michigan City	South Bend
Carmel*	Evansville	Hamilton County**	Lafayette	Mishawaka	Terre Haute
Columbus	Fort Wayne	Hammond	Lake County	Muncie	West Lafayette

\*If the City of Carmel becomes an Entitlement Community, they will be ineligible to receive assistance.

\*\*The town of Sheridan when the housing activity is located in Hamilton County will be eligible to receive assistance.

\*\*\*The cities of Beech Grove, Lawrence, Speedway, Southport, and the Town of Cumberland when the housing activity is located in Hancock County will be eligible to receive assistance.

**Eligible Activities**

- Emergency Shelters – New Construction and Rehabilitation
- Youth Shelters – New Construction and Rehabilitation
- Migrant/Seasonal Farm Worker Housing – New Construction and Rehabilitation
- Rental – Rehabilitation
  - Permanent Rental
  - Permanent Supportive Housing
  - Transitional Housing
- Homeowner Repair and Improvement

**Scoring Criteria**

Through the scoring criteria, preference is given to housing activities that:

- Meet the needs of their specific community
- Attempt to reach very low-income levels of area median income
- Ready to proceed with the housing activity upon receipt of the award
- Revitalize existing neighborhoods
- Propose developments that are energy-efficient and are of the highest quality attainable within a reasonable cost structure
- Encourage the use of minority business enterprises and/or women-owned business enterprises

If an application satisfies all applicable requirements, it will be evaluated and scored based on criteria in the following categories: Constituency Served; Development Characteristics; Financing; Market; Organizational Capacity; Readiness to Proceed; and Minority and Women Business Enterprise Participation. Where applicable, the funding agreement and any restrictive covenants recorded with the property will contain restrictions applicable to the points received.

Assistance may be provided in the form of grants; however, funds will be awarded only in amounts appropriate to the scope of the identified need. IHEDA reserves the right to determine the exact amount and type of assistance needed for each individual housing activity.

### **Funding Limitation**

Emergency Shelter, Youth Shelter, Migrant Seasonal/Farm Worker Housing Activities:

- Maximum award amount is limited to \$500,000.
- Maximum CDBG funds per bed may not exceed \$20,000.

Rental Housing Activities:

- Maximum award amount is limited to \$500,000.
- CDBG funds for acquisition, rehabilitation, relocation and program delivery combined may not exceed:
  - \$35,000 per 0 bedroom/efficiency unit, or
  - \$40,000 per 1 or 2 bedroom unit, or
  - \$50,000 per 3 or more bedroom unit.

Homeowner Repair and Improvement:

- Maximum award amount is \$300,000.
- CDBG funds for rehabilitation, relocation, and program delivery combined may not exceed \$15,000 per unit.

---

### **Rental Housing Tax Credit Financing (RHTC/HOME Combined Funding)**

---

In an effort to streamline the multi-family application process, developers applying for Rental Housing Tax Credits (RHTCs) may simultaneously request funds from the HOME Investment Partnerships Program (HOME). If you are applying for RHTCs for a development and want to also access HOME funds, you must indicate the HOME funding request on the “Multi-Family Housing Finance Application” and submit additional documentation as instructed in the “Multi-Family Housing Finance Application – HOME Supplement.” Outside of this process, applications for HOME financing for a RHTC development will only be considered in accordance with IHCDA’s Housing from Shelters to Homeownership application criteria.

### **Eligible Applicants**

The award of HOME funds will be made as follows:

1. State-Certified Community Housing Development Organization (CHDO) – HOME funds will be provided in the form of a grant to state-certified CHDOs that are the 100% general partner or managing member of the LP or LLC or whose wholly owned subsidiary is the 100% general partner or managing member of the LP or LLC.
2. Not-for-Profit Organizations or Public Housing Authorities – HOME funds will be provided in the form of a grant to not-for-profit organizations that are the 100% general partner or managing member of the LP or LLC or whose wholly owned subsidiary is the 100% general partner or managing member of the LP or LLC.
1. Limited Partnerships (LP) or Limited Liability Companies (LLC) – For developments where a state-certified CHDO, not-for-profit organization, or PHA (or their wholly owned subsidiary) is not the 100% general partner or member, HOME funds will be loaned to the ownership entity. If the LP or LLC has not yet been formed, the applicant for HOME funds should be the general partner or member. If a HOME award is made to the development, the loan documents must be executed by the LP or LLC.

### **Form of Assistance**

1. If the CHDO, not-for-profit, or PHA structures the HOME funds into the development as an amortized or deferred loan, they may be permitted to retain the repayments of principal and interest for use in other affordable housing developments at IHCD's discretion. The CHDO, not-for-profit, or PHA may use the repayment stream (both principal and interest): (1) to buy the property at the end of the partnership; (2) to pay the exit fees for other partners in the development at the end of the affordability period; (3) to provide services to the tenants of the particular development; (4) to exert influence over the conditions of sale of the property; or (5) for the organization's other affordable housing activities that benefit low-income families.
  
2. Alternatively, for developments where a CHDO or not-for-profit organization (or their wholly owned subsidiary) is not the 100% general partner or managing member, IHCD will provide the HOME funds as an amortized or deferred loan to the LP or LLC. If such an entity has not yet been formed, the applicant for the HOME funds should be the general partner or managing member, but all award documents must be executed by the LP or LLC. Principal and interest payments on these awards may be either deferred or amortized. The applicant may propose a loan term for up to 17 years (up to 2 years as a construction loan and 15 years as permanent financing). The interest rate is proposed by the applicant. The applicant must demonstrate in their application that the interest rate proposed is necessary in order to make the HOME-assisted units affordable. The HOME loan must be fully secured. IHCD will subordinate to the point when the HOME loan plus other financing is at an amount not to exceed 100% of the costs of construction. Subordination beyond one hundred percent (100%) will be entertained on a case-by-case basis.

**Eligible Activities**

HOME funds are available to Developments located outside of the following participating jurisdictions.

Anderson	Gary	St. Joseph County Consortium**
Bloomington	Hammond	Terre Haute
East Chicago	Indianapolis*	Tippecanoe County Consortium***
Evansville	Lake County	
Fort Wayne	Muncie	

\*The Cities of Beech Grove, Lawrence, Speedway, Southport, and the part of the Town of Cumberland located within Hancock County are not considered part of the Indianapolis participating jurisdiction.

\*\*St. Joseph County Consortium is made up of the cities of South Bend and Mishawaka and the unincorporated areas of the county. These areas are not eligible to receive funding from IHCD. Other incorporated areas are eligible to receive assistance.

\*\*\*Tippecanoe County Consortium is made up of the cities of Lafayette and West Lafayette and the unincorporated areas of the county. These areas are not eligible to receive funding from IHCD. Other incorporated areas are eligible to receive assistance.

Additionally, HOME may not be used to assist properties located in the 100-year floodplain.

HOME funds may be used for acquisition, construction or rehabilitation hard costs, and testing for lead hazards for HOME-assisted units. HOME funds may not be used toward the refinancing of existing permanent debt.

HOME funds may assist rental, permanent supportive, or transitional housing. These units can be in the form of traditional apartments or single-room-occupancy units (SROs). SRO housing consists of single room dwelling units that are the primary residence of the occupant(s). If the Development consists of conversion of non-residential space or reconstruction, SRO units must contain either kitchen or bathroom facilities (they may contain both). For Developments involving acquisition or rehabilitation of an existing residential structure, neither kitchen nor bathroom facilities are required to be in the unit. However, if individual units do not contain bathroom facilities, the building must contain bathroom facilities that are shared by tenants.

HOME funds are generally not available for units identified as part of an approved RHTC lease-purchase program, unless the purchase will occur after the termination of the HOME affordability period. In such case, the assisted units will be considered rental for purposes of the HOME award. Prior to the HOME affordability period expiration, IHCD will consider requests to permit tenants to purchase HOME-assisted rental units on a case-by-case basis only.

**Scoring Criteria**

There are no scoring criteria for RHTC/HOME awards. Eligibility for the HOME funds will be determined based on:

1. Whether the development demonstrates a need for HOME funds in order to make a greater number of rental units affordable to lower income households.
2. Whether the development meets State and Federal requirements of all programs for which it is applying.
3. If the development ranking is sufficient for it to be awarded RHTCs pursuant to the RHTC or Bond process.
4. The availability of HOME funds.

Funds will be awarded only in amounts appropriate to the scope of the identified need. IHCD reserves the right to determine the exact amount and type of assistance needed for each individual housing activity.

**Funding Limitations**

The maximum HOME request is \$500,000.

<u>HOME-Assisted Units</u>	<u>AMI</u>	<u>Maximum Funding</u>
100 %	< or = 60 % *	\$300,000
75 %	< or = 50 %	\$400,000
50 %	< or = 40 %	\$500,000

\*Federal regulations require development with 5 or more HOME-assisted units to have at least 20% of the HOME units set-aside for households with incomes at or below 50% AMI.

IHCD has established a per unit subsidy limitation for HOME-assisted units of \$35,000 for 0-bedroom units, \$40,000 for 1- and 2-bedroom units, and \$50,000 for units with 3 or more bedrooms.

---

**HOME Administrative Subrecipients**

---

IHCDA staff generally oversees the implementation of the HOME program; however, IHCDA accepts proposals from organizations interested in participating in specific areas of administration that compliment and/or expand IHCDA's efforts. Proposals are accepted on an as needed basis as determined by the needs of IHCDA and their recipients.

IHCDA reserves the right, however, to initiate subrecipient agreements with not-for-profit organizations or public agencies for specific HOME administrative activities. These subrecipient agreements will be made available throughout the year upon approval of the activity by the IHCDA Board of Directors.

### **Eligible Applicants**

- Not-for-profit corporations, as designated under section 501(c)(3) or 501(c)(4) of the Internal Revenue Code
- Public agencies

### **Eligible Activities**

- Only those activities allowed under the HOME regulations (24 CFR 92.207) are eligible for funding with IHCDA's HOME administration funds.
- HOME subrecipient activities must comply with the requirements of 24 CFR 84 (a.k.a. OMB Circular A-110) "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Not-for-profit Organizations."
- In general, IHCDA looks for proposals that have a statewide impact and serve to further the Authority's efforts in one or more of the following areas:
  - General management, oversight, and coordination of the HOME program
  - Providing public information to residents and citizen organizations participating in the planning, implementation, or assessment of housing activities being assisted with HOME funds
  - Affirmatively furthering fair housing
  - Compiling data in preparation for the State Consolidated Plan
  - Complying with other Federal requirements such as affirmative marketing; minority outreach; environmental review; displacement, relocation, and acquisition; labor standards; lead-based paint; and conflicts of interest.

### **Scoring Criteria**

There are no scoring criteria for HOME Administrative Subrecipient awards. Eligibility for these funds will be determined based on:

1. Whether proposed activities have a statewide impact.
2. Whether the proposal demonstrates a need for HOME funds.
3. Whether proposed activities meet the HOME regulatory requirements of an administrative subrecipient.
4. Whether proposed activities serve to further IHCDA staff efforts.
5. The availability of HOME administrative funds.

### **Funding Limitations**

As allowed by HOME regulations (24 CFR 92.207), IHCDA may expend up to 10% of the annual allocation for payment of reasonable administrative and planning costs of the HOME program.

IHCDA is developing a program for homeownership counseling and downpayment assistance administered through its Community Development department.

Certified nonprofit organizations will provide homeownership counseling and downpayment assistance to targeted households. Eligibility of targeted households is determined based on one or more of the following:

- Credit score below 620;
- Previous financing denied;
- Income below 50% AMI;
- Public housing resident.

Nonprofit must provide eligible participants with a minimum of eight hours of education, 10 hours of pre-purchase counseling, and four hours of post-purchase counseling. The nonprofit must identify mortgage lender who will provide best available mortgage product.

Down payment assistance will be structured as a matched savings product. IHCDA will match 3:1 every dollar the household contributes with a minimum of \$500 and a maximum of \$1,500. IHCDA's contribution will be used to offset closing costs and will appear on the HUD 1 at closing. Household savings will be retained by nonprofit for up to one year and used for repairs, rehabilitation, or increases in escrow payments. After 12 months balance of household savings will be put toward principal.

---

## **First Home/Plus**

---

### **Eligible Activities**

Income-eligible homebuyers can receive up to 5%, not to exceed \$3,500, of the home purchase price in down payment assistance in conjunction with a below-market interest rate mortgage through IHCDA. The First Home/Plus program is operated through a partnership between IHCDA and participating local lending institutions throughout Indiana. HOME/ADDI down payment assistance is provided as a 0%, second mortgage. The second mortgage is due upon sale or transfer of ownership of the property. For the purchase of an existing home, for three months prior to the sale, the home must have been vacant, occupied by the seller, or rented to the household that is buying the home.

Funds are allocated on a first-come, first-served basis. Interested borrowers must contact a participating lender to apply for the program. Borrowers are encouraged to contact a participating lender for loan "pre-approval" before they begin looking for a house.

Borrowers must successfully complete a homeownership training program. The participating lender may choose the type of training the borrower receives; however, IHCDA strongly recommends a face-to-face or classroom course given by a HUD approved counselor. A certificate of completion or achievement is required in the loan application package. Difficulty in coming up with cash for a down payment is often the biggest obstacle for first-time homebuyers. Subsequently, IHCDA has developed the First Home/Plus program, through which IHCDA links HOME/ADDI funds in the form of down payment assistance with its Mortgage Revenue Bond (MRB) program.

### **Eligible Applicants**

The borrower must meet the following eligibility requirements:

1. Must be a first-time homebuyer (i.e. has not, at any time during the three years preceding the date of loan closing had an ownership interest in his/her principal residence), unless the buyer is purchasing a home located in a targeted area as published in IHCDAs First Home/Plus Program Guide.
2. Must be income-eligible as published in IHCDAs First Home/Plus Program Guide.
3. If a borrower is separated from their spouse, a legal separation agreement or a petition for the dissolution is required prior to preliminary approval.
4. Must reasonably expect to reside in the property as his/her principal residence within 60 days after the loan closing date on existing homes and within 60 days of completion for a newly constructed home.
5. Must currently be or intend to become a resident of the State of Indiana.
6. Must successfully complete a homeownership training program.

### **Funding Limitations**

Depending upon their income, borrowers receive HOME/ADDI funded down payment assistance of 5% capped at \$3,500 of the sales price or the appraised value of the property, whichever is less. Acquisition cost of the home may not exceed the lesser of the maximum as set forth in IHCDAs First Home/Plus Program Guide or FHA 203(b) Mortgage Limits as published periodically by HUD.

---

### **First Home 100**

---

The First Home 100 program combines IHCDAs First Home program and Rural Development's Direct Loans to stretch resources and reach a broader number of eligible borrowers. It is available in areas that are served by Rural Development. Hoosiers can apply for the program through Rural Development offices.

IHCDA and Rural Development have combined their income and purchase price limits to make it simpler to determine eligibility for the program. Under First Home 100, an eligible borrower would receive two mortgages, one from IHCDAs First Home program, with a below market interest rate, and one from Rural Development, with an interest rate based on the applicant's ability to pay. In some cases, a borrower may also qualify for IHCDAs HOME/ADDI funded down payment assistance, which would result in a forgivable third mortgage to further reduce the borrower's monthly payments.

While IHCDAs First Home programs are primarily restricted to first-time homebuyers, this requirement is waived in 30 rural Indiana counties that are designated as targeted areas by the U.S. Department of Housing and Urban Development. These areas largely coincide with the areas served by Rural Development.

---

### **HomeChoice**

---

The HomeChoice program was created by Fannie Mae to provide affordable housing for low- to moderate-income individuals who are disabled or who have disabled dependents living with them. Fannie Mae has approved Indiana's HomeChoice Program, and a public announcement was made on January 24, 2001. The availability of this program in Indiana is the result of a team effort among IHCDAs, Fannie Mae and the Back Home in Indiana Alliance.

The program is tailored to meet the unique needs of people with disabilities by offering lower down payment requirements; flexible qualifying and underwriting standards; and use of non-traditional credit histories.

To be eligible for the HomeChoice, program applicants must meet certain requirements. Borrowers must be classified as disabled as established in the Americans with Disabilities Act of 1990 or be defined as handicapped by the Fair Housing Amendments of Act of 1988. Also, borrowers must be low- or moderate-income as defined by the U.S. Department of Housing and Urban Development (HUD), which varies by county. In addition, the borrower must occupy the home within 60 days of the loan's closing or completion.

Initially, HomeChoice was offered in three counties: Bartholomew, Knox, and Marion, and is now being offered in all counties of the state. IHCDA has earmarked \$1 million in revenues from its non-taxable mortgage revenue bonds (MRBs) to finance the first mortgages. Additionally, borrowers receive HOME/ADDI funded down payment assistance of 10% of the sales price or the appraised value of the property, whichever is less, up to \$14,999. Momentive Credit Counseling markets, screens applicants, and coordinates counseling for the program. They also make referrals to participating lenders.

---

### **Community Mortgage 100% Option**

---

My Community Mortgage 100% is a partnership program with Fannie Mae that offers affordable homeownership opportunities for borrowers that are low to very low-income. The program offers a minimum contribution of \$500 from the borrower's own funds. The seller may contribute up to 3% of the sales price to help with closing costs. This program has greater flexibility in qualifying and underwriting standards. In addition, borrowers may qualify for IHCDA's down payment assistance.

HOME/ADDI down payment assistance of 5% or 10% (capped at \$3,500 and \$7,000, respectively), depending upon the buyer's income, is provided in the form of a 0% forgivable second mortgage.

---

### **Community Solutions 100**

---

Community Solutions 100 is a partnership program with Fannie Mae that enables Teachers, Fire Fighters, Law Enforcement, and State and Municipal workers to purchase a home with as little as \$500 of their own funds. The program allows for higher loan-to-value options, lower out-of-pocket costs and more flexible underwriting criteria. The seller may contribute up to 3% of the sales price to help with closing costs. In addition, borrowers may qualify for IHCDA's down payment assistance.

HOME/ADDI down payment assistance of 5% or 10% (capped at \$3,500 and \$7,000, respectively), depending upon the buyer's income, is provided in the form of a 0% forgivable second mortgage.

---

### **HOME Investment Partnerships Program - Resale/Recapture Guidelines**

---

In accordance with the HOME Investment Partnerships Program, 24 CFR Part 92.254(a)(4), the State of Indiana is establishing policy guidelines to ensure affordability for low-income homebuyers. Because of the diversity of program designs throughout the State, recapture

provisions will be appropriate for some housing activity designs and resale provisions will be appropriate for others.

**Affordability Periods**

HOME-assisted housing must meet the affordability requirements listed below, beginning after project completion. Project completion, as defined by HUD, means that:

- all necessary title transfer requirements and construction work have been performed;
- the project complies with the HOME requirements, including the property meets the stricter of the Indiana State Building Code and/or local rehabilitation standards;
- the final drawdown has been disbursed for the project; and
- the project completion information has been entered into HUD’s IDIS system.

<b>Homeownership Assistance HOME amount per unit</b>	<b>Minimum period of affordability</b>
under \$15,000	5 years
\$15,000 - \$40,000	10 years
over \$40,000	15 years

**Termination of Affordability Period**

The affordability restrictions must terminate upon occurrence of any of the following termination events: foreclosure, transfer in lieu of foreclosure, or assignment of an FHA insured mortgage to HUD. The housing provider of HOME funds may use purchase options, rights of first refusal, or other preemptive rights to purchase the housing before foreclosure to preserve affordability. The affordability restrictions shall be revived according to the original terms if, during the original affordability period, the owner of record before the termination event, or any entity that includes the former owner or those with whom the former owner has or had family or business ties, obtains an ownership interest in the development.

**Resale Guidelines**

Where the program design calls for no recapture (home received only a development subsidy), the guidelines for resale will be adopted in lieu of recapture guidelines. Resale restrictions will require the seller to sell the property only to a low-income family that will use the property as their principal residence. The term “low-income family” shall mean a family whose gross annual income does not exceed 80% of the median family income for the geographic area as published annually by HUD.

The purchasing family should pay no more than 29% of its gross family income towards the principal, interest, taxes, and insurance for the property on a monthly basis. Individual grantees may, however, establish guidelines that better reflect their mission and clientele. Such guidelines should be described in the application, program guidelines, or award agreement. The housing shall remain affordable to a reasonable range of low-income buyers for the period described in the HOME regulations, as from time to time may be amended.

The homeowner selling the property will be allowed to receive a fair return on investment, which will include the homeowner’s investment and any capital improvements made to the property.

**Recapture Guidelines**

The maximum amount of HOME funds subject to recapture is based on the amount of HOME assistance that enabled the homebuyer to buy or lease the dwelling unit. This includes any

HOME assistance that reduced the purchase price from the fair market value to an affordable price, but excludes the amount between the cost of producing the unit and the market value (i.e., development subsidy).

The amount to be recaptured is based on a prorata shared net sale proceeds calculation. If there are no proceeds, there is no recapture. Any net sale proceeds that exist would be shared between the recipient and the beneficiary based on the number of years of the affordability period that have been fulfilled, not to exceed the original HOME investment.

The net proceeds are the total sales price minus all loan and/or lien repayments. The net proceeds will be split between the IHCD recipient and borrower as outlined according to the forgiveness schedule below for the affordability period associated with the property. The IHCD recipient must then repay IHCD the recaptured funds.

### 5 Year Affordability Period

Number of Years Fulfilled	% of HOME Funds Recaptured
Year 1	80%
Year 2	60%
Year 3	40%
Year 4	20%
Year 5	0%

### 10 Year Affordability Period

Number of Years Fulfilled	% of HOME Funds Recaptured
Year 1	90%
Year 2	80%
Year 3	70%
Year 4	60%
Year 5	50%
Year 6	40%
Year 7	30%
Year 8	20%
Year 9	10%
Year 10	0%

### 15 Year Affordability Period

Number of Years Fulfilled	% of HOME Funds Recaptured
Year 1	93%
Year 2	87%
Year 3	80%
Year 4	73%
Year 5	67%
Year 6	60%
Year 7	53%
Year 8	47%

Year 9	40%
Year 10	33%
Year 11	27%
Year 12	20%
Year 13	13%
Year 14	7%
Year 15	0%

---

### **Property Disposition**

---

In situations in which units assisted by IHCDA are not brought to completion or fail to meet their affordability commitment, IHCDA may acquire these properties or assist other organizations in acquiring. Properties IHCDA purchases would then be available for sale through a disposition program outside of the typical funding rounds on an as needed basis.

The disposition goals include:

- Selling assisted units quickly.
- Ensuring that all applicable HOME or CDBG requirements/regulations are met.

IHCDA would negotiate the final terms of any and all contracts or agreements with buyers selected to successfully meet the needs of IHCDA.

In situations in which an activity has been completed, IHCDA may choose to seek a waiver from HUD for the use of additional HOME funds in the development.

# **ESG Allocation Plan**

---



## **Program Allocation Plan**

### **Program Year 2007**

#### **Emergency Shelter Grant (ESG)**

---

##### **Method of Distribution**

---

Emergency Shelter Grant funds are distributed through a competitive two-year application process and we have a two-year contract with the grantees. The current ESG grantees are in the first year of their two-year contract with Indiana Housing & Community Development Authority. The second year of the contract will be 7/1/07-6/30/08. IHCDA utilized a formula allocation method that determined distribution of funds.

IHCDA weighed the following factors for each shelter and continuum of care region:

- The number of available shelter beds and capacity of shelter beds with point in time counts
- The number of persons served and housed from the previous year
- The number of people identified in the most recent homeless count
- The overall score of the ESG RFP Application

We obtained the information from a variety of sources including the Indiana Coalition on Housing and Homeless Issues, ESG reports and recent Exhibit 1 sections from Balance of State and Entitlement Communities' last application for HUD SuperNOFA funding.

The weighted factors were then analyzed to determine the ratio of need for each continuum of care region. For example, if it was determined that region 2 has 13% of the need determined by the weighed factors, and then region 2 would receive 13% of the available amount of ESG funds. We funded multiple shelters in a continuum of care region up to the maximum allocated amount. If the region had extra funded that was not allocated, that extra was allocated to a neighboring continuum of care region that could provide the necessary needs of the region.

We gave preference to agencies that were currently receiving ESG funding that were in good standing and in compliance with all ESG regulations policies and procedures. In order to evaluate current recipients, in addition to the application materials submitted for funding, we took into considerations other reports:

- 2005 Monthly Performance Reports
- Semi-Annual Report
- Final Year-End report
- Applicable monitoring reviews and related correspondence

Unallocated ESG funds were set aside (approximately \$57,000) for a Request for Proposal for Rehabilitation/Renovation activity that is being made available to all current ESG grantees that

are in good standing with Indiana Housing & Community Development Authority and who have contract with this agency. IHCDA's RFP is for shelters with specific needs to renovate their emergency shelter or transitional housing so that it is more accessible for homeless persons who are disabled. The grantees should be awarded by May 2007 and will be able to access the funds by July 1, 2007. The renovation is required to be completed by June 30, 2008.

---

### **Continuum of Care Regional Amounts**

---

Each Continuum of Care region was allocated a percentage of the available ESG funds. IHCDA used the same ratio for Continuum of Care allocations that HUD used when allocating SuperNOFA funding to Indiana.

The regional percentages are as follows:

- Region 1 - 20%
- Region 2 - 10%
- Region 3 - 9%
- Region 4 - 4%
- Region 5 - 2%
- Region 6 - 5%
- Region 7 - 6%
- Region 8- 24%
- Region 9- 1%
- Region 10- 4%
- Region 11- 4%
- Region 12- 10%

---

### **Eligible Applicants**

---

Non-profit organizations that:

- Are organized under State or local laws;
- Have no part of its net earnings inuring to the benefit of any member, founder, contributor or individual;
- Have a functioning accounting system that is operated in accordance with generally accepted accounting principles, or had designated an entity that will maintain such an accounting system;
- Have among its purposes significant activities related to providing services or shelter to homeless persons
- Can demonstrate integration, or the willingness to partner, with the existing local or regional continuum of care

---

### **Eligible Activities**

---

- Essential Services
- Shelter Operations
- Homeless Prevention
- Rehabilitation

2006-2007 ESG AWARD ALLOCATIONS - FINAL

<b>Award Number</b>	<b>Shelter</b>	<b>County</b>	<b>Funds Awarded</b>	<b>CofC Region</b>
ES-006-001	Adams Wells Crisis Center	Adams	\$6,600.00	3
ES-006-002	AIDS Ministries/AIDS Assist of North Indiana, Inc.	St Joseph	\$14,400.00	2
ES-006-003	Albion Fellows Bacon Center	Vanderburgh	\$13,800.00	12
ES-006-004	Alternatives Inc.	Madison	\$32,500.00	6
ES-006-005	Anchor House, Inc.	Jackson	\$16,200.00	11
ES-006-006	Archdiocese of Indpls/Catholic Soc. Srvs/Holy Family	Marion	\$37,132.00	13
ES-006-007	Archdiocese/St. Elizabeth	Floyd	\$23,000.00	8
ES-006-008	Bountiful Harvest (New)*	Madison	\$10,000.00	6
ES-006-009	Bridges Community (New)	Delaware	\$10,000.00	6
ES-006-010	Caring Place, Inc.(The)	Porter	\$12,617.00	1
ES-006-011	Center for the Homeless, Inc. (The)	St. Joseph	\$48,825.00	2
ES-006-012	Center for Women and Families (The)	Floyd	\$18,432.00	13
ES-006-013	Children's Bureau	Marion	\$16,000.00	8
ES-006-014	Christian Community Action of Porter County, Inc.	Porter	\$29,200.00	1
ES-006-015	Christian Love Help Center	Henry	\$9,150.00	6
ES-006-016	Coburn Place (Former Martin Luther King)	Marion	\$7,000.00	8
ES-006-017	Columbus Regional Shelter for Victims of DV (turning point)	Bartholomew	\$15,298.00	11
ES-006-018	Community & Family Services, Inc.	Huntington	\$9,750.00	3
ES-006-019	Community Action Program of Evansville & Vanderburgh Co	Vanderburgh	\$42,050.00	12
ES-006-020	Community Service Center of Morgan County, Inc.	Morgan	\$50,510.00	10
ES-006-021	Coordinated Asst.Ministries (Salv. Army Kokomo) (Day Center)	Howard	\$35,000.00	5
ES-006-022	Council on Domestic Abuse, Inc. (CODA)	Vigo	\$13,000.00	7
ES-006-023	Crisis Center, Inc. A Youth Service Bureau	Lake	\$13,530.00	1
ES-006-024	Crisis Connection, Inc.	Dubois	\$2,700.00	13
ES-006-025	Dayspring Center, Inc.	Marion	\$26,070.00	8
ES-006-026	Dismas Inc./Dismas of Michigan	St. Joseph	\$12,800.00	2
ES-006-027	ECHO Housing Corp	Vanderburgh	\$30,905.00	12
ES-006-028	Elijah Haven Crisis	Lagrange	\$6,858.00	3
ES-006-029	Evansville Goodwill Industries	Vanderburgh	\$12,800.00	12
ES-006-030	Family Crisis Shelter of Montgomery County, Inc.	Montgomery	\$25,000.00	4
ES-006-031	Family Services Assoc.of Kokomo	Howard	\$21,199.00	5
ES-006-032	Family Services of Delaware County	Delaware	\$11,600.00	6
ES-006-033	Family Services of Elkhart/Elkhart Co Women's Shelter	Elkhart	\$12,400.00	2
ES-006-034	Family Services Society, Inc.	Grant	\$19,200.00	6
ES-006-035	Fort Wayne Women's Bureau Inc.	Allen	\$19,060.00	3
ES-006-036	Genesis Outreach, Inc.	Allen	\$24,900.00	3
ES-006-037	Genesis Place, Inc.(The)	Grant	\$44,636.00	6
ES-006-038	Gennesaret Free Clinic, Inc.	Marion	\$31,185.00	8
ES-006-039	Goshen Interfaith Hospitality Network	Elkhart	\$25,409.00	2
ES-006-040	Hancock Hope House, Inc.	Hancock	\$7,315.00	8
ES-006-041	Haven House Services, Inc.	Clark	\$43,568.00	13
ES-006-042	Heart House, Inc.	Dearborn	\$15,216.00	13
ES-006-043	Hope House, Inc.	Allen	\$27,600.00	3
ES-006-044	Horizon House, Inc.(Day Center)	Marion	\$44,000.00	8
ES-006-045	House of Bread and Peace (The)	Vanderburgh	\$37,260.00	12
ES-006-046	House of Hope - Madison County	Madison	\$15,469.00	6
ES-006-047	Housing Authority of the City of Greencastle	Putnam	\$11,713.00	7
ES-006-048	Housing Opportunities, Inc.	Porter	\$30,008.00	1
ES-006-049	Human Services, Inc.	Bartholomew	\$38,000.00	11
ES-006-050	Indianapolis Interfaith Hospitality Network, inc.	Marion	\$29,200.00	8
ES-006-051	Interfaith Hospitality of Ft. Wayne	Allen	\$18,737.00	3
ES-006-052	Interfaith Mission, Inc.	Whitley	\$12,900.00	3
ES-006-053	Julian Center, Inc.(The)	Marion	\$43,605.00	8
ES-006-054	Knox County Task Force Against Domestic Violence	Knox	\$6,492.00	12
ES-006-055	Kosciusko County Shelter for Abuse, Inc.	Kosciusko	\$15,960.00	2
ES-006-056	Lafayette Trans.Housing Center (Lincoln Day Center)	Tippecanoe	\$33,949.00	4
ES-006-057	Lafayette Urban Ministry	Tippecanoe	\$30,000.00	4
ES-006-058	Life Choice, Inc.	Vanderburgh	\$11,600.00	12
ES-006-059	Life Treatment Centers, Inc.	St. Joseph	\$40,000.00	2
ES-006-060	Martha's House, Inc.	Monroe	\$25,000.00	10
ES-006-061	Mental Health Association in Indiana (Day Center)	Tippecanoe	\$25,700.00	4
ES-006-062	Middle Way House, Inc.	Monroe	\$22,000.00	10
ES-006-063	Noble House, Inc.	Noble	\$11,200.00	3
ES-006-064	North Central Indiana Rural Crisis	Jasper	\$2,350.00	1
ES-006-065	Open Door Community Services, Inc. (Transitional Housing)	Delaware	\$35,378.00	6
ES-006-066	Open Door Independent Living (New)	Delaware	\$10,000.00	6
ES-006-067	Ozanam Family Shelter	Vanderburgh	\$35,294.00	12
ES-006-068	Prisoner and Community Services	Washington	\$7,920.00	13
ES-006-069	Providence Self Sufficiency Ministries, Inc.	Floyd	\$12,671.00	13
ES-006-070	Quest for Excellence, Inc.	Marion	\$13,325.00	8
ES-006-071	Roosevelt Mission	Greene	\$6,726.00	10
ES-006-072	Safe Passage, Inc.	Ripley	\$14,057.00	13
ES-006-073	Salvation Army - Harbor Lights	Marion	\$25,480.00	8
ES-006-074	Salvation Army - Lafayette (The)	Tippecanoe	\$12,500.00	4
ES-006-075	Salvation Army Social Service Center	Marion	\$46,200.00	8
ES-006-076	Sheltering Wings	Hendricks	\$22,000.00	8
ES-006-077	St. Jude House, Inc.	Lake	\$15,600.00	1
ES-006-078	Stepping Stone Shelter for Women, Inc.	LaPorte	\$10,950.00	1

2006-2007 ESG AWARD ALLOCATIONS - FINAL

ES-006-079	Stepping Stones for Veterans, Inc.	Madison	<b>\$59,093.00</b>	6
ES-006-080	Turning Point of Steuben Co.	Steuben	<b>\$5,850.00</b>	3
ES-006-081	United Caring Shelters	Vanderburgh	<b>\$18,000.00</b>	12
ES-006-082	Vincent House, Inc.	Allen	<b>\$14,000.00</b>	3
ES-006-083	Youth Service Bureau of St. Joseph County, Inc.	St. Joseph	<b>\$21,609.00</b>	2
ES-006-084	YWCA of Evansville	Vanderburgh	<b>\$20,000.00</b>	12
ES-006-085	YWCA of Fort Wayne	Allen	<b>\$6,600.00</b>	3
ES-006-086	YWCA of Greater Lafayette	Tippecanoe	<b>\$5,720.00</b>	4
ES-006-087	YWCA of Richmond	Wayne	<b>\$3,600.00</b>	9
ES-006-088	YWCA of St. Joseph	St. Joseph	<b>\$16,500.00</b>	2
ES-006-089	Wayne County Halfway House*	Wayne	<b>\$10,000.00</b>	9
			<b>\$1,858,631.00</b>	

\* Shelters were awarded however they did not sign contracts. No funds drawn down.

TOTAL **\$3,717,262.00**

# **HOPWA Allocation Plan**

---



## **Program Description and Allocation Plan**

### **Program Year 2007**

#### **Housing Opportunities for Persons with AIDS (HOPWA)**

---

##### **Method of Distribution**

---

IHCDA will allocate HOPWA funds through a non-competitive renewal process. Program Year 2006 Sponsors in good standing will be invited to submit an annual plan detailing their use of the HOPWA funds for their region for the period of July 1, 2007-June 30, 2008.

Notwithstanding the submission of the annual plan described above, IHCDA reserves the right and shall have the power to allocate funds irrespective of the annual plan submission, if such intended allocation is (1) in compliance with the applicable statutes; (2) in furtherance of promoting affordable housing and homeless outreach; and (3) determined by IHCDA's Board of Directors to be in the interests of the citizens of the state of Indiana.

In order to ensure statewide access to HOPWA funds, IHCDA utilizes the Indiana State Department of Health (ISDH) HIV Care Coordination Regions. IHCDA has assigned a maximum funding amount available in each of the eleven regions of the state served by the Indiana HOPWA funds.

---

##### **2007 Regional Allocation**

---

HOPWA funds will be allocated to the HOPWA Care Coordination Regions on a formula basis assigned by utilizing ISDH's most current epidemiological data (December 2006) showing the current number of reported HIV/AIDS cases in each county. Each Care Coordination Region will receive their applicable amount of HOPWA funding based on the total number of reported HIV/AIDS cases in their service. There was no marked difference in the epidemiological data during Program Year 2006.

The following counties are not served under the State program: Boone, Brown, Clark, Dearborn, Floyd, Franklin, Hamilton, Hancock, Harrison, Hendricks, Johnson, Morgan, Ohio, Putnam, Scott, Shelby, and Washington.

The purpose of HOPWA is to provide states and localities with the resources and incentives to devise long-term comprehensive strategies for meeting the housing and support services needs of low-income persons with AIDS and HIV-related diseases. A broad range of housing-related activities may be funded under HOPWA, including, but not limited to: project or tenant based

rental assistance; supportive services; short-term rent or mortgage payments to prevent homelessness; and technical assistance in establishing/operating a community residence.

The Federal Fiscal Year 07-08 allocation is \$822,000. There is a minimum of funds totaling \$38,000.00 carried over from the prior fiscal year. While 2007 HOPWA funds will continue to be focused on the provision of housing and housing related services to low-income individuals with HIV/AIDS, excess and recaptured HOPWA funds will be used to align HOPWA funding to the State of Indiana's Ten Year Plan to End Chronic Homelessness, which was formally endorsed by Gov. Mitch Daniels in 2005.

The vision of the plan is to end chronic homelessness in Indiana. In order to achieve this vision, participating stakeholders have identified the following five strategies, each designed to help support the plan's focal point: 1) Enhance prevention activities and strategies, 2) Increase supply of supportive housing, 3) Enhance and coordinate support systems, 4) Optimize use of existing mainstream resources, and 5) Develop a policy and planning infrastructure. To this end, 2007 HOPWA allocations will target the need for homeless outreach and the development of housing goal plans for homeless individuals and head of households with HIV/AIDS through a bonus allocation consisting of all excess and recaptured HOPWA funds. In July of 2007, IHCD will issue a Request for Proposals (RFP) for HOPWA related homeless outreach programs working through the local continuum of care. In particular, the RFP will ask local care sites to submit proposals for outreach programs that will 1) network with their local continuum of care, 2) identify homeless person with HIV/AIDS living on the streets, in places not intended for human habitation, in emergency shelters, or "doubled up", 2) assign a case manager to such persons with the purpose of developing a housing goal plan, and 3) assist such persons finding appropriate stable housing. Proposals will be ranked and funded through excess and recaptured HOPWA funds.

Another challenge in meeting the housing needs of people living with HIV and their families is the continued need to identify affordable permanent housing for individuals and families who can move to independent living. Advances in medical treatment and medications have prolonged and improved the quality of life for many people living with HIV. This brings the necessity of providing a stable long-term housing environment as well a shift in the focus of housing from short-term, end-stage care to long-term, permanent housing. IHCD strongly encourages local care providers using HOPWA social service funds to provide housing related case management to address the need for long-term permanent housing.

---

### **Eligible Applicants**

---

Non—profit organizations that:

- Are organized under State or local laws;
- Have no part of its net earnings inuring to the benefit of any member, founder, contributor or individual;
- Have a functioning accounting system that is operated in accordance with generally accepted accounting principles, or had designated an entity that will maintain such an accounting system;
- Have among its purposes significant activities related to providing services or housing to persons with acquired immunodeficiency syndrome (AIDS) or related diseases;
- Can demonstrate integration, or the willingness to partner, with the existing HIV/AIDS Continuum of Care in the local region;
- Are eligible to participate in HUD programs (not on HUD's debarred list);

- Are in good standing with IHCDA (not on the suspension list or otherwise precluded from applying for funding)

---

**Eligible Activities**

---

- Acquisition/Rehabilitation/Conversion
- Housing Information
- Resource Identification
- Rental Assistance
- Rental Assistance Program Delivery
- Short-term Rent, Mortgage and Utility Assistance
- Short-term Rent, Mortgage and Utility Assistance Program Delivery
- Supportive Services
- Operating Costs
- Technical Assistance
- Administration

---

**Project Sponsors**

---

For program year 2007 HOPWA funding, IHCDA requested that existing project sponsors submit annual plans detailing their use of HOPWA funds for the period of July 1, 2007-June 30, 2008.

In prior program years, IHCDA offered a competitive process for allocating HOPWA funds. Previously, IHCDA staff conducted outreach and information sessions to community based volunteer AIDS action groups and Task Forces and organizations created and staffed by people living with HIV/AIDS. There was, however, no marked demand for new HOPWA projects for the 2007 program year. Many organizations have had success in receiving other sources of funding for HIV/AIDS and have elected to partner with our existing providers instead of trying to create new programs that may divert limited resources from them. In 2006, for example, Region 1 received funding for a Shelter Plus Care project serving homeless individuals living with HIV/AIDS. Our existing project sponsors are all community based not for profit organizations that serve persons living with HIV/AIDS. IHCDA will utilize a competitive RFP process for the 2008 HOPWA program year.

IHCDA's goal for the HOPWA program is to reduce homelessness and increase housing stability for people living with HIV/AIDS and their families. Existing project sponsors provided information on their HOPWA program's ability to support that goal and deliver the outcome of increasing the availability of housing units for people living with HIV/AIDS and their families and increasing their housing stability.

The existing project sponsors are:

AIDS Ministries/AIDS Assist of North Indiana, Inc.

Service Area: Elkhart, Fulton, Marshall, Pulaski, and St. Joseph Counties

AIDS Resource Group of Evansville, Inc.

Service Area: Daviess, Dubois, Gibson, Knox, Martin, Perry, Pike, Posey, Spencer, Vanderburgh, and Warrick Counties

AIDS Task Force, Inc.

Service Area: Adams, Allen, DeKalb, Huntington, Kosciusko, LaGrange, Noble, Steuben, Wabash, Wells, and Whitley Counties

The Center for Mental Health, Inc.

Service Area: Benton, Carroll, Clinton, Fountain, Jasper, Montgomery, Newton, Tippecanoe, Warren, and White Counties

Bloomington Hospital, Inc.

Service Area: Bartholemew, Greene, Lawrence, Monroe, and Owen Counties

The Center for Mental Health, Inc.

Service Area: Cass, Howard, Madison, Miami, and Tipton Counties

Greater Hammond Community Services, Inc.

Service Area: Lake, LaPorte, and Porter Counties

Brothers Uplifting Brothers, Inc.

Service Area: Lake, LaPorte, and Porter Counties

Hoosier Hills AIDS Coalition, Inc.

Service Area: Crawford, Jackson, Jefferson, Jennings, Orange, and Switzerland Counties

The Center for Mental Health, Inc.

Service Area: Blackford, Delaware, Grant, Jay, and Randolph Counties

West Central Indiana Economic Development District

Service Area: Clay, Parke, Sullivan, Vermillion, and Vigo Counties

The Center for Mental Health, Inc.

Service Area: Decatur, Fayette, Henry, Ripley, Rush, Union, and Wayne Counties