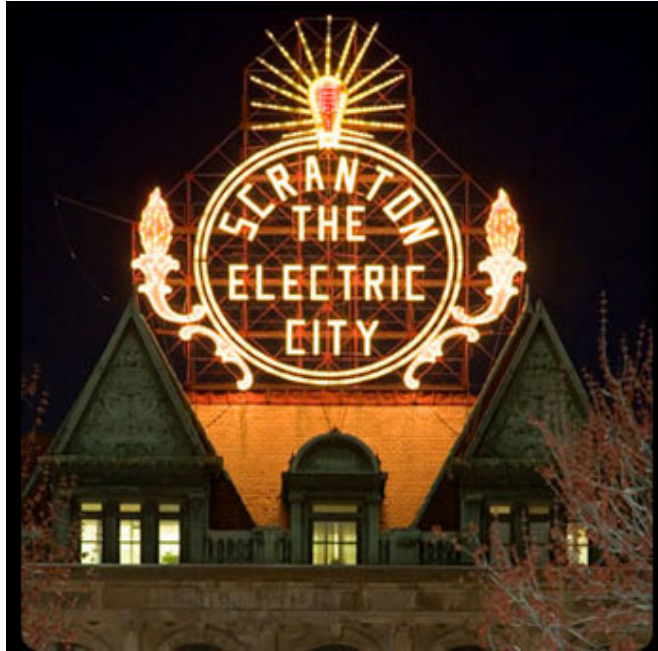


# CITY OF SCRANTON

Lackawanna County, Pennsylvania



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## COMMUNITY DEVELOPMENT BLOCK GRANTS (CDBG) APPLICATION FOR FUNDING

January 1, 2012 – December 31, 2012

APPLICATIONS DUE FRIDAY, AUGUST 5, 2011

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**Christopher A. Doherty**  
Mayor

**Linda B. Aebli**  
Executive Director  
Office of Economic and Community Development  
538 Spruce Street, Suite 812  
Scranton, Pennsylvania 18503  
Phone: 570/348-4216, Ext. 110  
FAX: 570/348-4123  
FDD: 570/348-4216, Ext. 128

# I. CDBG PROGRAM SUMMARY AND GUIDELINES

## Background

The Community Development Block Grant (CDBG) Program was created through Title I of the Housing and Community Development Act of 1974, as amended. HUD awards grants to communities to carry out a wide range of community development activities directed toward revitalizing neighborhoods, economic development, and providing improved community facilities and services. Individual communities are allowed to develop their own programs and funding priorities with public input. The City of Scranton Consolidated Plan describes the programs and funding priorities established locally for the five-year period, 2010-2014. An Action Plan is prepared annually to implement the Consolidated Plan. Communities are required to give maximum feasible priority to the three categories of activities that are referred to as the "CDBG National Objectives"; they are:

### **National Objective #1: Activities that Benefit Low-and Moderate-Income Persons (570.208(a))**

- ❖ **Subcategory No. 1: Area Benefit Activities**- this subcategory criteria is met in an activity, benefiting only area residents, is undertaken in a service area where at least 51% of residents have incomes within 80% of the Area Median.
- ❖ **Subcategory No. 2: Limited Clientele Activities**- this subcategory criterion is met if the activity is designed to benefit a specific group of people and they are either documented or presumed to be LMI persons.
- ❖ **Subcategory No. 3: Housing Activities**- The criteria for LMI benefit is met to the extent that units are occupied by LMI persons upon completion. It covers both rental and owner-occupied units.
- ❖ **Subcategory No. 4: Job Creation or Retention**-The LMI benefits must meet one of the following three criteria:
  - The neighborhood where jobs are created is in a LMI area; or
  - The business being assisted predominantly serves LMI persons; or
  - The jobs created or retained are available or filled by LMI persons

### **National Objective #2: Activities to Prevent or Eliminate Slums and Blight (570.208(b))**

- ❖ **Subcategory No. 1: Addressing slums/blight on an area basis**- The grantee must officially designate the area as blighted, deteriorated, or deteriorating under State or local legal definitions and there must be evidence of blight or decay.
- ❖ **Subcategory No. 2: Addressing slums/blight on a spot basis**- The activity must prevent the spread of blight to adjacent properties or areas and there are limited eligible activities within this subcategory.
- ❖ **Subcategory No. 3: Addressing slums/blight in an Urban Renewal Area**: This subcategory would allow grantees to complete unfinished Urban Renewal in a project area.

**National Objective No. 3: Activities to Meet Urgent Community Development Needs:** This category is met if an activity meets all of the following:

- ❖ The situation poses a serious and immediate threat to the health or welfare of the community, and
- ❖ It is of recent origin or recently became urgent, and
- ❖ It is unable to be corrected with other sources of funds.

The City provides a portion of its CDBG funds on a competitive basis to eligible outside agencies for specific eligible activities that meet one or more of the above CDBG National Objectives and that will further the City's CDBG goals and objectives, as stated in the 2010 – 2014 Consolidated Plan. This Plan may be viewed at [www.scrantonpa.gov](http://www.scrantonpa.gov).

### **Application Filing Procedures**

All applications must be submitted by mail or hand-delivered no later than **4:30 p.m. on Friday, August 5, 2011.**

**City of Scranton  
Office of Economic and Community Development  
538 Spruce Street  
Suite 812  
Scranton, Pennsylvania 18503  
Phone: 570/348-4216, Ext. 110  
FAX: 570/348-4123  
FDD: 570/348-4216, Ext. 128**

Applications delivered after 4:30 p.m. or postmarked after the above deadline will not be considered for funding. It is the applicant's responsibility to ensure that the application is delivered or postmarked on time.

### **Eligible Applicants**

1. Applicants must be incorporated for profit, nonprofit, or public organizations or businesses able to undertake the approved activity within the boundaries of the City of Scranton.
2. Applicants must demonstrate the financial management and programmatic expertise to successfully develop, design, implement and monitor the proposed activities. This expertise can be demonstrated through previous experience in successfully developing projects similar to the one proposed, either by partners or key staff within the business or organization.
3. Applicants must be able to meet other federal requirements relative to the CDBG program, specifically those concerning equal opportunity and fair housing, affirmative marketing, environmental review, displacement, relocation, and acquisition, labor, lead-based paint, conflict of interest, debarment and suspension, and flood insurance. Federal requirements include those listed in CFR Title 24, Part 570. All applicants should be aware that additional federal requirements apply.

### **CDBG ELIGIBLE ACTIVITIES**

CDBG funds must be used for activities that meet a **CDBG National Objective**. As described earlier, the National Objectives for the CDBG Program are to support activities that: 1) provide primary benefit to lower-income persons or households; 2) aid in the elimination of slums or blight; or 3) meet other identified community development needs having a particular urgency. Eligible activities may include, but are not limited to:

**Acquisition/Disposition:** The use of CDBG funds to acquire real property, in whole or in part, by purchase, long-term lease, donation, or otherwise, for any public purpose. Real property to be acquired may include: land, air rights, easements, water rights, right-of-ways, buildings and other property improvements, or other interests in real property.

**Demolition/Clearance:** Clearance, demolition, and removal of buildings and improvements including movement of structures to other sites.

**Economic Development Activities:** Economic development activities may include, but are not limited to: (1) Construction by the grantee or sub-recipient of a business incubator designed to provide inexpensive space and assistance to new firms to help them become viable businesses, (2) Loans to pay for the expansion of a factory or commercial business, and (3) Providing training needed by persons on welfare to enable them to qualify for jobs created by CDBG-assisted special economic development activities. The level of public benefit to be derived from the economic development activity must be appropriate given the amount of CDBG assistance.

**Rehabilitation:** Rehabilitation related activities may include single-family rehabilitation, multi-family rehabilitation, energy efficiency improvements, public housing modernization, and rehabilitation of commercial properties.

**Relocation:** CDBG funds may be used for relocation payments and assistance to displaced persons, including individuals, families, businesses, non-profits, and farms, where required under section 570.606 of the regulations (pursuant to the Uniform Relocation Act).

**Public Facilities/Improvements:** CDBG funds may be used by the grantee or other public or private nonprofit entities for the acquisition (including long term leases for periods of 15 years or more), construction, reconstruction, rehabilitation (including removal of architectural barriers to accessibility), or installation, of public improvements or facilities. Buildings for the general conduct of government cannot be acquired or improved with CDBG funds. This includes neighborhood facilities, firehouses, schools, and libraries, as well as water and/or sewer treatment plants. The regulations further specify that facilities that are designed for use in providing shelter for persons having special needs are considered to be public facilities.

**Public Services:** CDBG funds may be used to provide public services (including labor, supplies, and materials), provided that each of the following criteria is met: 1) The public service must be either a new service or a quantifiable increase in the level of service; and 2) The amount of CDBG funds obligated within a program year to support public service activities under this category may not exceed 40% of the City's allocation and the total public services of all Sub-recipients may not exceed 15% of the total grant awarded.

**Planning:** Includes studies, analysis, data gathering, preparation of plans, and identification of actions that will implement plans. The types of plans which may be paid for with CDBG funds include, but are not limited to: Comprehensive plans; Individual project plans; Community development plans, Capital improvement programs; Small area and neighborhood plans; Environmental and historic preservation studies; and Functional plans (such as plans for housing, land use, energy conservation, or economic development).

**Homeownership Assistance:** Homeownership assistance activities may include financial assistance for down-payments, closing costs or other part of the purchase process and counseling for pre-purchase, post-purchase or foreclosure.

**Please Note:** *Although an activity may be deemed eligible for CDBG funding, it does not guarantee funding. The Community Development Needs for the CDBG Program in the Comprehensive Plan sets forth the priority of needs and as such, dictates which types of eligible activities may be funded in a given year. CDBG funds may NOT be used for costs attributable to a building used for the general conduct of government or used for political activities.*

## **Ineligible Activities/Costs**

Generally, the following types of activities are ineligible:

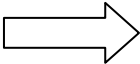

- Those activities not meeting a National Objective;
- Acquisition, construction, or reconstruction of buildings for the general conduct of government;
- Except for the removal of architectural barriers
- Political activities
- Certain income payments; and
- General government expenses
- Purchase of equipment (including construction equipment), furnishings and personal property, except when used in carrying out an eligible Public Service activity
- Operating and maintenance expenses associated with public facilities
- New housing construction, unless carried out by a Community Based Development Organization
- Income payments to families or individuals

Generally, the following types of costs are ineligible for funding:

- Any costs not directly related to the implementation of the activity described in the approved application;
- Costs incurred prior to an executed contract or after the expiration of the CDBG contract; and
- Administrative costs that are considered excessive or unreasonable.
- Costs incurred prior to the completion of an Environmental Review

## Objectives and Outcomes

Identify one objective and one outcome for the proposed activity. To determine the most appropriate outcome for an activity, ask: “What type of change or result am I seeking?”

<p><b>Outcome</b> </p> <p><b>Objective</b> </p>	<b>Availability/ Accessibility</b>	<b>Affordability</b>	<b>Sustainability</b>
<p>Suitable Living Environment</p>	<p>Public Service activities funded to provide access To a suitable living Environment.</p> <p><i>Example: An after school Program designed to address crime or juvenile delinquency in a target neighborhood</i></p>	<p>Public Service activities funded to support housing opportunities in a target neighborhood.</p> <p><i>Example: A housing counseling program</i></p>	<p>Public service activity aimed at improving communities or neighborhoods.</p> <p><i>Example: Community policing program</i></p>
<p>Decent Housing</p>	<p>Public service activities funded to assist LMI individuals/households.</p> <p><i>Example: Fair housing counseling program</i></p>	<p>Public service activities funded to make housing affordable.</p> <p><i>Example: Energy conservation training or education program focused on reducing energy costs to LMI people</i></p>	<p>Public service activities funded to sustain housing in neighborhoods.</p> <p><i>Example: Housing counseling program for LMI homeowner to hem avoid predatory lending.</i></p>
<p>Economic Opportunity</p>	<p>Public service activities funded to provide access to economic opportunities</p> <p><i>Example: Operating costs for a job training program, literacy program</i></p>	<p>Public service activities funded to support economic opportunities</p> <p><i>Example: Free job training program for LMI people</i></p>	<p>Public service activities funded to sustain economic opportunities.</p> <p>Example: Child care program or day care or health services</p>

## **II. CDBG PROGRAM ADMINISTRATION**

### **CDBG Contract**

Following the City's approval of the FY 2012 CDBG activities and completion of the HUD review, staff will prepare CDBG contracts for all approved activities. Each contract will contain the terms and conditions of the CDBG funding, a description of the approved activity and costs, and will specify applicable City insurance requirements including comprehensive general liability, workers' compensation, and vehicle coverage. Contracts will also include the measurable objectives and accomplishment data that must be reported. The person designated by resolution will be required to sign the CDBG contract and return it to the City. Prior to contracts being executed, all sub-recipients must meet with CDBG staff to review the contract and accomplishment reporting.

### **Payment of CDBG Funds**

CDBG funds are paid for actual costs directly related to the implementation of the project as approved. Payment will be made only for costs described in the applicant's contract upon submittal of payment request and all required documentation (i.e. receipts, invoices, accomplishment reports, etc.) is received and approved by the City. While every effort is made to ensure timely payments, this procedure may take two to four weeks from time of reimbursement request.

### **Reporting Requirements and Monitoring**

Note that it is OECD's staff's responsibility to ensure all entities receiving CDBG funds are in compliance with HUD regulations. Recipients must provide all information requested to assist in CDBG staff documentation in a timely manner.

CDBG recipients shall be required to submit a monthly or quarterly progress report regarding the funded activity. Noncompliance could result in suspension or termination of the contract and reallocation of the CDBG funds. Noncompliance will also be considered when applicants request future funding.

In addition, CDBG staff may schedule periodic on-site monitoring of all funded activities. Each CDBG recipient is responsible for maintaining written records required by the CDBG contract.

### **DUNS Number Requirement**

The federal government requires organizations to provide a DUNS number as part of their grant applications and proposals.

#### **What is a DUNS number?**

Dun and Bradstreet (D&B) is a company that provides business information for credit, marketing, and purchasing decisions. Its "data universal numbering system," known as DUNS, issues unique 9-digit numbers that are used by businesses and the federal government to keep track of more than 70 million businesses world-wide. Some entities, such as states and universities, will also have what is known as "DUNS + 4," which is used to identify specific units within a larger entity.

#### **Why does my organization have to provide it?**

The federal government's Office of Management & Budget has adopted the use of DUNS numbers as a way to keep track of how federal grant money is awarded and dispersed.

### **Do all grant applications have to have a DUNS number?**

All organizational applicants are required to provide their DUNS number. Individuals are exempt.

### **How do I find out if my organization already has a DUNS number?**

Your executive director, business manager, board treasurer, or accountant is likely to know and be able to provide your organization's DUNS number if you already have one. Organizations applying to the Arts Endowment have been required to have a DUNS number since October 1, 2003. Universities and most colleges, state entities and large organizations also are likely to already have DUNS numbers. If you are not sure, ask the D&B operator when you call to get one (see phone number below).

### **Is there a fee for registering for a DUNS number?**

No. D&B should not charge you a fee. You are also not obligated to purchase any of their products.

### **What is the easiest way to get a DUNS number if my organization needs one?**

It only takes a day to get a DUNS number from D&B by phone (you may be on hold for a little while), but Internet applications can take up to 30 days! Note that an authorizing official, not a project director, of the organization should request a DUNS number. **Call D&B's special toll-free number for federal grant applicants: 1-866-705-5711.** Tell the operator that you are applying to a federal grant program and need to register for a DUNS number. The process will take about ten minutes. You will be asked to provide the following information (subject to minor changes):

Legal name of organization, physical address (and P.O. Box if you have one), telephone number, Web address, name of the authorizing official (e.g., president, director, etc.), the purpose of your organization.

**A. Additional Information** – Any other information that would be helpful to the funding commission may be attached to the Application Narrative.

- ✓ Double check your application to make sure everything is included and in the order prescribed. Be sure to complete all questions. If you have questions, please contact the CDBG department for technical assistance!

GOOD LUCK!



**SCRANTON, PA  
CDBG Program Application**

**Must submit original and one (1) copy**

**Due: Friday, August 5, 2011 no later than 4:30 P.M.**

**No late or incomplete applications will be accepted**

EXHIBIT A: Application Cover Sheet

For Office Use Only

Date Received: \_\_\_\_\_ Amount Requested: \$ \_\_\_\_\_ Amount Recommended: \$ \_\_\_\_\_

Agency Name and Address:

Name, title, and telephone # of contact person:

Federal ID#

DUNS #

Type of Application:       New                       Continuation

Project Title:

Location of Proposed Project:

Brief Description of Project (what is to be funded):

**Project Funding**

**Category of Proposal Submitted**

CDBG Funds Requested:    \$ \_\_\_\_\_

Applicant Funds                \$ \_\_\_\_\_

Other (Specify)                 \$ \_\_\_\_\_

Program Income                \$ \_\_\_\_\_

TOTAL                                \$ \_\_\_\_\_

**IF THE AMOUNT OF CDBG GRANT FUNDS IS LESS THAN THE AMOUNT REQUESTED, WILL THE PROGRAM BE IMPLEMENTED?**

Yes \_\_\_\_\_ No \_\_\_\_\_

Public Facilities & Improvements

Public Services

Housing

Economic Development

Acquisition

Other \_\_\_\_\_

**THIS PROJECT PROPOSAL HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT, AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCE IF ASSISTANCE IS AWARDED.**

Typed Name and Title of Authorized Representative:

Telephone Number:

Signature of Authorized Representative: \_\_\_\_\_

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

## SCRANTON, PENNSYLVANIA

### 2012 CDBG APPLICATION

1. Complete this application by typing into the appropriate areas. Check all boxes as you complete each section, if not applicable indicate N/A in the box. You may use additional paper to complete application. **If you are applying for more than one activity, a separate application must be provided for each activity.**
2. **Submit an original and one (1) copy of the application. You may hand deliver or mail to: City of Scranton Office of Economic and Community Development, 538 Spruce St., Suite 812, Scranton, PA 18503 no later than 4:30 p.m. on Friday, August 5, 2011. No late applications will be accepted!**
3. Applications generally fall into two general categories:
  1. Public facilities and improvement projects or
  2. Public services, Economic Development and Housing. Some of the questions will be divided into two sections depending upon which category applies to your proposed Project. Fill out the section that applies to your project only.
4. Prior to consideration each application must meet the following criteria:
  - meet a HUD national objective
  - be a HUD-eligible Activity
  - must fit HUD Objectives, Outcomes, and Indicators
  - Provide a Specific Performance Measurement Statement
  - Comply with the City of Scranton Consolidated Plan.

**Section I. ORGANIZATIONAL SUMMARY:** Please provide an overview of the organization applicant that is requesting CDBG funds.

#### **Required Attachments** (Please place in this order)

- List of Board of Directors
- Organizational Chart
- Resume of program administrator
- Resume of fiscal officer
- Tax Exemption Determination Letter
- Articles of Incorporation
- Resolution (See Exhibit A – Sample Resolution
- By-Laws
- Equal Opportunity Employment Statement & Grievance Procedure
- Financial statement and/or most recent audit
- Audit Requirements (if applicable)
- Statement of Insurance - State whether or not the agency has liability insurance coverage, in what amount, and with what insuring agency. State

whether or not the agency pays all payroll taxes and worker's compensation as required by Federal and State Law. State whether or not the agency has fidelity bond coverage for principal staff that handle the agency's accounts, in what amount, and with what insuring agency.

In accordance with the Office of Management and Budget Circulars A-133, A-128, and A-110, Non-Federal entities that expend \$500,000 or more in Federal awards shall have a single or program-specific audit conducted each year. However, agencies expending less than \$500,000 per year, must maintain records for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office. Agencies requesting \$500,000 or more must choose one of the three following ways of meeting this requirement and state which method they choose:

If the agency already conducts audits of all its funding sources including CDBG, the agency must submit a copy of its most recent audit and may, at its discretion, include the CDBG portion of the audit cost in its CDBG project budget.

If the agency already conducts audits of its other funding sources but has neither received nor included CDBG in the past, the scope of the audit would be modified to incorporate CDBG audit requirements. The associated cost of the augmentation could then be included in the CDBG project budget, accompanied by the auditor's written cost estimate.

If the agency is required to submit an audit and does not have a current audit process in place, the agency will be required to include a 10% set-aside in the CDBG project budget for the provision of an audit.

The CDBG application package must include an approved resolution from the applicant's governing body which authorizes submittal of an application for City of Scranton CDBG funding and identifies the title of the individual authorized to execute any agreements, contracts, and requests for payment. A suggested format is provided in Exhibit A.

#### EXHIBIT A: Sample Resolution

**WHEREAS**, the City of Scranton, Pennsylvania has issued a notice of funding availability for the Community Development Block Grant (CDBG) Program; and

**WHEREAS**, (Title of Governing Body of Applicant) wishes to apply for and receive an allocation of CDBG funds from the City of Scranton, Pennsylvania.

**NOW, THEREFORE, BE IT RESOLVED** that the (Title of Governing Body of Applicant) authorizes the submittal of an application to the City of Scranton to be considered to receive an allocation of funds through the CDBG Program. The (Title of Organization Official, i.e. Director), or appointed designee is hereby authorized to execute in the name of the (Name of Organization) all necessary applications, contracts, payment requests, agreements, and amendments hereto for the purposes of

securing CDBG funds and to implement and carry out the purposes specified in the CDBG application.

The foregoing resolution was passed by the (Title of Governing Body of Applicant) this \_\_\_\_\_ day of \_\_\_\_\_, 2011.

ATTEST:

\_\_\_\_\_  
Signature & Title of Governing Body Official Date: \_\_\_\_\_

**Section II**

**A. PUBLIC SERVICES, ECONOMIC DEVELOPMENT AND HOUSING PROGRAM DESCRIPTION (Public Facilities and Improvement Projects, see Section II B.)**

Describe your public service or housing program. Include:

- Description of program. If a housing program, describe the type of rehabilitation project, how it will be managed, the number of units expected to be accomplished etc.
- Length of time the applicant has provided these program or services
- Eligible costs for public services (the FIRST TIME it is funded) must be either for
  - a. A new service; or
  - b. A quantifiable increase in the level of a service.
    - 1. The amount of funds provided by the City during the 12 months prior to the submission of the applicable Action Plan is used in making this determination.
- Names and job titles of staff members who will administer program
- Frequency and duration of the program services  
(*Example: Each participant attends class twice a week for a total of 24 weeks; each class is two hours in duration*)
- Start and end date of program.
- How will you monitor and evaluate the quality and outcomes of services or project? (*Example: staff management and training, quality assurance programs, client feedback, evaluation plans etc.*)

**Section II B. PUBLIC FACILITIES OR IMPROVEMENT PROJECTS**

**DESCRIPTION AND WORKPLAN:** Describe the proposed project or activity. Include

- Description of project or activity, location etc.
- If the project is the rehabilitation of a public facility, describe the condition of the present building, square footage, rehabilitation challenges, scope of the project etc. Why does the facility need improvement? Is the facility an historic building? Has this facility utilized CDBG funding in the past? Will additional funding for this project be requested in the future?

- If the facility is a City park, please discuss the condition of the park in general. Why does the park need improvement? Have CDBG funds been used on this park in the past? Will additional funding for this park be requested in the future?
- If funds are being requested for infrastructure improvements, please address the linear feet of roads, sidewalks that will be constructed and where they will be located. Why were these particular areas chosen?
- If acquisition or demolition, please discuss the reasons for acquisition or demolition. What is the nature of the property (e.g. occupied, vacant building, vacant lot) What is the current access to the site. If properties have been chosen, are there any liens on the property? What is the planned use for the site? What is the timeline for acquisition or demolition? Will the proposed activity involve relocation of tenants or residents?
- If emergency relocation, please describe the services which will be funded and the need for those services.

**Section III A. PUBLIC SERVICES, ECONOMIC DEVELOPMENT AND HOUSING COMMUNITY BENEFIT: If a Public Facilities / Improvement Project - proceed to Section III B.**

Describe the public benefit that your program / project will provide. ***If you provide services to low- and moderate income clients (applies to most public services and housing programs) your clients must be 51% low-and moderate income.***

- Describe your intended client demographics using as much hard census data as possible. Will they be 51% low-and-moderate income? How will you track this?
- If your program primarily serves a neighborhood, provide an overview of your neighborhood demographics
- Estimate the total number of clients you will serve.
- Given you budget, what is the CDBG cost per client?
- Estimate the percentage of Scranton residents served.
- How will clients be recruited for the program?
- How will you track client satisfaction and/or progress?
- Discuss your system for monitoring and evaluating the quality and outcomes of services provided (e.g. staff management and training, quality assurance programs, client feedback, evaluation plans)
- How are you collaborating with other service providers within the community?
- Given the array of social service programs, describe what processes are used to avoid duplication of effort.

**Section III B. PUBLIC FACILITIES / IMPROVEMENT COMMUNITY BENEFIT:** *If your project will benefit an identified service area where 51% of the service area's users are 51% low- and moderate-income (examples: a community park used primarily by residents who are 51% low-and moderate- income;, neighborhood sidewalks used primarily by residents in a low-and moderate income census tract neighborhood):*

- Describe the nature of the activity and its exact service area. If this is a park or fire- house, which Census Tracts and Blocks will it serve? **BE SPECIFIC!** Identify the neighborhood, street location, and census tract/block of the project. Remember the service area may not only be the neighborhood, but may also be areas of additional neighborhood. The service area is not just where this project is located...but the areas where the users or those who benefit from the project actually live. *For example, a firehouse may be located in the Plot, but those who benefit may live in other census tracts in other neighborhoods. All benefiting census tracts and blocks must be listed!*
- How does your service area meet the 51% low- and moderate-income requirement? (Remember service areas are areas served by the project, not necessarily the immediate area surrounding the project)
- If benefit of this project is the removal of spot slum or blight, please identify.
- How does the project improve the quality of life for low-and moderate- income Scranton residents?

***If your project removes or prevents slum and blight in a particular spot or in a generally blighted area:***

- If removal of slum and blight by area, please define the area's boundaries and discuss  
The area's blighted nature and how your project will alleviate those conditions.
- If removal of slum and blight on a spot basis , describe how this project will be a benefit to the community on a singular basis

**Section IV. BUDGET NARRATIVE:** Describe:

- How your program/project will use CDBG funds.
- An explanation of each CDBG budget line item indicated on your itemized budget  
(Note: There are two different budget forms. Please use the budget specific to your type of application. Justify the need for each item, the relevance and the cost effectiveness of the requested item for the successful implementation of the program/project.

- Section V. UNMET NEEDS:** Describe:
- How does your program or project meet needs that would not be met by the City or outside providers if this project were not funded by CDBG?
  - How would you judge the priority of this program in terms of Scranton's needs?
  - If a public service or housing program, describe how your program collaborates with similar service providers in Scranton in meeting these needs?

- Section VI. LEVERAGING OF OTHER FUNDS:**
- Indicate what other federal, state, city or private funds will be used in this project.
  - Indicate sources to which you have committed, already applied to, or plan to apply for funding before January 1, 2012.
  - If CDBG funds are the sole source of funds, explain why.
  - What will be the impact if your project/program is not awarded funds?
  - What percentage of your budget does CDBG funding comprise?

- Section VII. NATIONAL CDBG OBJECTIVE:** (See page 2 for explanation of National Objective. **Check one of the following:**

Benefits low - and moderate- income persons (less than 80% of area median income) in terms of clients (public services programs), area benefit (most public facilities and improvement projects, low-moderate income housing or jobs

Aids in the prevention or elimination of slum and blight (demolition, acquisition) whether on a spot or area basis

Meets an urgent need or imminent threat (natural disaster)

- Section VIII. ELIGIBLE CDBG ACTIVITY:** How does your program or project meet a common eligible activity? Identify and explain from the listed located on page 4:

- Section IX. CDBG OBJECTIVES, OUTCOMES AND INDICATORS:** HUD now requires that each program or project funded meet one of the objectives, outcomes and Indicators found on page 6.

**Objective: Check One:**

**Creates a Suitable Living Environment** (addresses issues in the living environment or community)

**Decent Housing**

**Creates Economic Opportunities**

**Outcome: Check One**

**Improve/increase Availability or Accessibility** (creates or increases a service, makes a service or facility or improvement available or accessible or available)

**Affordability (e.g. provides affordability through reduced costs, subsidies etc.)**

**Sustainability** (aims at programs or activities providing multiple and varied services to a neighborhood in order to make it sustainable on a number of levels)

**Indicator: How project or program progress will be measured)**

**Check One**

Number of persons assisted

Number of households assisted

Number of housing units created or rehabilitated

Number of businesses assisted

Number of jobs created or retained

Acreage, square foot, or linear footage of infrastructure improvements

Number of homeless persons assisted; homeless sheltered; homeless receiving permanent housing

Number of commercial facades improved or commercial structures rehabilitated

Number of persons assisted with new or improved access to a public facility or infrastructure or number of persons that no longer only have access to a substandard facility or infrastructure

Number of acres of Brownfield's assisted

**Section X. PERFORMANCE OUTCOME MEASUREMENT STATEMENT:**

HUD requires a Program Performance Outcome Measurement Statement. Using the above objectives, outcomes and indicators create a statement that applies to your project or program following the models below.

**Sample: Outcome Measurement Statement:** *With improved **access** to after-school recreation programs for the purpose of creating a **suitable living environment**, **fifty low to moderate income youth** will have improved physical health and social skills*

**Sample:** *With improved **affordable** free roofing repair to their homes for the purpose of providing **decent housing**, **thirty households** will have retained their homes by the number of roofs completed.*

**Sample:** *With improved **access/availability** to pedestrian transportation for the purpose of creating a **suitable living environment** –in a particular neighborhood, **10,000 linear feet** of neighborhood sidewalks were constructed.*



**Section XI: COMPLIANCE WITH SCRANTON'S CONSOLIDATED PLAN:** How does your program meet one or more of the stated Preliminary 2010-2014 Consolidated Plan Goals? You can view Scranton's Consolidated Plan at [www.scrantonpa.gov](http://www.scrantonpa.gov). Complete the Certification of Consistency with the Consolidate Plan found under Section XVIII of this application.

**Section XII. ENVIRONMENTAL REVIEW REQUIREMENTS:**

As part of CDBG requirements prior to the Release of Funds being issued (which allows contracts to be executed) an Environmental Review Record must be completed. Most of our recently funded activities have been classified, by their nature, as either Categorically Excluded or Exempt. With these activities we are not required to complete an environmental assessment. Occasionally CDBG funds an activity that does require a complete environmental assessment.

To comply with CDBG regulations, these environmental assessments must be received by CDBG staff no later than June 15<sup>th</sup> of the funding year.

- If project involves a building / facility rehabilitation, is the building or facility on the National Register of Historic Places. Is it part of a local historic district?
- What year was the building constructed? What was its prior use?
- Does the Department have any information concerning previous or existing environmental conditions on site? If so, provide a description. Identify any key environmental studies that have been initiated or completed to satisfy NEPA.
- Has the Department already completed any site remediation and/or abatement activities at this site? If so, provide a description. If awarded CDBG funds, a copy of the final closure reports must be provided.

**Section XIII: DAVIS BACON REQUIREMENT/BONDS**

CDBG assisted projects with a total cost of \$2,000+ are required to pay Davis-Bacon Wages (Federal Prevailing/Union Wage Rates). Davis-Bacon Wages add 40% to the labor cost. Have you taken this into account in the budget?

Yes  No

Have you taken the required bond to the cost of the project in the budget (15%)?

Yes  No



Indicate All Sources Of Funding (required)	Amount	Committed
<b>CDBG (Requested)</b>		
<b>TOTAL FUNDING</b>	\$	\$

(Include all Sources of funds and project costs below)

Project Budget Line Items (required)	CDBG	Other	Total
<b>General Construction</b>			
New Construction			
Renovations			
Landscaping/Planting			
<b>Infrastructure/Site Preparation</b>			
Roads & Streets			
Parking			
Sidewalks			
Lighting			
Demolition			
Excavation/Grading			
Environmental Cleanup Mitigation			
<b>Machinery &amp; Equipment</b>			
New Equipment Purchase			
Installation/Building Modification			
Vehicles			
<b>Professional Services (15% of the project cost)</b>			
Engineering			
Inspections			
Architectural			
Consultants			
Legal Costs			
Environmental Assessment			
Contingencies			
<b>Promotion/Public Relations/Advertising</b>			
Printing of Specifications, Drawings & Project Manuals			
Legal advertising			
Audit costs			
<b>Other</b>			
<b>Subtotal</b>	\$	\$	\$

<b>Project Budget Line Items (continued)</b>	<b>CDBG</b>	<b>Other</b>	<b>Total</b>
<b>General Conditions</b>			
Mobilization			
Bonds			
Permits			
Temporary Protection			
Dumpster, Etc.			
<b>Not CDBG Eligible unless Permanently affixed</b>			
Equipment			
Furnishings			
Other			
<b>Contingencies</b>			
5% of above costs			
<b>Other Expenses</b>			
Other			
<b>Subtotal</b>	\$	\$	\$
<b>TOTAL</b>	\$	\$	\$

**Basis of Costs (check appropriate items below)**

- Appraisals                       Engineer Estimates                       Bids/Quotations  
 Contractor Estimates                       Other Justification

**Project Narrative (required)**

Attach a comprehensive description of this project. The narrative must specifically address each cost item identified in the project budget. The narrative must include the following information to qualify.

1. Identify problems being addressed with funding by providing improvements
2. Detailed project description
3. Project schedule, timelines and dates to address specific problems
4. Documentation to support budget costs.
5. Environmental impacts if applicable by project.

**Failure to provide all necessary information may disqualify application for CDBG funding**

**Section XVI: Equal Opportunity / Accessibility Certification**

1. Does the applicant have a written employment and personnel policies and practices, including equal opportunity guidelines? \_\_\_\_\_ Yes \_\_\_\_\_ No

a. If no, use the space below to briefly explain.

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2. Is the proposed facility or program accessible to persons with disabilities? \_\_\_\_\_ Yes \_\_\_\_\_ No

a. If no, is the proposed activity designed to make the program/facility fully accessible? \_\_\_\_\_ Yes \_\_\_\_\_ No

b. If no, use the space below to briefly please how handicapped clients/users are, or will be accommodated:

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**Acquisition and Relocation**

1. Does the applicant own the property? \_\_\_\_\_ Yes \_\_\_\_\_ No  
\_\_\_\_\_ NA

2. If no, does the applicant lease the property? \_\_\_\_\_ Yes \_\_\_\_\_ No  
\_\_\_\_\_ NA

From Whom? \_\_\_\_\_ For How Long? \_\_\_\_\_

3. If you answered no to the first two questions, please list the property's current owner and contact information below:

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4. Will the proposed activity require real property acquisition or easements? \_\_\_\_\_ Yes \_\_\_\_\_ No

5. Will the proposed activity result in either permanent or temporary displacement of relocation of households/businesses? \_\_\_\_\_ Yes \_\_\_\_\_ No

If you answered “yes” to either question 4 or 5, you must comply with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (the “Act”). Please contact our office so that one of our CDBG program administrators can discuss the implications of the Act on your proposed activity.

**Program Income**

1. Any income generated from the investment of CDBG must be returned to the City of Scranton. Is the proposed project expected to generate any income?

\_\_\_\_\_Yes      \_\_\_\_\_No

**Section XVII: CERTIFICATION: The Applicant:**

- ◆ Agrees to accept and follow management direction from the City and the Office of Economic and Community Development that is federally funded through the U. S. Department of Housing and Urban Development.
- ◆ Agrees to conform to all applicable laws and ordinances and statutes of the Federal Government, State of Pennsylvania and the City of Scranton, including but not limited to the following:
  - Americans with Disabilities Act of 1990; a clear and comprehensive prohibition of discrimination on the basis of disability and the Civil Rights Act of 1964 as amended.
- ◆ Agrees that throughout the period of an agreement with the City, all taxes, contractual obligations, audit responsibilities and any other obligations (e.g. sewer and water, parking tickets etc.) owed to the City shall be and remain current;
- ◆ Agrees that all services required of the Applicant under an agreement with the City will be performed with professional skill and competence;
- ◆ Agrees that the City reserves the right to terminate the resultant agreement at any time, for the City's convenience, with the assurance that the sub-recipient shall be entitled to reimbursement for approved services rendered prior to date of termination;
- ◆ Agrees that the Applicant's relationship with the City under an agreement will be that of an independent sub-recipient and that the agreement will be a contract for completion of activities with allocated funds and not a contract of employment with the City and no attended benefits shall be bestowed thereby;

Agrees to comply with all requirements promulgated by HUD, including, but not limited to:

- Federal Labor Standards (29 CFR Parts 3, 5, and 5a)
- Davis Bacon Act, as amended (40 USC 327-330)
- Copeland "Anti-Kickback" Act (18 USC 874), as supplemented in the Dept. of Labor regulations (20 CFR-Part 3)
- Architectural Barriers Act of 1969 (42 USC)
- Environmental Review (24 CFR- Part 58)
- Lead Based Paint Poisoning Prevention Act of 1971 (24 CFR - Part 35)
- Flood Disaster Protection Act (PL 93-291)
- Section 504 of the Rehabilitation Act of 1973

The undersigned hereby certifies that s/he is duly authorized to negotiate, execute and deliver agreements, documents and other instruments in the name of and on behalf of the organization submitting this application for grant funds, and that the information contained in this application is, to the best of his/her knowledge, true, correct, complete, and represents the true intended usage of the funds for which the application is being submitted under penalty of law.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

**Section XVIII: Certification of Consistency with the Consolidate Plan – HUD-2991**

I certify that the proposed activity/project in this application is consistent with the jurisdiction's current, approved Consolidate Plan. (Type or clearly print the following information)

Applicant Name: \_\_\_\_\_

Project Name: \_\_\_\_\_

Location of the Project:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name of the Federal Program to which the Applicant is applying:

\_\_\_\_\_

Name of Certifying Jurisdiction:

\_\_\_\_\_

Authorized Representative's Signature

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



**Section XIX: Sec. 570.611 - Conflict of interest Certification**

**Please read the following Conflict of Interest Statement excerpted from the Code of Federal Regulations at 24 CFR 570.611 and indicate your acceptance by signing this Certification.**

(a) **Applicability.**

(1) In the procurement of supplies, equipment, construction, and services by recipients and by subrecipients, the conflict of interest provisions in 24 CFR 85.36 and 24 CFR 84.42, Respectively; shall apply.

(2) In all cases not governed by 24 CFR 85.36 and 84.42, the provisions of this section shall apply. Such cases include the acquisition and disposition of real property and the provision of assistance by the recipient or by its subrecipients to individuals, businesses, and other private entities under eligible activities that authorize such assistance (e.g., rehabilitation, preservation, and other improvements of private properties or facilities pursuant to Sec. 570.202; or grants, loans, and other assistance to businesses, individuals, and other private entities pursuant to Sec. 570.203, 570.204, 570.455, or 570.703(i)).

(b) **Conflicts prohibited.** The general rule is that no persons described in paragraph (c) of this section who exercise or have exercised any functions or responsibilities with respect to CDBG Activities assisted under this part, or who are in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from a CDBG-assisted activity, or have a financial interest in any contract, subcontract, or agreement with respect to a CDBG-assisted activity, or with respect to the proceeds of the CDBG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for one year thereafter. For the UDAG program, the above restrictions shall apply to all activities that are a part of the UDAG project, and shall cover any such financial interest or benefit during, or at any time after, such person's tenure.

(c) **Persons covered.** The conflict of interest provisions of paragraph (b) of this section apply to any person who is an employee, agent, consultant, officer, or elected official or appointed official of the recipient, or of any designated public agencies, or of subrecipients that are receiving funds under this part.

(d) **Exceptions.** Upon the written request of the recipient, HUD may grant an exception to the provisions of paragraph (b) of this section on a case-by-case basis when it has satisfactorily met the threshold requirements of (d)(1) of this section, taking into account the cumulative effects of paragraph (d)(2) of this section.

(1) Threshold requirements. HUD will consider an exception only after the recipient has provided the following documentation:

(i) A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made; and

(ii) An opinion of the recipient's attorney that the interest for which the exception is sought would not violate State or local law.

(2) Factors to be considered for exceptions. In determining whether to grant a requested exception after the recipient has satisfactorily met the requirements of paragraph (d)(1) of this section, HUD shall conclude that such an exception will serve to further the purposes of the Act and the effective and efficient administration of the recipient's program or project, taking into account the cumulative effect of the following factors, as applicable:

(i) Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;

(ii) Whether an opportunity was provided for open competitive bidding or negotiation;

(iii) Whether the person affected is a member of a group or class of low- or moderate-income persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class;

(iv) Whether the affected person has withdrawn from his or her functions or responsibilities, or the decision making process with respect to the specific assisted activity in question;

(v) Whether the interest or benefit was present before the affected person was in a position as described in paragraph (b) of this section;

(vi) Whether undue hardship will result either to the recipient or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and

(vii) Any other relevant considerations.

I have read the Conflict of Interest Statements excerpted from the Code of Federal Regulations at 24 CFR 570.611, and I agree to abide by the principles embodied therein.

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Authorized Representative's Signature

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Date

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Name (please print)

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Title

**NOTE: IF APPLICABLE EVERY BOARD MEMBER MUST INDIVIDUALLY SIGN A CONFLICT OF INTEREST CERTIFICATION TO BE SUBMITTED WITH THIS APPLICATION – NO EXCEPTIONS ONE PERSON SIGNING ONLY MAY RESULT IN APPLICATION BEING REJECTED.**

**Section XX: 24 CFR Part 58 - Environmental Review**

In accordance with 24 C.F.R. Part 58.22, the applicant agrees to refrain from undertaking any physical activities or choice-limiting actions until the City of Scranton's Office of Economic and Community Development has either notified the applicant that the request for funding has been rejected, or if funded, until the City has issued the sub recipient a written Environmental Notice to Proceed. Choice-limiting activities include, but are not limited to, acquisition of real property, leasing, repair, rehabilitation, demolition, conversion, or new construction. This limitation applies to all parties in the development process, including public or private nonprofit or for-profit entities, or any of their contractors.

If the application is successful, any commitment of funds by the City is fully conditioned upon satisfactory completion of the project's environmental review in accordance with 24 CFR Part 58 and related environmental authorities. The applicant is also advised that the provision of funding is further conditioned on the City of Scranton's Office of Economic and Community Development's determination to proceed with, modify, or cancel the project based on the results of the environmental review.

If the application is successful, the applicant must agree to abide by any special conditions, mitigation measures or requirements identified in the City of Scranton's Office of Economic and Community Development's environmental approval and shall ensure that project contracts and other relevant documents will include such special conditions, mitigation measures or requirements.

The applicant agrees to provide the City of Scranton's Office of Economic and Community Development with all available environmental information about the project and any information which the City of Scranton's Office of Economic and Community Development may request in connection with the conduct and preparation of the environmental review, including any reports of investigation or study which in the City of Scranton's Office of Economic and Community Development's opinion is needed to fulfill its obligations under HUD environmental requirements.

The applicant agrees to advise the City of Scranton's Office of Economic and Community Development of any proposed change in the scope of the project or any change in environmental conditions, including substantial changes in the nature, magnitude, extent or location of the project; the addition of new activities not anticipated in the original scope of the project; the selection of an alternative not in the original application or environmental review; or new circumstances or environmental conditions which may affect the project or have bearing on its impact, such as concealed or unexpected conditions discovered during the implementation of the project or activity.

Authorized Representative's Signature

\_\_\_\_\_  
Name (please print)

\_\_\_\_\_  
Title

Date \_\_\_\_\_

**Community Development Block Grant  
Funding Application  
Certifications**

**In accordance with the applicable statutes and regulations governing the Community Development Block Grant funds, I hereby certify that:**

Utilization of Minority/Women & Disadvantaged Contractors – Projects receiving CDBG funding must notify and include minority and women contractors in their bidding process. *Executive Order 11625 (Utilization of Minority Business Enterprise) and Executive Order 12138 (Utilization of Female Business Enterprise)*

Davis-Bacon Prevailing Wage Rate Labor Standards – Any construction project receiving \$2,000 or more in CDBG or other federal funds, as applicable, will be required to comply with prevailing wage requirements.

Section 3 – Projects receiving CDBG funding that involve building or public facilities improvements must, to the greatest extent feasible, utilize area lower income residents for employment and training opportunities. *(24CFR Part 135)*

Environmental Regulations – All funded projects must undergo environmental review to ensure compliance with the National Environmental Protection Act regulations. The City of Bowling Green will conduct the environmental review with cooperation from the funded agency.

Title VI of the Civil Rights Act of 1964 – No person shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance on the grounds of race, color, or national origin. *(Public Law 99-352)*

Title VIII of the Civil Rights Act of 1969 – The Fair Housing Act prohibits discrimination in the sale or rental of housing, the financing of housing, or the provision of brokerage services, including otherwise making unavailable or denying a dwelling to a person, because of race, color, religion, sex, national origin, or familial status. *(Public Law 90-294)*

American with Disabilities Act – Projects receiving CDBG funding involving building or public facilities improvements must include accessibility and comply with the Americans with Disabilities Act Guidelines.

Any CDBG funded service must be provided in an accessible location.

Drug-Free Workplace – The agency shall make a good faith effort to maintain a drug-free workplace. *(24CFR Part 21)*

Anti-Lobbying – No federal funds shall be used for the purpose of 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. *(USC Title 31 Section 1352)*

Lead-Based Paint – Any activities involving the presence of lead-based paint shall comply with the requirements of 24CFR Part 35.

Community Development Block Grant Program – CDBG funds shall be used exclusively for eligible activities permitted by 24CFR Part 570.

The statements and application requirements of this proposal are correct and this application contains no misrepresentation or falsification, omission, or concealment of material facts and that the information given is true and complete to the best of my knowledge and belief, and no bids have been awarded, contracts executed, or construction begun on the proposed project.

Signature of Authorized Official (use blue ink)	Date
Printed Name	Title

**Section XXI. CERTIFICATION OF COMPLETENESS**

**I do hereby certify that the information contained in this application for Community Development Block Grant Funds is complete and accurate. I do also certify that if the information contained herein should change at any time, I will notify Scranton's Office of Economic and Community Development of such change and await their written response before proceeding with the project.**

\_\_\_\_\_  
**Authorized Representative's Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Name (please print)**

\_\_\_\_\_  
**Title**

