

**CITY OF  
SCRANTON**

Lackawanna County, Pennsylvania



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

**COMPLETED APPLICATIONS ARE DUE AUGUST 11, 2006**

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**CHRISTOPHER A DOHERTY**  
MAYOR

**SARA HAILSTONE**  
EXECUTIVE DIRECTOR  
OECD

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
 538 SPRUCE STREET  
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 SCRANTON, PA 18503  
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**APPLICATION FOR COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)**  
**PROGRAM YEAR THIRTY-THREE (33): JANUARY 1, 2007 – DECEMBER 31, 2007**

**PROJECT SUMMARY FORM**

<b>Applicant Name</b>			<b>Date</b>
<b>Applicant Address</b>			
<b>Contact Person/ Title</b>			
<b>E-Mail Address</b>			
<b>Telephone</b>		<b>Fax</b>	

<b>Project Name</b>			<b>Priority (for multiple applications)</b>
<b>Project Location/Address</b>			
<b>Brief Project Description</b>			

<b>Anticipated Outcome/Benefit</b>		
<b>Amount of CDBG Funds Requested</b> \$ _____ <b>Amount of Other Funds</b> \$ _____ <b>Total Project Cost</b> \$ _____	<p style="text-align: center;"><b>FOR OECD USE ONLY</b></p> Date Received: _____ Reviewed by: _____	

Please be advised that failure to demonstrate substantial progress related to the activity for which you are making application within two years of the date of award may result in cancellation of the activity and reversion of the funds back to the CDBG program.

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**2007 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**APPLICATION INSTRUCTIONS**

**Section 1 General Information**

The Community Development Block Grant (CDBG) Program was created through Title I of the Housing and Community Development Act of 1974, as amended. The primary objective of the CDBG Program is to create viable urban communities, by providing decent housing and a suitable living environment, and expanding economic opportunities principally for persons of low- and moderate-income.

As in previous years, the funding process will be extremely competitive. **Each applicant may submit no more than two (2) funding requests.** Applications will first be reviewed and evaluated to determine if they meet program threshold requirements. Applications meeting the threshold will further be evaluated for feasibility and presented to County Council.

In order for an application to be considered complete, proposals must include:

- Project Summary Form
- Core Application: All applicants must complete this section, which covers general project information.
- Nonprofit Corporation Attachment: This attachment must be completed by all nonprofit organizations submitting funding requests.

**Please submit one (1) copy of your complete application package to the Office of Economic and Community Development, to the attention of Ms. Liza Skelton, Project Coordinator by August 11, 2006 in order to be considered for funding.**

**Section 2 Project Evaluation Criteria**

Proposals will be reviewed based on the following:

**A. Threshold Requirements**

All proposed projects must meet the following criteria to be considered for funding:

1. Fully Completed Application: All sections of the application pertinent to the proposal must be completed in full. No partial proposals will be accepted. If you require assistance in completing this application, please contact our office to schedule an appointment with one of our CDBG program administrators.
2. Statement of Project Eligibility: The project must be an eligible activity as outlined in Section 3 of the Application Instructions.
3. Statement of National Objective Compliance: The project must meet one of the National Objectives of the CDBG Program as outlined in Section 4 of the Application Instructions.

## B. Project Feasibility

Projects meeting the threshold requirements will be evaluated against the set of selection criteria listed below.

1. Project Need and Public Benefit

- The extent to which the proposal demonstrates a comprehensive approach and coordinated effort toward addressing the identified need.
- The extent to which the proposal is designed to benefit low- and moderate-income persons within the City of Scranton.

2. Leveraging of Resources

- The extent to which the project leverages alternative funding and maximizes CDBG program funding.

3. Applicant Capacity

The applicant demonstrates the ability and identifies the resources necessary to implement the project in a timely manner.

- Applicants that have received previous CDBG funding will be evaluated on past program performance.

## Section 3 Statement of Project Eligibility

### A. Eligible CDBG Activities

Each proposed activity must be authorized by Program Regulations. Please review the category(s) that best describes your proposed project activity. You will be asked to demonstrate an activity's eligibility in Section 1 of the **Core Application**. Please note that this is a list of basic eligible activities. *If the activity you propose is not included below, contact OECD for further guidance.*

- **Real Property Acquisition, Demolition and/or Clearance** by a public agency or a private non-profit entity for an eligible public purpose.
- **Public Facilities and Improvements**, including acquisition, construction, reconstruction, rehabilitation (including the removal of architectural barriers to accessibility), or installation.
- **Public Services**, including but not limited to employment, services to the homeless or elderly, crime prevention, child care, health, drug abuse, education, fair housing counseling, energy conservation, welfare, or recreational needs.
- **Historic Preservation** of sites or structures that are either listed on or determined to be eligible for the National Register of Historic Places, or designated as State or local landmark or historic district by appropriate law or ordinance.
- **Economic Development Activities**, which consist primarily of acquisition, construction, reconstruction, rehabilitation or installation of commercial or industrial buildings, structures, and other real property equipment and improvements.
- **Planning Activities**, which consist of data gathering, analysis, and preparation of plans.

## B. Ineligible Activities

The following activities are generally ineligible for CDBG assistance:

1. Improvements to buildings, or portions thereof, used for the general conduct of government, except for the removal of architectural barriers
2. General government expenses
3. Political activities
4. Purchase of equipment (including construction equipment), furnishings and personal property, except when used in carrying out an eligible Public Service activity
5. Operating and maintenance expenses associated with public facilities
6. New housing construction, unless carried out by a Community Based Development Organization
7. Income payments to families or individuals

## Section 4 Statement of National Objective Compliance

Each eligible activity must meet the Program's National Objective, as listed below. Please use the list below and enter your proposed activity's National Objective on Section 2 of the **Core Application**. The documentation listed below the selected statement must be supplied to support the objective.

➤ **Benefit an area with at least 51% low- and moderate -income residents.**

The supporting narrative and documentation must address all of the following:

- a. A written determination of the service area; **and**
- b. A narrative describing the impacted area and the affected population, including your assertion that the area is primarily residential with at least 51% low- and moderate - income residents.

➤ **Benefit a limited clientele where at least 51 % are low- and moderate- income.**

The supporting narrative must include a description of the target population and describe how the program assures that clientele will meet at least one of the following eligibility requirements:

- a. The clientele benefiting from the activity is presumed to be low-and moderate income (e.g. elderly, handicapped persons, battered spouses, abused children, homeless persons, illiterate adults, persons living with AIDS, and migrant farm workers); **or**
- b. The proposed program has income eligibility requirements limiting the activity exclusively to low- and moderate-income persons; **or**
- c. Require information on family size and income so that it is evident that at least 51% of the clientele are persons whose family income qualifies as low- and moderate-income.

- **Create or retain permanent jobs where at least 51% of the jobs, computed on a full time equivalent basis, involve the employment of low- and moderate-income persons.**

The supporting narrative must:

- a. Indicate the amount of permanent jobs to be created and/or retained; **and**
- b. Include basic job descriptions and salary ranges for each job to be created and/or retained; **and**
- c. Include an indication of whether each job to be created and/or retained is part-time or full-time; **and**
- d. (Only if the activity will retain jobs) the recipient must document that the jobs would actually be lost without the CDBG assistance and that either or both of the following conditions apply with respect to at least 51 percent of the jobs at the time the CDBG assistance is provided: the job is known to be held by a low- or moderate-income person; or the job can reasonably be expected to turn over within the following two years and that steps will be taken to ensure that it will be filled by, or made available to, a low- or moderate-income person upon turnover.

- **Aid in the prevention or elimination of slum or blight on an area basis.**

The supporting narrative must address all of the following:

- a. The official designation of the area as a slum or blighted area under state or local law with a description of the boundaries; **and**
- b. Demonstration that a substantial portion of buildings and/or infrastructure is deteriorating; **and**
- c. A description of how proposal activity(s) will address one or more conditions, which contributed to the deterioration of the area.

- **Eliminate specific conditions of blight on a spot basis.**

The supporting narrative must include a description of the specific condition(s) of blight or physical decay and how the activity addresses the condition(s).

- **Eliminate specific conditions of blight in a designated urban renewal area.**

The supporting narrative must address all of the following:

- a. A map and description of the urban renewal area; **and**
- b. Documentation showing the activity is necessary to complete the urban renewal area plan.

- **Planning activities such as data gathering, analysis, and preparation of plans.**

The supporting narrative must address the following:

- a. Description of the proposed planning process/methodology; **and**
- b. Description of the final product and anticipated benefit.

**CITY OF SCRANTON**  
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**2007 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**CORE APPLICATION**

**Section 1 Statement of Project Eligibility**

On a separate sheet describe how the proposed project is a CDBG eligible activity as required in Section 3 of the **Application Instructions**. The statement of eligibility narrative must address the following in sufficient detail.

**a. Project Description and Location**

Provide a detailed project description, including project type, location, and applicable measurement of project scope (e.g. linear feet, persons/households served, # of facilities improved, etc.).

**b. Need Identification**

Describe the conditions warranting the project, including deficiencies to be corrected, and/or public health and safety hazards to be remedied. Discuss how the project was identified, including the method used to encourage public participation in the decision-making process.

**c. Anticipated Outcome/Benefit**

Describe how the proposed project will address the identified needs. Describe in detail the specific project activities supported by CDBG funds. Where applicable, describe how activities will impact the physical location and quantify the work to be performed (e.g. 4 storm sewer drains installed, 600 lf of street resurfaced, 75 individuals served per month).

**Section 2 Statement of National Objective Compliance**

On a separate sheet describe how the proposed project meets a CDBG Program National Objective as described in Section 4 of the **Application Instructions**. Discuss how the proposed activity will benefit the identified target population/area. The narrative must address all components listed below the Statement of National Objective selected from Section 4 of the **Application Instructions**. Attach supporting documentation as required.

**Section 3 Project Funding**

Identify the amount of CDBG requested along with the source, amount and status of any other funding that will be used to carry out the proposed activity. Attach a copy of the commitment letter from secured funding sources; attach a copy of any pending requests for funding and submit a schedule for securing the identified funds.

Source	Amount	Secured	Pending
CDBG			
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
<b>Total Funding</b>			



## Section 4 Project Budget

Attach a detailed project budget. Consider the following when preparing the project budget:

- a. A certified engineer or architect must prepare construction budgets. Submissions must be signed, dated and sealed by the certified professional.
- b. Provide a complete project budget by line item, including the use of non-CDBG funds as identified above.
- c. Funds may not be available to address a project in its entirety. To be considered for partial funding, public facility and infrastructure improvement projects must contain separate cost estimates for each work element proposed. Also, each work element must be prioritized within the budget.
- d. Construction projects must comply with Davis-Bacon prevailing wage rates. Do the project cost estimates reflect use of the current effective rates?  yes  no

## Section 5 Project Implementation Schedule

Assume notification of grant award is issued; contact our office to schedule a meeting with one of our CDBG program administrators so that we proceed with our internal procedures (Do not begin project until contracts are signed with this office).

## Section 6 Certifications

### A. Equal Opportunity/Accessibility

1. Does the applicant have written employment and personnel policies and practices, including equal opportunity guidelines?  yes  no
2. If no, use the space below to briefly explain.

1. Is the proposed facility or program accessible to persons with disabilities?  yes  no
2. If no, is the proposed activity designed to make the program/facility fully accessible?  yes  no
3. If no, use the space below to briefly please explain how handicapped clients/users are, or will be accommodated:

**B. Acquisition and Relocation**

1. Does the applicant own the property?  yes  no
2. If no, does the applicant lease the property?  yes  no
  - From whom? \_\_\_\_\_
  - For how long? \_\_\_\_\_
3. If you answered no to the first two questions, please list the property's current owner below:  
\_\_\_\_\_
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 or 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.

**C. Program Income**

Any income generated from the investment of CDBG must be returned to the City.  
Is the proposed project expected to generate any income?  yes  no

**Section 6 Certifications (Continued)**

**D. Application Content Certification (required from all applicants)**

I do hereby certify that the information contained in this application for 2005 Community Development Block Grant Funds is complete and accurate. I do also certify that if the information contained herein should change at anytime, I will notify the 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

**E. Conflict of Interest**

Please read the following Conflict of Interest Statements excerpted from the Code of Federal Regulations at 24 CFR 570.611 and indicate your acceptance on the proceeding signature page.

- (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 24 CFR 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 § 570.202; or grants, loans, and other assistance to businesses, individuals, and other private entities pursuant to §§ 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.
- (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.

**Section 6 Certifications (Continued)**

- (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 requirement of paragraph (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 attached 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.

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Title

**CITY OF SCRANTON**  
**OFFICE OF ECONOMIC AND COMMUNITY DEVELOPMENT**  
**2007 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**NONPROFIT CORPORATION ATTACHMENT**

**A. Organization Information**

Please provide the following information in narrative form. **If the listed documents have been provided to OECD as part of a 2007 application, please provide only documentation of any changes over the past year.**

➤ Background

Include the length of time the organization has been in operation, the date of incorporation, the purpose of the organization, and the type of corporation. Describe the type of services provided, the organization's capabilities, the number and characteristics of clients served, and license to operate (if appropriate).

➤ Personnel

Briefly describe the organization's existing staff positions and qualifications, and state whether or not the organization has a personnel policy manual with an affirmative action plan and grievance procedure.

➤ Financial

Describe the organization's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the organization's fiscal management including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

➤ Audit Requirements

In accordance with the Office of Management and Budget Circulars A-133, A-128, and A-110, **non-profit organizations that expend \$500,000 of federal funds or more in a year shall engage an independent certified public accountant to perform a single or program-specific audit for that year.** It is your responsibility to determine whether you are required to have such an audit performed and to engage a qualified practitioner to perform the engagement. If you have questions about how your organization might be affected by these federal audit requirements, please contact our office to speak with our Director of Finance or contact your accountant.

➤ Insurance/Bond/Worker's Compensation

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

➤ Additional Information

Include any other information that would aid our understanding of the organization and its capacity to carry out projects.

## B. Organizational Documents

Please submit the following documents:

- Articles of Incorporation/Bylaws  
These are the documents recognized by the State as formally establishing a private corporation, business or organization.
- Non-Profit Determination  
Nonprofit determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board.
- List of the Board of Directors or Other Governing Body  
This list must include the name, telephone number, address, occupation or affiliation of each member and must identify the principal officers.
- Authorization to Request Funds  
Authorization from the governing body of the organization to submit the funding request. This consists of a copy of the minutes of the meeting in which the governing body's resolution, motion or other official action is recorded.
- List of Authorized Representative(s)  
Documentation of the governing body's action authorizing the representative(s) of the organization to negotiate for and contractually bind the organization. Documentation consists of a signed letter from the Chairperson of the governing body providing the name, title, address and telephone number of each authorized individual.
- Organizational Chart  
An organizational chart must be provided which describes the organization's administrative framework and staff positions, which indicates where the proposed project(s) will fit into the organizational structure, and which identifies any staff positions of shared responsibility.
- Conflict of Interest Statement  
Section 5.D. (pages 4-5) of the **Core Application** contains excerpted Conflict of Interest Statements from the Code of Federal Regulations at 24 CFR 570.611(b). The applicant must review each statement and acknowledge acceptance by signing and dating in the space provided.
- Resume of Chief Program Administrator and Chief Fiscal Officer
- Financial Statements for the most recent fiscal year ended and Independent Auditor's Report (if your organization does not have an audit performed, please provide an Accountant's Review or Compilation Report or internally prepared financial statements)

**C. Content Certification**

I do hereby certify that the information contained in this attachment is complete and accurate. I do also certify that if the information contained herein should change while a contract is in effect between the City of Scranton Office of Economic and Community Development ("OECD") and the above named organization, I will notify OECD of such change and await their written response before proceeding with the project.

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Title