

# Community Development Block Grant

## FY2019 Application and Guidelines



**Department of Economic Development**

**Business and Community Services  
Community Development Block Grant  
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Community Development Block Grant Program  
2019 Guidelines

**Introduction:** Enclosed are the application and guidelines for the FY2019 Community Development Block Grant (CDBG) Program. This application shall be used to apply under the following categories:

- Community Facility – **due in office by 5:00 pm May 31, 2019**
- Demolition – **due in office by 5:00 pm May 31, 2019**
- General Infrastructure – **due in office by 5:00 pm May 31, 2019**
- Water and Wastewater – open cycle by invitation
- Economic Development – open cycle

**Planning:** The State has consulted with local officials on many occasions since 1981, and policy revisions in the program reflect the desires of local officials and citizens. In February, 2019, the State made available its FY2019 annual action plan. Citizen comments were taken into consideration in the development of these guidelines, and a final Action Plan for FY2019 of all program rules and policies were made available for public distribution on February 4, 2019.

**Application Process:** These application guidelines are printed in a step by step process for the benefit of the cities and counties seeking financial assistance. Please review the guidelines in their entirety prior to application.

- STEP 1: DETERMINE NEEDS
- STEP 2: REVIEW ELIGIBILITY AND CDBG REGULATIONS (General and Specific)
- STEP 3: SELECT GRANT WRITER AND PRELIMINARY ENGINEER/ARCHITECT
- STEP 4: REVIEW ADMINISTRATOR AND ENGINEER/ARCHITECT PRE-SELECTION PROCESS (OPTIONAL)
- STEP 5: CONSIDER ENVIRONMENTAL REVIEW
- STEP 6: COMPLETE PROJECT BUDGET PACKAGE
- STEP 7: CONDUCT PUBLIC HEARING
- STEP 8: DISCUSS PROJECT WITH CDBG STAFF
- STEP 9: COMPLETE AND SUBMIT APPLICATION

## SPECIFIC APPLICATION CATEGORIES

### COMMUNITY FACILITIES

**ELIGIBLE USES OF FUNDS:** Community facilities are senior centers, technical education facilities, training facilities, day care centers, community centers, sheltered workshops, recycling facilities, youth centers, 911, rural health clinics (facilities without dedicated state funding), telecommunications, shared spaces for the purposes of business development, group homes, transitional housing, special needs housing and all eligible activities designed to provide a service or group of services from one central location for a prescribed area of residents or users. This may include the infrastructure necessary to support the facility, as well. They must be owned by a local government or non-profit agency. It is the responsibility of the applicant to assure the non-profit status of the entity seeking assistance. The applicant must be confident of the capacity, history, organizational structure, existence in the community, and reputation of the non-profit. Applications for community facilities must provide evidence of the ability to operate and maintain the facility for the purpose intended. CDBG funds proposed for the day-to-day operation of the facility are not eligible.

Americans with Disabilities Act – This application category also includes those activities that assist with gaining compliance with the ADA law that include: elevators, chair lifts and large renovation to existing restrooms. No new restroom construction is allowed under this category. Only those activities necessary for compliance are eligible. General improvements or enhancements to buildings conducting government business are prohibited.

**TYPICAL NATIONAL OBJECTIVE USED:** 51% LMI proven either through area wide benefit, by survey or census, target area benefit by survey (the target area must be defined and defensible in terms of the use of the facility in order to use this option), or limited clientele. This latter option is reserved for facilities that address a specific group of beneficiaries that may be drawn from throughout the community or area. Please discuss the specific option chosen with the CDBG staff prior to initiation of the application.

**PRIORITIES:** Applications that prove a need for the facility to serve a large portion of the public and implement a variety of services and programs in order to achieve a higher return on the investment are ones which will receive consideration. Education and health/well-being programs are priorities. The facility must establish its ability to sustain the operation long after construction is complete. The Neighborhood Assistance Tax Credit Program, Youth Opportunities Program, and USDA Rural Development are examples where CDBG funds may match a larger project. For proposed ADA projects, priorities are county courthouses, city halls, and other public buildings for which accessible access is required under the ADA. Applicants must demonstrate the need for CDBG funding for ADA improvements.

**APPLICATION DEADLINE/TIMING/MAXIMUM:** Applications are due by 5:00 pm May 31, 2019 and will not be accepted prior to May 15, 2019. Application maximum is \$500,000 or \$5,000 per family benefiting.

**ADDITIONAL REQUIRED ATTACHMENTS:** Normal application plus preliminary architectural plan, proof of not-for profit corporation status (if applicable), any intergovernmental agreements necessary (if applicable), and other agency commitments. ADA applications also require clearance documentation from the State Historic Preservation Office (SHPO) and plan for full accessibility compliance, including timeline for completion.

**SCORING:** Applications are rated in a competitive process. Scores reflect standing in competition and allocated funds may be used to award as many as deemed suitable.

### WORKFORCE TRAINING INITIATIVE

**ELIGIBLE USES OF FUNDS:** Eligible capital improvement costs may include acquisition, new building construction, rehabilitation of existing properties, and related soft costs such as; appraisal closing costs; engineering and architectural costs; inspections; and permitting. "Programming" funding such as fixed equipment costs (simulators, welders, etc.) may also be eligible.

Direct stipends paid to students, tuition reimbursement, ongoing operating costs and the costs of traditional education curricula are not eligible.

**TYPICAL NATIONAL OBJECTIVE USED:** 51% LMI proven either through area wide benefit, by survey or census, target area benefit by survey (the target area must be defined and defensible in terms of the use of the facility in order to use this option), or limited clientele. The limited clientele option is reserved for facilities that address a specific group of beneficiaries that may be drawn from throughout the community area.

**REQUEST FOR PROPSAL/APPLICATION DEADLINE/TIMING/MAXIMUM:** Request for Proposals are due by 5:00 pm April 1, 2019. If invited to apply for full application (will be notified by May 8, 2019 or before), full application will be giving 60 days from date of invitation to submit. Application maximum is \$500,000 or \$5,000 per family benefiting.

**ADDITIONAL REQUIRED ATTACHMENTS:** Normal application plus preliminary architectural plan or engineering plan, proof of not-for profit corporation status (if applicable), any intergovernmental agreements necessary (if applicable), and other agency commitments.

**SCORING:** Applications are rated in a competitive process. Scores reflect standing in competition and allocated funds may be used to award as many as deemed suitable.

### DEMOLITION

**ELIGIBLE USES OF FUNDS:** Allows cities and counties to use CDBG funds with local matching funds and private matching funds to eliminate abandoned blighted structures, primarily residential. Owners of residential structures are required to commit to at least \$500 of the demolition cost of their structure as match. Owners of commercial structures are required to commit 20% of the demolition cost of their structure as match.

**TYPICAL NATIONAL OBJECTIVE USED:** Elimination of slum and blight is the only allowable national objective for demolition only projects.

**PRIORITIES:** Elimination of structures which are hazardous.

**APPLICATION DEADLINE/TIMING/MAXIMUM:** Applications are due by 5:00 May 31, 2019 and will not be accepted prior to May 15, 2019. Application maximum is \$200,000 for housing demolition only; up to \$300,000 if commercial demolition is included.

**ADDITIONAL REQUIRED ATTACHMENTS:** Normal application plus any applicable proof of not-for-profit status, intergovernmental agreement and other agency commitments, including any from the private sector. Include map of area showing all dilapidated structures and specific structures to be demolished, proof of ownership for all proposed properties, signed consent forms and colored pictures (pictures can be a color copy not required to be on photo paper). All units proposed for demolition must have been vacant for a minimum of 12 months; documentation from a utility service must be provided to prove vacancy for 12 months.

**SCORING:** Applications are rated in a competitive process. Scores reflect standing in competition and allocated funds may be used to award as many as deemed suitable. This process may include a site visit when deemed necessary.

## GENERAL INFRASTRUCTURE

**ELIGIBLE USES OF FUNDS:** Include, but are not limited to, bridge, street, drainage, broadband, and activities not addressed with an existing CDBG funding category. The projects must be CDBG-eligible publicly owned infrastructure activities and meet a CDBG national objective. This category allows the applicant to recognize and solve an infrastructure need particular to the community.

**TYPICAL NATIONAL OBJECTIVE USED:** The national objective will be specific to the project but may include 51% LMI (area wide or target area: census, survey, or limited clientele) or elimination of slums and blight, or a combination of the two.

**PRIORITIES:** Applicants that can substantiate a need or a series of needs and have a well thought-out solution with an emphasis on economic impact, sustainability and local impact (serving a large population with every dollar) will be given consideration. Applicants who leverage other creative funding sources to achieve a broader solution to a series of needs will be given consideration. Applicants who demonstrate local capacity to manage the project will be given consideration.

**APPLICATION DEADLINE/TIMING/MAXIMUM:** Applications are due by 5:00 pm May 31, 2019, and will not be accepted prior to May 15, 2019. Application maximum is \$500,000.

**ADDITIONAL REQUIRED ATTACHMENTS:** Normal application plus any applicable proof of not-for-profit status, intergovernmental agreement and other agency commitments, including any

from the private sector. Include any relevant architectural plans or engineering plan and a map. Include any supporting documentation that verifies the need such as professional studies, census information, etc.

**SCORING:** Applications are rated in a competitive process. Scores reflect standing in competition and allocated funds may be used to award as many as deemed suitable.

## DOWNTOWN REVITALIZATION

**ELIGIBLE USES OF FUNDS:** Public infrastructure and improvements that will significantly contribute to the revitalization or redevelopment of the downtown. These improvements may include, but are not limited to, water, sewer, electric, gas, sidewalks, curb cuts, street paving, parking, lighting, etc. Professional services and administration activities are also eligible. Marketing costs are not eligible. **The Downtown Revitalization Program requires \$1 of private, for-profit investment committed for every \$1 of CDBG funds requested.** Although there is not local public match requirement, successful applicants often include local cash and in-kind to support the projects. In addition, other scoring (non-match) is available for not-for-profit organization (including churches) that participate in the project.

**TYPICAL NATIONAL OBJECTIVE USED:** 51% LMI area benefit by census or survey; or, designated slum and blight. See the definition of slum and blight earlier in the guidelines. Here, the public improvements must be in general state of deterioration.

**PRIORITIES:** Funding is based on several factors. These include, but are not limited to, developing and utilizing adopted design guidelines, maintaining an active downtown organization capable of providing a coordinated redevelopment strategy, and tailoring the public improvements to be a planned and incremental part of a comprehensive revitalization process. Public improvements must be part of a comprehensive redevelopment process such as the Main Street approach, which balances activities in four basic areas: organization, promotion, design, and economic restructuring. The rehabilitation of historic properties must conform to the Secretary of the Interior's Standards.

**Timing:** The project may not begin, in any aspect, prior to DED's approval of the grant and completion of the environmental review process. An environmental review, which covers the entire project, must be conducted by the applicant, and may begin at any time, including prior to submission of the application.

**APPLICATION DEADLINE/TIMING/MAXIMUM:** Applications are due May 31, 2019 and will not be accepted prior to May 15, 2019. Application maximum is \$500,000.

**ADDITIONAL APPLICATION PAPERWORK REQUIRED:** Normal application plus design guidelines adopted (if any), detailed map of designated downtown area with improvements, and a map/description of current conditions if slum and blight national objective is used. Any relevant architectural plans or engineering plans.

**SCORING:** Applications are rated in a competitive process. Scores reflect standing in competition and allocated funds may be used to award as many as deemed suitable.

## WATER AND WASTEWATER

**ELIGIBLE USES OF FUNDS:** Construction related to water treatment and distribution, and sewer treatment and collection for publicly owned systems. Operation and maintenance activities are not eligible for participation. Improvements related to fire flow may be included in a CDBG assisted project; however, costs associated with that activity must be borne by the community. Projects must benefit 51% or more residential units. Engineering facility planning must result in an approved set of plans and specifications

**TYPICAL NATIONAL OBJECTIVE USED:** 51% LMI only (emergency projects funded under the National Objective of “threat to health and safety” must use another application form supplied by CDBG.)

**PRIORITIES:** All systems with adequate rate mechanisms that cover operation and maintenance, reserves, emergencies, and future capital improvements are given consideration. The state has established priorities that are listed by point value in the selection criteria sections of these guidelines.

**APPLICATION DEADLINE/TIMING/MAXIMUM: Water/Wastewater** Applications are open cycle (year-round), but **require an invitation** after completing the Missouri Water and Wastewater Review Committee (MWWRC) process. The process includes submission of a preliminary proposal and engineering report (with 5 copies plus original) to the MWWRC for review and comment. The MWWRC meets once per month and is made up of members from USDA-Rural Development, Missouri Department of Natural Resources, and the Community Development Block Grant program. Proposals are received and placed on a calendar for inclusion on the agenda. If the proposal is received after the first of the month, then it is placed on the agenda for the following month. **Engineering facility planning** applications must be listed on the DNR IUP or have a RD Letter of Conditions.

Application maximum is \$750,000 or \$5,000 per household benefiting for water or wastewater construction projects. At Department discretion, for communities with fewer than 100 families benefitting, the maximum grant is \$750,000 or \$7,500 per family benefitting, whichever is less. Engineering plans/specs applications are limited to 80% of ASCE table (included) not to exceed \$50,000. **If an applicant is awarded a plans/specs CDBG grant and also a later grant for project construction, the maximum aggregate CDBG total is \$750,000 or \$5,000/\$7,500 (see above) per user, whichever is less. The amount of the plans/specs grant will be deducted from the maximum allowable on the project construction grant.**

**ADDITIONAL REQUIRED ATTACHMENTS:** Normal application plus preliminary engineering report, map, commitment letters from other agencies, notice of successful bond election, rate schedule, and inter-governmental agreements if project is on behalf of a Public Water Supply District or Public Sewer District.

**SCORING:** Final applications must score a minimum of 65 points in order to achieve a recommendation for award.

**Environmental Review:** DED encourages the earliest possible completion of the CDBG environmental review for water/wastewater projects. MWWRC proposals that include CDBG will be encouraged to commence the CDBG environmental review at the time of the initial response letter from the MWWRC.

## ECONOMIC DEVELOPMENT

**ELIGIBLE USES OF FUNDS:** Application approval is based on compliance with eligibility criteria and availability of funds. The minimum eligibility criteria stated below will vary on different types of businesses based on the projected economic impact, such as proposed wages, spin-off benefits, and projected industry growth. The specific eligibility criteria for each type of business will be stated in the program guidelines.

Cycle – Open cycle based on availability of funding.

National Objective - Minimum 51% LMI Job Creation. At least 51% of the new jobs created must be occupied by applicants qualifying as a low and moderate income person (those individuals with household incomes at or below 80% of median household income.)

NOTE: When multiple CDBG funding tools are used for a project, CDBG funding from all programs is limited to \$25,000 per job. For purposes of any CDBG economic development project, a “start-up” company is defined by DED as being a company with a financial history of three years or less.

**Economic Development Industrial Infrastructure** - Grants for the improvement of public infrastructure, which cause the creation or retention of full-time permanent employment by a private company(s) benefiting from the infrastructure.

CDBG funding is limited to \$20,000 per job to be created, and a maximum grant of \$2 million for existing companies.

NOTE: For CDBG Industrial Infrastructure applications in which the participating company meets the definition of a “start-up company” (as defined by DED), the maximum allowable CDBG award will not exceed the lesser of: 50% of the cost of the public infrastructure activity(ies), \$20,000 per job to be created, or \$350,000

For all CDBG industrial infrastructure projects, see below for required local government financial participation.

The use of CDBG funds in Economic Development projects is not an entitlement and the per job maximums and total grant maximums are measures **not to exceed**. All projects will be evaluated on the least amount necessary to achieve the deal.

In addition, an assisted company must pledge and document private investment toward the total project costs (public and private costs combined) in an amount no less than the CDBG funds awarded for the project.

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Local government grantees are required to participate financially in the public infrastructure to the maximum extent possible within their means. That amount may be no less than 15% of the total CDBG funding requested from DED. The 15% may be provided in a combination of cash or in-kind. It may be used for the same public infrastructure activity as proposed for CDBG or it may be documented from another public infrastructure activity necessary to support, and included in, the same defined project for the same company location or expansion.

The local government participation must be committed by letter at the proposal stage, if applicable and/or by resolution in the application. In addition, please see above restrictions on the maximum amount available when the participating business is a start-up company.

If the local government does not have the funds to meet the 15% requirement or does not have a means to access the funds, documentation and a request may be provided to DED to waive this requirement. DED reserves the right to accept or deny any waiver request and limit its participation to no more than 85% of any public infrastructure cost, regardless of the formula calculation of benefits.

The Department has established manufacturing industries as the priority beneficiary of economic development infrastructure funding. However, certain service industries and incubators are eligible to participate in economic development infrastructure projects.

The use of CDBG economic development infrastructure funding is generally limited to publicly owned infrastructure. However, privately owned infrastructure may be addressed with CDBG funding when 1) regulated as a public utility; 2) is a unique circumstance when private funding is unavailable to address the infrastructure; and 3) the project will result in high impact to the local economy in terms of job creation and private investment.

**NOTE:** When using CDBG Economic Development Infrastructure funding as a match to the Missouri Department of Transportation's (MoDOT) Cost-Share Program, the CDBG application must be submitted to DED on or before the Cost-Share application is submitted to MoDOT.

**Missouri Rural Economic Opportunities Infrastructure Grant** - Grants for public infrastructure (including facilities if the facility is either publicly or nonprofit owned) for projects intending to facilitate significant transformation of the local economy and the creation or retention of full time permanent employment by a private company benefitting from the infrastructure. The development must be unique to the region and must:

Include activities that add value to the existing economic circumstances and create jobs and investment, and

Use existing assets of the local economy and transition those assets in such a manner that creates jobs and investment and

Add a technological component to an asset of the local economy and

Include either a federal partnership/participation or university partnership/participation.

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CDBG funds are limited to \$50,000 per job created/retained, and up to a maximum of \$1 million CDBG participation per project. CDBG funds may not be the majority share of funds in the total project costs.

Local government grantees are required to participate financially in the public infrastructure to the maximum extent possible within their means. That amount may be no less than 15% of the total CDBG funding requested from DED. The 15% may be provided in a combination of cash or in-kind. It may be used for the same public infrastructure activity as proposed for CDBG or it may be documented from another public infrastructure activity necessary to support, and included in, the same defined project for the same company location or expansion.

The local government participation must be committed by letter at the proposal stage, if applicable and, or by resolution in the application.

If the local government does not have the funds to meet the 15% requirement or does not have a means to access the funds, documentation and a request may be provided to DED to waive this requirement. DED reserves the right to accept or deny any waiver request and limit its participation to no more than 85% of any public infrastructure cost, regardless of the formula calculation of benefits.

The Department has established manufacturing, research, and technology industries as the priority beneficiary of these funds. However, certain service industries and incubators are eligible to participate in a Rural Opportunities Infrastructure project.

The use of CDBG funds is generally limited to publicly owned infrastructure. However, privately owned infrastructure may be addressed with CDBG funding when 1) regulated as a public utility, 2) is a unique circumstance when private funding is unavailable to address the infrastructure, and 3) the project will result in high impact to the local economy in terms of job creation and private investment.

***Action Fund*** - Loans, equity investments, or other type investments may be made to a **private company** for buildings, equipment, working capital, land, and other facilities or improvements in order to cause a project to occur which will result in the creation or retention of full-time permanent employment. Selection shall be determined by the need for assistance through a financial analysis of the company, and the documentation of the public benefit to be derived from the project.

**CDBG funds are limited to the lesser of \$400,000 per project, 50% of the project costs, and a maximum CDBG cost per job created or retained of \$35,000.**

**NOTE: For start-up companies, CDBG funds are limited to the lesser of \$100,000 per project, 30% of the project costs, and a maximum CDBG cost per job created or retained of \$25,000.**

The interest rate of the loan will to be determined by DED. The term of the loan will be determined by cash flow projections that will allow for the fastest repayment of principal and interest, but not more than 20 years or the depreciable life of the collateral assets. Working capital loans will have a term not to exceed 10 years. Nonprofit, public or quasi-public entities are not eligible to participate in the Action Fund program.

The Department has established manufacturing industries as the priority beneficiary of the Action Fund program. However, certain service industries are eligible to participate in the Action Fund program. Retail firms are not eligible to participate.

**Interim Financing (Float)** - Loans by grantee to a company for buildings, equipment, working capital, land, and other facilities or improvement where appropriate, in order to cause the creation or retention of a full-time employment. Basis of selection shall be the economic impact of the project and the amount of funds necessary to cause the project to occur.

**Loans are limited to 30% of the project costs, \$25,000 per job created or retained, or \$1 million per project, whichever is less.**

**NOTE: For start-up companies, loans are limited to 30% of the project costs, \$25,000 per job created or retained, or \$100,000 per project, whichever is less.**

Loans must be secured by a Letter of Credit from a financial institution acceptable to DED or other acceptable collateral. The grantee shall be made aware of the policy of state recapture of program income.

The Department will continue to offer a program that uses CDBG funds that may be already obligated to projects, but not distributed. Such a program puts such funds at an element of risk. The applicant for interim financing programs shall be made aware of the policy for local retention of program income. Activities which may be performed in this program may include, but are not limited to, interim construction financing and other incentives for the creation of jobs, primarily for low and moderate income persons. No more than \$10,000,000 per funding year will be obligated, in aggregate, for all float funded projects.

**Revolving loan fund/Microenterprise:** Loans by a grantee (or multiple grantees) to a business with less than five existing employees (including owners) for up to \$25,000 per business, or 70% of the project cost, whichever is lower. Funds may be used for machinery and equipment, working capital, land, and buildings. Loans to more than one company may be included in one grant to a city or county. At least one full-time equivalent job must be created or retained for each \$15,000 in loan proceeds with 51% or more to be low and moderate-income persons.

RLF for redevelopment purposes may be considered as well, if the proposed RLF is part of a defined redevelopment effort.

**Job Training:** A grantee may request funds to subcontract with a qualified non-profit or public entity to provide job training to persons who will be or are presently employed by a company (for profit or nonprofit). The funds would be used only for instructors, materials, or related training aids and expenses thereof. The maximum grant per company would be \$100,000, or \$2,000 per new job created, whichever is less. At least 51% of the new jobs created/retained must be low and moderate-income persons.

## APPLICATION PROCESS

### STEP 1 – DETERMINE NEEDS

**Needs Assessment:** Discuss with your governing body, department heads and citizens the priority public facility/public projects in your community. It is preferable, but not required, to have a Capital Improvement Plan, which identifies the needs of the community, and methods of financing those needs.

Citizen views on community needs must be solicited during the required public hearing and at any subsequent meetings in order to complete the Needs Assessment. The Needs Assessment contains sections that must be completed using public opinion, and those that may be completed using census data. The method used to stimulate enough public opinion to generate and compile a majority of the public is up to the community to determine. Please recognize special interest groups and continue to generate input from other sources.

Obviously, generating public participation and public opinion will require different approaches in different communities. There is no required percentage of participation from the public, and there is no required number of “meetings” that must be conducted to seek input. The applicant must be satisfied with the level of input and that the document accurately portrays a consensus of public opinion.

Public perception of the needs may differ from the needs identified by the governing body, the engineer, the grant administrator, the state, and/or the federal government. The assessment should not be altered or skewed to reflect the particular project. Rather, it should be used as a preliminary planning tool.

If the community has a written, adopted, current community plan, it may be substituted for the needs assessment. It does not replace the need for the public hearing.

**Determine Jurisdiction:** Once your need is identified and the proposed project begins to form, the community must look at jurisdictional boundaries appropriate to the project. If the project extends beyond a city’s boundary, then an application may have to be multi-jurisdictional. There are specific up-front requirements for multi-jurisdictional applicants. Please refer to those instructions in this guideline.

**Determine Responsibility/Ownership:** Ownership and responsibility are factors that must be examined by a community applying to the CDBG program. Does the unit of local government own or operate the facility or infrastructure or will the application have to be made “on behalf of” another sub recipient entity? Eligible entities, for which a city or county may sponsor an application, include other political subdivisions, organized districts, non-profit organizations, or, in some cases, for-profit businesses. Also, an applicant (or sub-applicant) must have legal jurisdiction to operate in (or serve) the proposed project area (or beneficiaries).

When more than one government is involved in the same application an intergovernmental agreement must be executed prior to application submittal. When a government sponsors an

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application on behalf of a not-for-profit, or other eligible non-governmental agency, a grantee/sub-grantee agreement must be executed prior to application submittal.

**PLEASE NOTE:** Prior to initiating the application process, please determine your eligibility status. Any grantee with a delinquent audit for any year, whether or not the grant is closed, is ineligible to apply for funding. This applies to all CDBG categories. Also, the eligibility of any current grantee with an **open** project awarded prior to March 15, 2017, which is not **closed** by the last business day of March 2019, is ineligible to apply in **any** FY2019 funding category. **All documentation necessary for closeout must be received by March 1, 2019.** This may apply to the grantee or the on behalf of applicant(s), whichever is applicable.

## STEP 2 – NATIONAL OBJECTIVE AND ELIGIBLE ACTIVITIES

Once the priority project has been identified, and it is determined that additional financial assistance is necessary, the community must determine if the project meets the minimum criteria of the CDBG program. The following eligibility criteria and regulations are related to all of the categories of funding by CDBG. The second half of Step 2 itemizes the eligibility criteria specific to each category.

### NATIONAL OBJECTIVE

**First**, apply the project to a National Objective:

- 1) The project beneficiaries are at least 51% low and moderate income;
- 2) The project eliminates slums and blight;
- 3) The project meets an urgent threat to health and safety. \*\*

\*\* There is a separate application for emergency projects.

#### a) 51% Low and Moderate Income

At least 51% or more of the persons **and** families benefiting must be low and moderate-income (LMI) for public projects and public facilities and 100% LMI for housing activities. LMI can be determined by HUD 2010 census data or by conducting a survey. LMI is generally calculated on an area basis, meaning either the entire jurisdiction of the applicant (or sub applicant) or a defined targeted area within that jurisdiction must be at least 51% LMI.

- 1) To be counted as a beneficiary of a project, LMI documentation must be obtained.
- 2) For every separate activity funded under the same project, there must be 51% LMI or the removal of slum and blight achieved.
- 3) For the purposes of determining eligibility, all persons and families must be counted. For the purposes of determining the amount of CDBG funding, all households must be counted.
- 4) A project may not be designed to benefit moderate-income persons to the exclusion of low-income persons.
- 5) HUD's HOME program income guidelines (as modified by the Housing and Community Development Act of 1987) shall be used to define low and moderate-income for the CDBG Program. The annual income limits are available by request from CDBG. If HUD has not published the applicable year's limits, then the community may use the previous year in order to begin the survey work. (New limits are usually available in March.)
- 6) "Income" should be viewed as a family's total adjusted gross income. Any person that belongs to an LMI family is considered an LMI person. Request a copy of the direct beneficiaries IRS Form 1040 or other equivalent income statements.

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- 7) To calculate the LMI percentage, divide the number of LMI persons by the total number of persons benefiting; and divide the number of LMI families by the total number of families benefiting. Both calculations must equal or exceed 51%. You may not round up to achieve 51%. The HUD census data is only available in the number of LMI persons. Therefore, in order to arrive at the correct number of LMI families, divide the number of persons by 2.47, which is the state average household size.
- 8) If you choose to survey for eligibility, there are three categories of income to report: 80% of the county's median income; 50% of county's median income; and, 30% of the county's median income. Eligible persons and families are all those below 80% of median income. The terminology may differ for the three categories but the percentages are the same. You may see: moderate-low-very low; or low-very low-extremely low; or low-very low-30% of median. It is important to distinguish the categories for the reporting purposes and not to eliminate any from the survey instrument sample.
- 9) It is the activity that will often provide the indication of who benefits. The availability of exact census data will determine whether census or survey may be used. In the CDBG program, an applicant determines the project to be either: area-wide benefit, or a target-area benefit. Secondly, the applicant indicates the method of LMI eligibility: census, survey, job-creation, or limited clientele.
- 10) The application may be an area-wide benefit if the activity benefits an entire city, county, township, or enumeration district, either 2010 census data or survey may be used to determine LMI benefit. Please note that the census data provided by HUD sometimes differs from the U.S. Census Bureau in terms of income and the total number of persons and families in a given area. DED may only accept the HUD data as valid.
- 11) If the activities proposed in an application only benefit a portion of the community, then a target-area benefit would be relevant. Most often, surveys are required to gain eligibility here. Census data by tract or block group may be used if the beneficiaries exactly match the tracts or block groups (and the entire block group data must be used). Contact CDBG at (573) 751-3600 to request assistance with census information.
- 12) If an application has one activity that benefits the entire community (such as water or wastewater treatment) and another activity that benefits only a section of the community (such as water distribution or wastewater collection) then the treatment activity must represent the majority of the project costs in order to use an area-wide benefit with census data.
- 13) Census and survey information may not be mixed to achieve eligibility. However, if a project benefits an entire community, plus additional persons outside the city limits, census data may be used for the residents of the community (if it exceeds 51%) and a survey may be conducted for those outside the city limits. The survey must also achieve 51% LMI independently in order to qualify the project.
- 14) Surveys are used to apply accurate information to an area that is not covered by census information, or to provide updated information to an area that has changed in the number

of persons and their income level during the decade for which the census is valid. There is a methodology applied to surveys intended to support CDBG eligibility and there is a time limit in which those surveys may be valid.

- 15) A completed survey that has **not met the 2 year expiration date** will be valid for 4 years.
- 16) There are two options for surveys: 100% solicitation or random.
- 17) For the first option, applicants must solicit 100% of the proposed beneficiaries. The survey response percentage is 80%. (This is only allowed when the project area contains 200 or fewer families). For larger surveys, applicants are required to perform a random survey.
- 18) A random survey requires a smaller sample to be surveyed, but requires that specific residences (chosen at random by CDBG) be surveyed. The survey response rate is 80% of the residences surveyed. A random survey is required if the service area contains more than 200 families. Contact CDBG staff for random number table if random survey is required. If the service area of the project consists of 200 or fewer families, a random survey is **not** an option. The occupants of apartments must be included in the population to be surveyed. Individual apartments are treated just like individual households. Seasonal homes, which are not a person's full time residence, are not considered occupied households.
- 19) Regardless of survey options, there are three acceptable procedures: door to door, which should involve trained personnel, where the survey is conducted at the residence by an interviewer. Techniques of not introducing bias into the survey should be used including question wording; probing to obtain clarification, and recording responses accurately. Modified door-to-door includes hand delivery of the survey but the task of completion is left to the resident. The deliverer may either wait or make arrangements to pick the survey up at a later date. Or, the survey may be made via mail.
- 20) Data from the survey must be extrapolated to reflect 100% of the population served by the project.
- 21) Telephone surveys are acceptable.
- 22) The survey instrument and tabulation sheet is made available to the applicant by CDBG. Please contact CDBG staff prior to any modifications of the document. **CAUTION:** A survey not properly implemented will result in either point deductions or ineligibility due to not meeting a national objective.
- 23) A map must accompany the application, showing the project area and beneficiaries. If a survey is used to prove LMI, then **the survey area and the houses surveyed should be clearly marked on the map.**
- 24) Meeting eligibility through job creation requires 51% of all jobs created by the project to be offered to and held by LMI persons. The total number of jobs created is directly related to the amount of CDBG assistance requested and is computed on a per job basis. For the purposes of this application, job creation is generally only relevant to Microenterprise.

**Employee Survey:** An Employment Status Statement (located in the Administrative Manual) is to be used to determine LMI status. The Business must survey each person hired. In addition, the Business is required to provide the ethnicity characteristics of all job applicants. The Business may utilize the Employment Status Statement as a method of collecting this data. The employee must sign the surveys, and the employee must be willing to verify his/her family income upon request of DED, HUD or the Applicant. The survey is voluntary and confidential; however, all surveys not completed will be assumed to be from non-LMI persons. The Business is responsible to administer the surveys and provide the completed surveys to the Applicant and DED.

- 25) Limited Clientele persons (or groups of persons) are presumed to be principally LMI, according to HUD. These include: abused children, battered spouses, elderly persons (age 62 and over), adults meeting the Bureau of the Census' definition of severely disabled, homeless persons, illiterate adults, persons living with AIDS, and migrant farm workers. The disability data used for limited clientele are "persons with a mobility or self-care limitation." This data is broken into persons age 16 to 64 and 65 and older. The data for both age groups must be added together in total. Do not use the data for "persons with a work disability."
- 26) In addition, if a project's activities are limited exclusively to LMI persons (such as a food pantry with income restrictions either equal to or more restrictive than the LMI income limits for that county), the project may meet the LMI national objective through limited clientele. Or, if the project can document, via information on family size and income, that at least 51% of the clientele are persons of LMI status, the project may meet the LMI national objective through limited clientele.
- 27) Limited Clientele projects are those that **exclusively** serve a group defined as limited clientele. If this criterion is met, then no further LMI documentation, either by census or by survey is necessary. If the project is not exclusive or designed for only that group or groups, then LMI eligibility must be proven by another method.

## **b) Elimination of Slums and Blight**

To prove this HUD national objective for **Demolition**, an applicant must propose one of the two different methods.

1) The **first** method occurs when a structure is blighted when it exhibits objectively determinable signs of deterioration sufficient to constitute a threat to health, safety and public welfare.

Communities participating in this activity must, at a minimum, determine blighted structures by applying existing dangerous building ordinance, building code level of violation or applicable occupancy or habitability designation or code violation in a manner consistent with their ordinance. The ordinance, code violation or designation must be applied to the specific structure, not to the area as a whole. The predominance of blight in an area does not allow blight to be assumed for each structure inside the area.

2) The **second** method covers area blight, and includes submitting a resolution passed by the governing legislative body declaring the area blighted in accordance with 24 CFR 570. As stated, the definition of the national objective *elimination of slum and blight* reads as follows. The area meets the conditions of either (a) or (b):

a) at least 25% of the properties throughout the area experience one or more of the following conditions:

1. physical deterioration of buildings or improvements,
2. abandonment of properties
3. chronic high occupancy turnover rates or chronic high vacancy rates in commercial or industrial buildings,
4. significant declines in property values or abnormally low property values relative to other areas in the community, or
5. known or suspected environmental contamination.

b) the public improvements throughout the area are in a general state of deterioration.

To qualify under this HUD national objective for **Downtown Revitalization** on an area basis, an activity must meet all the following criteria:

- 1) The area must be officially designated by the applicant and must meet a definition of a slum. Blighted, deteriorated, or deteriorating area under State or local law. (For these purposes, it is necessary to formally designate/declare the area to be blighted but the area must meet the definitions for designation.)
- 2) The area must exhibit signs of economic disinvestment or the public improvement throughout the area must be in a general state of deterioration.
- 3) Documentation must be maintained by the grant recipient on the boundaries of the area and the conditions that qualified the area at the time of its designation. The applicant must establish definitions of the conditions and maintain records to substantiate how the area met the slum or blight criteria.
- 4) Activities to be assisted with CDBG funds must be limited to those that address one or more of the conditions that contributed to the deterioration of the area. Note that this does not limit the activities to those that address the blight or decay itself, but it allows an activity to qualify if it can be shown to address a condition that is deemed to have contributed to the decline of the area.

### **c) Urgent Threat to Health and Safety**

There are no CDBG funding categories in this application that will accept the use of this national objective. The Urgent Threat to Health and Safety is reserved for the Emergency category and a separate application is used. The criteria for this national objective are contained in that application.

**Categories of Funding**

**Second**, establish the appropriate category in which to apply and determine whether your budget is consistent with the application maximum and minimum as well as the per-household beneficiaries established.

PROGRAM	MINIMUM	MAXIMUM
a. Community Facility	\$10,000	\$500,000 or \$5,000/household
b. Demolition	\$10,000	\$200,000 for housing demolition only, up to \$300,000 including commercial demolition
c. General Infrastructure	\$10,000	\$500,000, or \$5,000/household
d. Economic Development	\$20,000	Varies
e. Water and Wastewater	\$10,000	\$750,000 or \$5,000/\$7,500 household (see water/wastewater section for details)
f. Water/wastewater engineering plans/specs	N/A	Up to \$50,000 or 80% of the ASCE Table (included)

**Eligible Applicants/Sub-applicants and Multi-jurisdictional applications**

**Third**, assure that you are either an eligible applicant or sub-applicant. The state may only, by Federal law, distribute CDBG funds to “units of general local government” in non-entitlement areas of Missouri, which are incorporated cities, counties, and villages. Other political subdivisions or non-profit corporations may be sub-applicants and are required to gain a sponsorship from a city, county or village. Businesses and for-profit entities may be the recipient of CDBG funds under certain circumstances.

- 1) Cities and counties in Missouri that are in the HUD “entitlement” program, and are not eligible for “non-entitlement” funds are: Blue Springs, Columbia, Florissant, Independence, Jefferson City, Joplin, Kansas City, Springfield, St. Joseph, Lee’s Summit, St. Louis (city), Jefferson County and the cities within Jefferson County who have elected to participate in the County entitlement program (Arnold, Byrnes Mill, Cedar Hill Lakes, Crystal City, De Soto, Festus, Herculaneum, Hillsboro, Kimmswick, Lake Tekakwitha, Olympian Village, Pevely, Scotsdale), St. Charles County and the cities within St. Charles County who have elected to participate in the County entitlement program (Cottleville, Lake St. Louis, New Melle, St. Charles, St. Paul, St. Peters, Weldon Spring, and Wentzville), St. Louis County and the cities within St. Louis County who have elected to participate in the County entitlement program (Ballwin, Bel-Nor, Bel-ridge, Bella Villa, Bellefontaine Neighbors, Bellerive Acres, Berkeley, Beverly Hills, Black Jack, Breckenridge Hills, Brentwood, Bridgeton, Calverton Park, Charlack, Chesterfield, Clayton, Cool Valley, Country Club Hills, Crestwood, Creve Couer, Dellwood, Edmundson, Ellisville, Eureka, Fenton, Ferguson, Flordell Hills, Frontenac, Glen Echo Park, Glendale, Grantwood Village, Green Park, Greendale, Hanley Hills, Hazelwood, Hillside, Jennings, Kinloch, Kirkwood, Lakeshire, Manchester, Maplewood, Marlborough, Maryland Heights, Moline Acres, Normandy, Northwoods, Norwood Court, Oakland, Olivette, Overland, Pacific, Pagedale, Pasadena Hills,

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Pasadena Park, Pine Lawn, Richmond Heights, Riverview, Rock Hill, Shrewsberry, St. Ann, St. John, Sycamore Hills, Twin Oaks, University City, Uplands Park, Valley Park, Velda City, Velda Village Hills, Vinita Park, Webster Groves, Wellston, Wildwood, Winchester, and Woodson Terrace).

- 2) In determining the eligible sponsor of an "on behalf of" application, the applicant must be addressing its own community development needs. Otherwise, the application is ineligible. Agencies having members appointed by the mayor/council or county commission are not considered part of the city or county, therefore, must be represented in an "on behalf of" application. If a city or county submits an application on behalf of a non-profit corporation, proof of the non-profit status must be included with the application. This proof normally comes in the form of a letter of good standing from the Secretary of State's office designating the entity as a not-for-profit corporation.
- 3) **An intergovernmental agreement or grantee/sub-grantee agreement**, which specifies decision-making authority, administration, contract compliance, reports, etc., must be executed prior to the submission of an application. In all instances, the city or county, as the State's grantee, has final responsibility for the project implementation and compliance. The city or county must retain financial responsibility, and the required audit will be of the grantee (city or county). Article VI, Section 16 of the Missouri Constitution and RSMo 70.210 - 70.320 should be reviewed in such cases.
- 4) **Other political subdivisions** may include organized districts formed under the state statutes. Any district sponsored by a city or county must have **legal jurisdiction to serve the area** proposed in the application prior to the submission of the application. Cities and counties may have "annexation" as a contingent item for funding, but not-for-profits and political sub-divisions may not.
- 5) **Multi-jurisdictional applications** are necessary when a project benefits persons outside one jurisdiction. All of the jurisdictions benefiting must participate in the application process.
  - a) Selecting the **lead applicant** may either occur by choosing the location where the majority of beneficiaries lie, or by choosing the location where the construction or majority of construction is taking place.
  - b) The **public hearing(s)** must either be advertised in a manner sufficient to reach all of the potential beneficiaries and scheduled for a place that is central and easy to access, or must take place in each jurisdiction using separate notices and sites. If only one hearing is convened, then a public official from each jurisdiction must be in attendance in order to respond to questions from their constituents.
  - c) The **needs assessment** document may be reported as one regional document or separate documents according to the desires of the jurisdictions.
  - d) All applications received that are multi-jurisdictional must contain the following originally signed forms from **each jurisdiction**: Civil Rights forms; Statement of Assurances; Resolution; Section 3; Disclosure Reports; and Anti-Lobbying. Residential

Anti-displacement forms must be submitted signed by each jurisdiction where acquisition and construction may occur.

- e) All multi-jurisdictional applications must include inter-governmental agreements.
- 6) Eligible applicants or sub-applicants may apply for specific projects that benefit, or are operated in conjunction with, **non-profit and for-profit businesses or developers**. In most cases, the applicant or sub-applicant will convert the grant to a loan when providing assistance to a project involving a for-profit business or developer.

**Eligible Activities:**

**Fourth**, select only eligible activities. Section 105(a) of the Community Development Act and HUD regulations specified the activities that are eligible for CDBG assistance. A general listing of eligible activities is below, and a detailed description is provided in 105(a) of the Act and in 24 CFR 570.482. While all activities may be eligible, some program categories may prioritize the funding of some activities.

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|--|--|
| 1. Property Acquisition                | 25. Rehabilitation of Private Residential Properties |
| 2. Property Disposition                | 26. Rehabilitation of Public Residential Properties  |
| 3. Property Clearance/Demolition       | 27. Payments for Loss of Rental Income               |
| 4. Architectural Barrier Removal       | 28. Relocation                                       |
| 5. Senior Center                       | 29. Code Enforcement                                 |
| 6. Community Facilities                | 30. Energy Use Strategy                              |
| 7. Centers for the Handicapped         | 31. Non-Federal Share Payment                        |
| 8. Historic Properties                 | 32. Interim Assistance                               |
| 9. Water Treatment/Storage             | 33. Planning   |
| 10. Sanitary Sewer Collection          | 34. Commercial or Industrial Facilities              |
| 11. Storm Sewers                       | 35. Administration                                   |
| 12. Flood and Drainage Facilities      | 36. Engineering/Design                               |
| 13. Streets (or Roads)                 | 37. Housing Rehab/Demo Inspection                    |
| 14. Street Accessories                 | 38. Engineering/Construction Inspection              |
| 15. Parking Facilities                 | 40. Audit  |
| 16. Bridges                            | 41. Port Facility                                    |
| 17. Sidewalks                          | 42. Airports   |
| 18. Pedestrian Malls                   | 43. Natural Gas Lines                                |
| 19. Recycling or Conversion Facilities | 44. Electrical Distribution Lines                    |
| 20. Parks and Recreation Facilities    | 45. Rail Spurs                                       |
| 21. Fire Protection/Facility Equipment | 46. Lighting   |
| 22. Solid Waste Disposal Facilities    | 47. Other Professional Services                      |
| 23. Other Utilities                    |  |
| 24. Public Service/Supportive Services |  |

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| 48. Security Fencing  | 61. Lead-Based Paint Risk Assessment   |
| 49. Site Preparation  | 62. Asbestos Removal   |
| 50. Purchase Land/Building  | 63. Job Training*  |
| 51. Facility Construction Renovation                                      | 64. Home-Ownership Counseling  |
| 52. Machinery/Equipment   | 65. Substantial Reconstruction of the reconstruction of private residential properties on same lot- up to \$15,000 |
| 53. Working Capital   | 66. Water Distribution   |
| 54. Sewage Treatment  | 67. Lead Reduction NOT incidental to Rehab   |
| 55. LDC Homeownership Assistance – up to \$15,000 to purchase a new home  | 68. Asbestos Inspection  |
| 56. Legal   |  |
| 57. 911 Emergency Systems   |  |
| 60. Homeowners Assistance- up to \$5,000 to purchase an existing DSS home |  |

\*Job training activities must be: 1) approved by the Missouri Workforce Development Board or the Private Industry Council, and/or 2) be related to training for the jobs consistent with the Missouri Strategic Initiative for Economic Growth: or 3) approved by CDBG prior to submission of the application.

Ineligible Activities are as follows:

- 1) Maintenance or operation costs. \*\*
- 2) General government expenses.
- 3) Political activities.
- 4) Improvements to city halls and courthouses, except those required to meet the Americans with Disabilities Act. Note: CDBG funds used for ADA projects may only convert existing facilities to accessibility. CDBG funds may not be used to add new facilities.
- 5) Purchase of equipment, except for fire protection, public services, landfills or recreation.
- 6) Income payments, except for loss of rental income due to displacement.
- 7) Application preparation costs or a bonus award for writing a successful application.
- 8) Religious purposes.

\*\* Maintenance and Operation Costs: Any cost that recurs on a regular basis (generally, less than five years) is considered a maintenance or operation cost, therefore ineligible for CDBG assistance. It is the responsibility of the applicant to provide these revenues from user fees or taxes. Additionally, if such maintenance or operation revenues are not sufficient to adequately support a facility or service assisted by CDBG funds, the project will not be awarded. The determination whether such revenues are sufficient will be made by the applicant's professional engineer, the Department of Natural Resources (for related projects), and/or DED.

The preliminary engineering report required for all public works projects should discuss the revenues available for operation and maintenance of the facility or service.

**General applicant compliance**

**Fifth**, assure that your application is consistent with the general compliance necessary for CDBG.

- 1) **Applicable Laws, Regulations and Executive Orders:** Applicants must comply with all applicable state and federal laws, including but not limited to, statutes prohibiting discrimination against persons because of race, color, religion, sex, national origin, disability and age. These laws, included in the Statement of Assurances, require non-discrimination in the design, construction and operation of the program. By signing the Statement of Assurances, applicants agree to abide by all applicable laws. Pursuant to federal guidelines, future CDBG funds may be denied to any applicant who uses CDBG funds in a way, which violates any of the above laws or any law included in the Statement of Assurances as detailed in the application process.
- 2) **Contingent Funding:** If an applicant proposes other state, federal, local or private funds, or any other contingency item, which are unconfirmed at the time of application, they will be ineligible for FY19 funds. The only exception is a bond election. Applicants should notify DED of election results within a week of the election. If election fails, the application will be withdrawn from the consideration.
- 3) Acquisition and Relocation Regulations:
  - a) **Uniform Act:** All project related acquisitions are subject to the requirements of this regulation no matter what source of funding is actually used for the acquisition activities. However, all project acquisitions that are completed prior to the application public hearing are not subject to the Uniform Act requirements.
  - b) **Section 104d Anti-displacement Act:** This regulation governs the use of CDBG program funds and emphasizes the anti-displacement of households. However, if displacement is necessary to carry out the project, relocation assistance must be offered to persons displaced by private acquisition, demolition, and the conversions of units to uses other than low-to-moderate income dwelling units. Grantees will be required to replace every occupied unit, or one that has been occupied within the previous 12-month period, that is demolished or converted to non-LMI housing. Non-LMI housing means that the subsequent mortgages or rents will exceed HUD's fair market rents. The replacement of the demolished or converted houses must be conducted on a one-for-one basis within three years. Government-assisted or LIHTC units may be used as replacement units. An exception to the one-for-one rule is available where it is determined that an adequate supply of habitable, affordable LMI units exists in the grantee's jurisdiction. Applicants are required to submit a plan (see Form N) that meets the anti-displacement requirements of Section 104(d). An applicant should contact DED for further information or clarification of these regulations.

- 4) An applicant should be generally familiar with the regulations that the State and Federal governments have attached to the program, which must be complied with if your project is awarded CDBG funds. The rules include **procurement, labor standards, civil rights, fair housing, environmental review, financial recordkeeping and reporting, property acquisition, and contract management.**
- 5) **Closed Records:** Section 620.014, RSMo, provides that records and documents, submitted to DED or other public entity, relating to financial investments in a business, sales projections or other business plan information, which may endanger the competitiveness of a business, may be deemed a *closed record* as such term is defined in section 610.010, RSMo. Income documents and records from direct beneficiaries are also considered closed records.
- 6) **Penalties for Non-Compliance:** Section 620.017, RSMo, states that DED must require any entity, which receives financial assistance from one of its programs, to use the proceeds solely as required by the program, and any recipient who fails to comply with any requirement shall return any remaining proceeds to DED, and any proceeds expended shall be repaid to DED. Specifically for projects using job creation, the Participation Agreement states that in the event the required New Jobs are not achieved, the pledged capital investment is not expended, or that less than 51% of the New Jobs are LMI, DED will require full or pro-rated payment of the grant, plus penalties of 10% annual interest accrued from the date of project commencement, unless unforeseen economic events have occurred.
- 7) **Conflict of Interest - Persons Covered:** The conflict of interest provisions of this policy shall apply to any person who is an employee, elected or appointed official, agent, consultant (including grant administrator; engineers and architects), officer, or any immediate family member or partner of the above, of the recipient, or any designated public agencies, or sub-recipients which are receiving funds from the Missouri Community Development Block Grant program.
- 8) **Applicability:** In the area of procurement of supplies, equipment, construction and services by recipients, sub recipients or designated public agencies, the conflict of interest provisions in 24 CFR 570.611, as applicable, shall apply. In all cases not governed by 24 CFR 570.611, the provisions of this policy shall apply. Such cases include the acquisition and disposition of real property and the provision of assistance by the recipient or sub recipients to individuals, businesses and their private entities in the form of grants, loans, or other assistance through eligible activities of the program, which authorize such assistance.
- 9) **Conflicts Prohibited:** Except for approved eligible administrative or personnel costs, no persons described above (persons covered) who exercises or have exercised any functions or responsibilities with respect to CDBG activities 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 personal or financial interest or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder, either for themselves or those with whom they have family or business ties, during their

tenure or for one year thereafter. For the CDBG program, the above restrictions shall apply to all activities that are a part of the Grant Agreement, and shall cover any such interest or benefit during, or at any time after, such person's tenure. No elected official with any association of their entity as a CDBG recipient, shall be compensated in any form for performing administration of a CDBG project, and shall not receive fees from any source, including finders fees, realtors' or brokers' fees, from a Business or other parties involved in a CDBG assisted project.

- 10) **Exceptions:** DED may grant an exception to a conflict after a determination has been made by the State that the exception will serve the purposes of the Housing and Community Development Act of 1974 and the State's adopted Consolidated Plan. This exception will only be considered after the recipient has provided, to DED, written documentation detailing a disclosure of the nature of the conflict accompanied by an assurance that there has been a public disclosure of the conflict, a description of how the public disclosure was made, and an opinion of the recipient's attorney that the interest for which the exception is sought would not violate state or local law.

In determining whether to grant an exception, DED shall consider the following factors, where applicable:

- a) Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project which would otherwise not be available,
  - b) Whether an opportunity was provided for open competitive bidding or negotiation,
  - c) Whether the person affected is a member of a group or class of low to 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,
  - d) 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,
  - e) Whether the interest or benefit was present before the affected person was in a position as described above (conflicts prohibited),
  - f) 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
  - g) Any other relevant considerations.
- 11) **Employment of Unauthorized Aliens (RSMo 285.530):** All local government applicants, and all sub applicants (when relevant to the application), must be enrolled in a federal work authorization program (E-verify). See Form V in application for certification and requirements.

### **Grant administration options**

**Sixth**, determine how the grant is to be administered. The Applicant has the responsibility to complete the procedures and requirements as established under the Statement of Assurances and the CDBG Administrative Manual. The Administrative Manual, which is available upon request, specifies procedures for all types of CDBG projects.

- 1) **Administrative Methods:** There are three different methods that have been used to administer CDBG projects:
  - a) Use of existing staff members. If persons presently on staff have sufficient time to devote to administer the project, then this method is preferable if those persons are adequately qualified. However, CDBG funds cannot be used to replace salaries or expenses, which previously had been paid by the grantee. Also, no city or county employee, elected or employed, can be contracted with to perform any portion of a grant, either by the grantee or by an outside firm.
  - b) Hiring of new staff members. Applicants proposing this method should consider that training a new staff member may cause a delay in program implementation, and it may be difficult to find qualified persons for temporary, part-time, positions. There is no guarantee an applicant will receive funds on an ongoing year-to-year basis.
  - c) Contract with an outside firm or agency. If CDBG funds are used to pay for administrative services, the service must be procured according to CDBG guidelines. Engineering firms may qualify to administer a grant. **However, the same firm or any principal or employee thereof, cannot perform both engineering and administration on the same project, regardless of the source of payment.**

Cities and counties which are member organizations of a regional planning commission (RPC) or council of governments (COG) may contract directly with that RPC or COG if both of the following conditions are met:

1. The city or county, as the CDBG grantee, must be a dues-paying member in good standing of the RPC or COG for a minimum of 12 consecutive months prior to entering into the administration contract, and must be able to provide documentation of its membership in good standing.
2. The CDBG application was prepared by the RPC or COG.

**If the city or county itself or another third-party entity assisted the city/county with the application preparation, grant administration must then be procured in accordance with CDBG guidelines. City and county grantees are not required to use the RPC/COG, and may elect to procure for grant administration even if both of the above conditions are met. This is simply an option that city and county grantees may use.**

- 2) Depending upon the scope of the project, administration activities may include, but are not limited to, environmental review, procurement, contract management, labor standards,

equal opportunity/civil rights, property management, citizen participation, acquisition/relocation, and close-out.

- 3) Pre-agreement costs - DED encourages the earliest possible completion of the CDBG environmental review for water/wastewater projects. MWWRC proposals that include CDBG will be encouraged to commence the CDBG environmental review at the time of the CDBG invitation. See Step 4 below regarding preselection of grant administration services, including environmental review preparation.
- 4) The amounts made available by CDBG to help defray the costs of administration vary in each of the categories. Please consult the detail found elsewhere in the guidelines.

### **STEP 3 – SELECT GRANT WRITER AND PRELIMINARY ENGINEER/ARCHITECT**

The choices for the services of application preparation and preliminary engineering and the responsibility for payment of these services belong to the applicant. CDBG has no restrictions on who may prepare your application and the only restriction regarding your choice of engineers or architects is that he/she must be a registered professional engineer or a registered professional architect in Missouri.

The costs associated with services to assist the community in the application preparation are NOT eligible costs under the CDBG program.

There are no restrictions regarding the responsibility for completion of specific parts of an application if a community chooses to separate the parts. The Chief Elected Official and Budget Officer must understand their responsibility for the accuracy of all documents in the application for which they are required to sign.

A preliminary engineering/architectural report must be prepared by a registered professional engineer for any public facility improvement, or by a registered architect for the construction or rehabilitation of a building, except for residential rehabilitation. The report must be sufficient in scope to analyze the need, determine the most appropriate solution, provide a cost estimate, and determine the level of operation/maintenance necessary to sustain the improvement.

A sample preliminary engineering report for water and wastewater projects is available from the CDBG office. That format may be changed to adapt to the other CDBG categories that require it.

The following is a sample content of the preliminary architectural plan.

#### **Architectural Report Content**

- 1) Name of applicant or owner of the facility
- 2) Name, address, telephone of the architectural firm
- 3) Date of report

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- 4) Statement summarizing the goals of the project and the design principles governing the project (e.g. principles may be public spaces receive the highest level of preservation; preserving the primary elevations of the building was important; retaining as many original design elements as possible was important, etc)
- 5) Photographs of existing conditions exterior and interior labeled and keyed to the site map and floor plans. Preliminary photographs can be 3x5 color or black and white. Photographic documentation requirements are found in the ADA technical assistance manual, available by request from the CDBG office.
- 6) Topographic Map
- 7) Area map: Shows where the project is located in the city or town
- 8) Site map: Shows building[s]/site and adjacent street, with appropriate notations, such as a north arrow and main entrance of the building.
- 9) Proposed floor plans: Complete scaled floor plans of the proposed structure. Indicate all new construction.
- 10) Demolition Plans: Complete scaled floor plans of the existing structure. Indicate all proposed demolition. Elevation sections (even in sketch form) must be submitted as part of the preliminary architectural plan.
- 11) Elevations: All elevations of the existing building. If any elevation is to be changed, those changes must be noted.
- 12) Sections: Sections should be provided when necessary to understand the project. Call the State Historic Preservation Office (SHPO) to determine if Sections are necessary.
- 13) Specifications: Specifications must be provided; general notes are acceptable in the preliminary stages of a project.
- 14) Architect should include in plan a statement or certification that all improvements are consistent with the Americans with Disabilities Act and related laws.

Submit renderings if available.

**Note:** Floor plans, elevations and sections must be drawn and notated with standard architectural forms and notations (e.g. plans must be drawn accurately; the entire building should be drawn; the width of the walls should be shown; doorways and door swings indicated, materials indicated when appropriate, etc.).

## **STEP 4 - REVIEW THE ADMINISTRATOR AND DESIGN ENGINEER/ARCHITECT AND OTHER PROFESSIONALS PRE-SELECTION PROCESS (OPTIONAL)**

The choice of who administers and designs a project is the applicant's choice. It might very well be the most important decision an applicant makes. How it is done depends upon who is expected to pay for the service. If the applicant intends to ask CDBG to pay for all or a portion of the fees, then the CDBG procurement guidelines must be followed. See section in Step 3 regarding direct contracting with regional planning commission/council of local government.

It is possible to procure for the grant writer and administrator in one step. It is also possible to procure for the preliminary engineer and the design engineer in one step. The key is to keep the costs associated with each activity separate.

A contract may not be signed incurring CDBG funds prior to grant award, unless a statement is included which states the contract is "contingent" upon CDBG funding. The applicant must protect itself from any obligation in the event that CDBG funds are not awarded.

**Environmental Review:** If a grantee wishes to commence the environmental review process prior to grant approval, but wants those costs to be eligible for CDBG if the project is funded, the grantee must pre-select a grant administrator in accordance with CDBG procurement requirements, who will then either prepare the environmental review or subcontract it to another firm or individual. If the project is awarded CDBG funds, and this procurement of grant administrator meets minimum CDBG requirements, the portion of the administration cost related to environmental review will then be an eligible CDBG cost. If the project is not awarded CDBG funds, any such costs are the responsibility of the grantee.

Applicants must comply with RSMo 1983, Section 8.285-8.291, in the procurement of architectural, land surveying, or engineering services, unless the applicant has adopted its own procedure. The CDBG program has adopted 2 CFR 200, except the maximum allowance for small purchases shall remain at \$25,000. Procurement, as discussed in 2 CFR 200, must be complied with if CDBG funds are involved in the compensation of professional services.

Applicants must comply with procurement standards regarding "Other Professional Services". If the project requires "Other Professional Services", additional procurement may be required. The type of procurement procedure necessary is dependent upon the service. If the service does not require a licensed engineer then the applicant must procure using a "Request for Proposal". This service cannot be included as part of the engineering contract.

**Grant Administration:** The process of pre-selecting a grant writer and grant administrator is as follows:

- 1) The applicant must fully understand the definition of the term "lowest and most responsible" bidder. Applicants must base the selection of their desired professional services on the combination of the lowest (referring to price or cost) and most responsible

(referring to the individual/firm who offers the best qualifications in regard to the evaluation factors that the community decided were important).

- 2) The applicant must determine which evaluation factors (from the list found on the sample Request for Proposals) are the most important to their circumstances. This could take the form of applying a point scoring system to each evaluation factor and subsequently giving bidders points based upon their responses. Once the point scoring system is applied to each bidder, the community would then determine the lowest and most responsible proposal using a fair system.

**Note:** Since a community may ultimately select a firm who may not be the lowest bidder, their selection criteria (the weighting of the importance of the factors) becomes the record of their process. It must be logical and must support the final decision. Indications of arbitrary decisions will result in questions regarding the procurement by CDBG staff and project auditor.

- 3) Once the importance of the evaluation factors has been determined a Request for Proposals must be drafted. The RFP should include the amount of CDBG funds proposed for the project. Until this amount can be determined, the preselection process should not begin. It is imperative that all bidders have equal opportunity to use the amount of proposed CDBG funding dollars to base the amount of their proposal. The RFP must clearly indicate that bids are being solicited for both grant writing and grant administration. Evaluation factors should include:

- a) The specialized experience and technical competence of the firm with respect to the type of services required.
- b) The capacity and capability of the firm to perform the work in question, including specialized services, within the time limitations fixed for the completion of the project.
- c) The past record of performance of the firm with respect to such factors as control of costs, quality of work, and ability to meet schedules.
- d) Except for engineering and architectural professional services, price must be an evaluation factor. The importance of each of the above factors should be stated in the publicized notice.

- 4) In order to comply with CDBG policy, a copy of the RFP must be made available to the regional planning commission that serves the area in which the applicant is located, and all grant administrators as stated on the published CDBG administrator list IN ADDITION to all other proper procurement procedures. Failure to follow required procurement procedures will either disallow the use of CDBG funds to pay for the service or the process will have to be repeated correctly.
- 5) Activities to ensure a broad solicitation of all other known or existing firms capable of completing the work must also be made. This may take the form of a publication in a

newspaper or further solicitation via the mail. Even if newspaper publication is used, documentation must be kept proving solicitation of adequate number of qualified sources

- 6) Attention must be made to directly solicit Minority Business Enterprise (MBE) and Women's Business Enterprise (WBE) firms as required by law. Note that all of these steps are the applicant's attempt to receive a minimum of three or more responses.
- 7) The Request for Proposals should also generally describe the scope of the work that the bidder will be expected to perform. Competitors in the selection cannot carry out the procurement procedures, doing so could result in disqualification. The RFP must clearly separate the scope and cost of the services associated with preparing the application, and the scope and cost associated with administration of the grant.
- 8) The Request for Proposals should include a deadline date for receipt of any or all bids (e.g. July 15, 2018 at 5:00pm). The applicant cannot entertain any bids after the deadline. An adequate amount of time for all bidders to prepare a proposal should be built into the schedule.
- 9) Once all bids have been received references should be checked. The only way for an applicant to secure good information about how a person or a firm performed similar administrative duties is to call the other cities and counties for which they have performed the service and ask for their opinion. CDBG staff cannot and will not provide comments regarding the administrative performance of any person or firm.
- 10) Apply the established evaluation point criteria.
- 11) Determine the lowest and most responsible bidder.
- 12) Execute an appropriate contract and remember, if the contract is executed as part of a pre-selection process (prior to award announcements by CDBG) there must be a clause included, which makes it contingent upon the receipt of the CDBG grant award. Cost plus a percentage of construction cost method of contracting cannot be used. A cost plus fixed fee (with a maximum amount) or lump sum basis contract is recommended.

**Engineering/Architectural Design and Construction Inspection:** The process for selecting an engineer to design and inspect a project requires a little different process than the one for administration. Cost or price is not a factor in the initial selection process of an engineer or architect, and a Request for Qualifications is used to solicit bids. The applicant can utilize the following evaluation factors (experience, technical expertise, competence, capacity, capability, past record, cost controls, quality of work, ability to meet schedules, proximity to area, familiarity with area, etc.).

- 1) The applicant must determine which evaluation factors (from the list found on the sample Request for Qualifications) are the most important to their circumstances. This could take the form of applying a point scoring system to each evaluation factor and subsequently giving bidders points based upon their responses.

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- 2) Draft a Request for Qualifications (RFQ). The RFQ tells the bidders what you are looking for and allows them to respond in turn. The RFQ must clearly indicate that responses are being solicited for both preliminary engineering and design. (Note: Construction Inspection may or may not be part of this solicitation. That decision is up to the community.)
- 3) Actions to ensure a broad solicitation of all other known or existing firms capable of completing the work must also be made. This may take the form of a publication in a newspaper or further solicitation via the mail.
- 4) Attention must be made to directly solicit MBE and WBE firms as required by law. Note that all of these steps are the applicant's attempt to receive three or more responses.
- 5) Include the Scope of Work in the RFQ. The RFQ must clearly separate the scope of the services associated with preliminary engineering report, and the scope of services associated with preparing the engineering design.
- 6) The Request for Qualifications should include a deadline date for receipt of any or all bids (e.g. December 15, 2017 at 5:00pm). The applicant must not entertain any bids after the deadline. An adequate amount of time for all bidders to prepare a proposal should be built into the schedule.
- 7) Once all bids have been received, references should be checked. The only way for an applicant to secure good information about how a person or a firm performed similar engineering duties is to call the other cities and counties for which they have performed the service and ask for their opinion. CDBG staff cannot and will not provide comments regarding the engineering performance of any person or firm.
- 8) Apply the evaluation point criteria to each bid.
- 9) Determine the most qualified bidder.
- 10) Once this stage has been completed and adequately documented an interview and negotiation process may begin with the engineering firm who rated the highest according to the evaluation criteria. It is important for the applicant to negotiate a cost that is a fair and just amount relevant to the work required, and within their ability to pay (amount budgeted). In the event that negotiations fail, the applicant has no obligation to enter into a contract simply because the engineer rated the highest. If the applicant wishes to eliminate the firm they may document the failed negotiation and move to the next highest scored firm on the evaluation list. An applicant may NOT initiate a bidding war between two engineering firms and they may NOT demand more of one firm than another.
- 11) Enter into the appropriate contract and remember, if the process is pre-selection, then include the clause that the contract is "contingent" upon award of grant funds.

**(SAMPLE FOR PRESELECTION)**

(Should not replace recommended action from Legal Counsel)

**REQUEST FOR PROPOSALS**

**PROFESSIONAL ADMINISTRATIVE SERVICES**

The City of Anytown requests proposals for preparation of a grant application and subsequent administration services to assist in a proposed project to be partially financed with Community Development Block Grant (CDBG) funds. The city intends to make application for \$500,000 in CDBG funds. The remainder of the project is being financed by the city's \$300,000 bond issue. The project consists of municipal water system improvements.

Grant application preparation shall include, but is not limited to, preparation and submittal of all completed grant forms by the appropriate deadline, LMI determination, coordination with preliminary engineering report, etc.

Administration services shall include, but are not limited to, the implementation of the project in conformance with the following CDBG compliance areas: ***NOTE! Must insert compliance areas applicable to project.***

Information provided to the city shall include:

- 1) The specialized experience and technical competence of the firm with respect to grant preparation and administration, and related work;
- 2) The past record of performance of the firm with respect to such factors as accessibility to clients, quality of work, and ability to meet schedules;
- 3) Capability of carrying out all aspects of grant related activities;
- 4) Cost of services (clearly separate the cost associated with grant preparation and administration services);
- 5) References from previous clients of related work with the firm within the past five years.
- 6) Documentation of compliance with E-Verify requirements.

(State chosen criteria) above shall receive priority weighting in final selection.

The above information should be submitted no later than June 30, 2018, 5:00 p.m., City Hall, 111 First Street, Anytown, MO 66000. For more information contact City Clerk at 555-555-5555. The City of Anytown is an Equal Opportunity Employer, and invites the submission of proposals from minority and women-owned firms.

**(SAMPLE FOR PRESELECTION)**  
**REQUEST FOR QUALIFICATIONS**  
**PROFESSIONAL ENGINEERING SERVICES**

The City of Anytown requests qualifications for preliminary engineering services and subsequent engineering design services to assist in a proposed project to be partially financed with Community Development Block Grant (CDBG) funds. The remainder of the project is being financed by the city's \$300,000 bond issue. The project consists of municipal water system improvements.

Information provided to the city must include:

- 1) The specialized experience and technical competence of the firm with respect to water system improvements or related work;
- 2) The capacity and capability of the firm to perform the work in question, including specialized services, within a period of twelve months beginning July 1, 2018;
- 3) The past record of performance of the firm with respect to such factors as control of costs, quality of work, and ability to meet schedules;
- 4) The firm's proximity to and familiarity with the area in which the project is located; and
- 5) References from previous clients of related work with the firm within the past five years.
- 6) Documentation of compliance with E-Verify requirements.

The firm will be selected based on the above qualifications. Once the most qualified firm is selected, a cost for preliminary engineering will be negotiated separately from the cost for engineering design.

The ability to begin work immediately and guarantee submittal to DNR within twelve months plus (c) above shall receive primary consideration. The above information should be submitted no later than June 30, 2018, 5:00 p.m., City Hall, 111 First Street, Anytown, MO 66000. For more information contact City Clerk at 555-555-5555. The City of Anytown is an Equal Opportunity Employer, and invites the submission of proposals from minority and women-owned firms.

**Existing Contracts:** A previously existing contract for professional services cannot be extended to cover a new project. The exception to this might be a one-year extension of an engineering or administrative contract if the project applied for is basically the same as the previous year. Retained professional services require review by DED to determine eligibility for payment.

**Maximum Fees:**

- 1) **Engineering Design:** The American Society of Civil Engineers Manual No. 45 describes the percentage of construction cost method of compensation. The curves indicated in the ASCE Manual will be used as a guide to the maximum cost allowable. While the State may use this as a method of determining the amount of funds allowed to a city/county grantee, the grantee may not use these curves as the only basis for determining the compensation of an engineering firm. DED suggests using either a cost plus a fixed fee, with a maximum amount, or a lump sum, as described in the ASCE manual. DED will pay for engineering design and inspection on CDBG construction monies only.

TABLE A (below) indicates projects of an above-average complexity, which includes water treatment plants, complex bridges, pumping stations, intercepting and relief sewers, sanitary sewer lines under 24 inches diameter, and water distribution lines under 16 inches diameter.

TABLE B (below) indicates projects of average complexity, which include conventional bridges, roads and streets, storm sewers and drains, sanitary sewers 24 inches and larger diameter, and water distribution lines 16 inches and larger diameter. **DED reserves the right to reduce the proposed engineering cost in the application for projects of lesser complexity.**

NET CONSTRUCTION COST	TABLE A %	TABLE B %
\$40,000	13.67	10.27
50,000	13.22	9.99
60,000	12.76	9.71
70,000	12.43	9.52
80,000	12.10	9.32
90,000	11.87	9.17
100,000	11.63	9.01
150,000	10.44	8.56
200,000	10.25	8.11
250,000	9.85	7.85
300,000	9.45	7.59
350,000	9.18	7.42
400,000	8.91	7.24
450,000	8.72	7.12
500,000	8.52	7.00
550,000	8.38	6.90
600,000	8.24	6.80

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- 2) **Construction Inspection:** Construction inspection costs will be limited to a maximum 75% of CDBG-funded engineering design costs.
- 3) **Architect Fees:** The American Institute of Architects suggests 10% of construction costs as the fee for architectural design. Inspection then may be computed as 75% of design.
- 4) **Administration:** For the purpose of budgeting an application, applicants may not propose more than amounts in the following chart:

CDBG APPLICATION CATEGORY	ADMINISTRATION BUDGET ALLOWANCES
Water/Wastewater	\$10,000 plus 4% of the amount of the CDBG proposed for water wastewater activities
Community Facility	\$10,000 plus 4% of the amount of the CDBG proposed for the Community facility activities
General Infrastructure	\$10,000 plus 4% of the amount of the CDBG proposed for infrastructure activities
Economic Development	\$10,000 plus 4% of the CDBG request

Administrative line items include all publishing fees, all rehabilitation management, etc. Therefore, grantees should not contract for the total administrative amount unless the administrator is to pay for all such items or the grantee has agreed to pay for such items. Audit costs are budgeted separately from administrative costs. Also, applicants should not budget for a cultural resource survey. (The maximum amount of CDBG funds allowable for clearance of Historic Preservation requirements is \$5,000. These monies will be awarded as a grant increase once services are procured and amount needed is known.)

- 5) **Demolition Inspection :** Demolition inspection is limited to \$425 per unit.

*If pre-selection is not a desire of the community then procurement information will be provided following award.*

## **STEP 5 – CONSIDER THE ENVIRONMENTAL REVIEW**

All projects and related activities undertaken by CDBG applicants and grantees are subject to the provisions of the *National Environmental Policy Act of 1969*, as amended (NEPA), which established national policies, goals, and procedures for protecting, restoring and enhancing environmental quality. In addition to NEPA requirements, CDBG-assisted projects are also subject to other related laws and Federal, State, and local authorities.

**\*REQUIREMENT:** All CDBG applications must include the most current FEMA-designated floodplain map, or if unmapped, documentation from the most reliable source(s).

### **WHO IS RESPONSIBLE FOR THE ENVIRONMENTAL REVIEW?**

EVERY project requires some level of environmental review. The CDBG Responsible Entity (RE) (otherwise known as the applicant or grantee, and always a unit of local government) must evaluate how the project affects the environment and what impacts the environment may have on the project, including short term, cumulative and long term impacts. RE's are required to follow specific procedures for carrying out Federal environmental review responsibilities as specified in **24 CFR Part 58:**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_04/24cfr58\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/24cfr58_04.html).

The CDBG RE assumes responsibility for the environment review, environmental decision-making, and all environmental actions through the course of a project. The environmental review cannot be waived in any circumstance. The CDBG applicant or grantee must provide written proof of compliance with NEPA and related laws and authorities.

### **WHO CAN COMPLETE THE ENVIRONMENTAL REVIEW FOR CDBG FUNDS?**

The CDBG RE determines who has the knowledge, qualifications, and experience necessary to assist in preparing the environmental documents. Commonly used options include existing city or county staff person, engineer, architect, regional planning commission/council of government, and private grant consultant, etc.

### **CAN A PROJECT BEGIN BEFORE THE ENVIRONMENTAL REVIEW?**

In short, no – a project must not begin prior to the completion of the environmental review if the project or activity would have an adverse environmental impact or would limit the choice of reasonable alternatives in the project. CDBG recipients must not obligate CDBG funds or expend funds from any source, private or otherwise, for use in a CDBG-assisted project. No new construction, excavation, demolition, rehabilitation, repair, modification, or property acquisition (including all types of easements) may commence nor commitment made to undertake such activities, until the CDBG environmental review is complete and the Missouri Department of Economic Development has issued formal approval.

### **IS THE ENVIRONMENTAL REVIEW CONDUCTED ONLY ON CDBG-ASSISTED ACTIVITIES IN A PROJECT?**

No - all activities proposed by all funding sources (CDBG, local match, private funds, other State and Federal agencies' funds, etc.) help to achieve the goal of a project. All activities must be environmentally reviewed, not simply those being funded through CDBG. A project is the

aggregation of all geographically & functionally related activities, regardless of funding source, that accomplish a goal, becoming the basis for the environmental review. Projects must not be parsed into individual activities to enable separate, small-scale reviews. Rather, the project as a whole dictates the level of review required.

#### **CAN AN ENVIRONMENTAL REVIEW COMPLETED BY ANOTHER AGENCY BE USED FOR CDBG FUNDS?**

Possibly – a CDBG RE can use another agency’s environmental report if it is reasonably current, includes the area of the proposed CDBG project, and is similar in scope. Reports and assessments can be supplemented to ensure HUD/CDBG environmental compliance requirements are met. If there is more than one Federal funding source in a project, the CDBG Responsible Entity must cooperate with the other agency(ies) to reduce duplication between NEPA and comparable environmental review requirements. A single EA may be prepared by one agency and used by other agencies participating in the same or geographically-related project. Be aware that other agency environmental notices do not meet HUD compliance. You must publish HUD/CDBG Environmental Notices.

#### **PUBLIC PARTICIPATION & THE ENVIRONMENTAL REVIEW**

Public participation is a critical component of the environmental review process, particularly for meeting compliance of the Section 106 review process for identifying historic properties and resources, and for promoting effective planning, project development, implementation, and compliance with NEPA and HUD environmental requirements. If a public hearing is held, the project must be explained in detail and reflected as such in hearing minutes. This is the RE’s only means of defense should anyone challenge the project information the RE revealed to the public. There are many ways to involve the public, but the most commonly used method is via the public hearing required to make application to CDBG. The type of public involvement will depend upon various factors, including but not limited to, the nature and complexity of the undertaking, the potential impacts of the project, and the likely interest of the public in the project and environmental impacts.

#### **HOW SHOULD AN ENVIRONMENTAL REVIEW BE CONDUCTED ON PROJECTS THAT WILL OCCUR IN PHASES OR OVER THE COURSE OF TIME?**

Multi-year or multi-phased projects are those that evolve over several years, as commonly occurs in large-scale and/or regional water and wastewater projects. The environmental review must consider the relationship among all components of the multi-year/phased project regardless of the source of funds, addressing and evaluating their cumulative, direct, and indirect environmental effects. The ERR shall contain a clear description of all known activities proposed throughout the course of the multi-year or multi-phased project, a timetable or schedule of the activities, and whether the environmental review is intended to encompass the project over time, in phases. Each phase must be explained in as much detail as possible at the time of the initial review. The environmental review will become a working document that should be amended as needed through the course of the entire project.

### **WHAT IF CHANGES TO THE PROJECT ARE PROPOSED AFTER THE PROJECT WAS ENVIRONMENTALLY REVIEWED?**

If at any time the project scope changes, if new circumstances and/or environmental conditions arise, or if alternatives not considered originally are selected, the impacts of the changes/activities must be reassessed, and the original finding reviewed for validity. If a new finding is made, new environmental notices must be published and a new Request For Release of Funds and Certification process is required.

### **HELPFUL TIPS WHEN COMPLETING AN ENVIRONMENTAL REVIEW**

- Provide detailed explanations and descriptions as if no one knows anything about the project. Do not complete documents for the benefit of CDBG staff. Complete documents as if they will be read by the general public.
- The project description should remain virtually identical on all forms and documents. This includes funding applications, engineering and architectural reports, and environmental forms.
- Compliance must be clearly documented by acceptable source documentation. Without documentation, there is no evidence compliance is achieved with all applicable laws and authorities.
- Ensure all supporting documentation is current. Circumstances change – make sure you obtain the most up-to-date information.
- For more information, current environmental review forms and for how to get started contact CDBG or access the CDBG Administrative Manual online:  
[www.ded.mo.gov/BCSPrograms/](http://www.ded.mo.gov/BCSPrograms/).

## STEP 6 - COMPLETE PROJECT BUDGET PACKAGE

Determine the ability of the community to finance the priority needs using surplus or reserve funds, capital improvement funds, or debt. The maximum amount of local funds should be used to finance a project before CDBG assistance is requested.

All other funding sources applicable to the project should be committed prior to requesting CDBG assistance. Actual approval of the other funding must have been gained by the time a CDBG application is submitted if requesting FY2018 funds. The only exception is a bond election.

**Local Funds for Private Purposes:** State law does not allow political subdivisions to provide funds from their resources for private purposes (such as housing rehabilitation); however, this would not apply to the administrative or oversight functions of such activities.

**Other Public Facility/Public Project Funding Sources:** Applicants generally may not use CDBG funds to replace funds from another agency or other sources that are available for a project. All applicable state or federal programs must be considered for feasibility by the applicant prior to requesting CDBG funds. Such other sources for public facilities include, but are not limited to:

- 1) USDA, Rural Development
- 2) Missouri Department of Natural Resources (DNR)
- 3) Missouri Department of Transportation (MoDOT), Bridge Replacement and Rehabilitation Program.
- 4) Missouri DNR, Division of Parks and Historic Preservation, Land and Water Conservation Fund (LWCF).
- 5) Tax Credit Programs
- 6) Private Foundations
- 7) Federal Home Loan Bank

## STEP 7 – CONDUCT PUBLIC HEARING

**Eligible Dates:** A public hearing must be held prior to the submission of an application. The applicant must publish a notice in a local newspaper at least 5 full days prior to the hearing. A standard format must be used for the notice, and a record of the proceedings of the hearing must be made.

**Citizen Participation:** All applicants for and recipients of Community Development Block Grant funds shall be required to conduct all aspects of the CDBG program in an open manner with access to records on the proposed and actual use of funds for all interested persons. All records of applications must be kept at the applicant's office and be available during normal working hours. Any activity of the CDBG program, with the exception of confidential matters relating to the housing rehabilitation, shall be open to examination by all citizens.

The applicant must provide technical assistance at the level of expertise available at City Hall to groups representative of persons of low and moderate income that request such assistance in developing proposals. All application materials and instructions shall be provided at no cost to any such group requesting same.

Citizens shall be provided adequate and timely information, so as to enable them to be meaningfully involved in important decisions at the various stages of the program including: (1) the development of needs, (2) the review of the proposed activities, and (3) review of past program performance, in the following manner:

- 1) At least one public hearing shall be held prior to an application being submitted. This hearing shall be scheduled at a time and location felt to be most likely to make it possible for the majority of interested citizens to attend without undue inconvenience. The hearing must address the development of the needs and review of the proposed activities.
- 2) Notification of any and all hearings shall be given a minimum of five full days\* in advance to allow citizens the opportunity to schedule attendance. Notification shall be in the form of display-type advertisements. The community may choose to:
  - a) advertise in a local newspaper of widest circulation,
  - b) post advertisement in areas providing the largest access to the public, or
  - c) both a and b.
- 3) All hearings must be held in a facility that is accessible to people with disabilities.

**Note:** Provisions for interpretation shall be made available at all public hearings for non-English speaking residents, if 15% or more of such residents are expected to be in attendance.

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\* For the purpose of this process, "full days" is defined as neither day being counted on either end of the time period (i.e., five full days before public hearing would actually be seven days since beginning and ending days cannot be counted).

**Public Hearing Notice Requirements:** As stated above, the public hearing must address the development of the applicant's community development needs and proposed activities to be contained in the application. Minutes of all public hearings should be maintained indicating topics covered in order to document grant requirements. The newspaper notice must include the following information:

- 1) The city/county intends to submit an application for CDBG funds.
- 2) The maximum grant amount.
- 3) The type of activities that may be undertaken, include the improvement of public works, public facilities, housing rehabilitation, and others as allowed by law.
- 4) National objective must be stated.
- 5) There will be minimization of displacement of persons resulting from the project, and assistance to any displaced persons would be provided according to the Uniform Relocation and Real Property Acquisition Act of 1970 as amended, Section 104(d), Section 104(k) or Section 105(a)(11) of the Title I Act.
- 6) The city/county is soliciting citizen input on the entity's on-going community development needs.
- 7) Description of proposed project for which the city/county is applying.
- 8) Total estimated project cost, including amount being applied for, other state/federal funds, local contribution proposed, etc.
- 9) Specific location of project, either community-wide or boundaries (by name) of target area.
- 10) Percent of low/moderate income benefit of the proposed project (if known), or at least 51%.
- 11) Encouragement of area residents to attend.

**(SAMPLE)**

**PUBLIC HEARING NOTICE**

The City of Anytown will hold a public hearing on January 3, 2018, 7:00 p.m. at City Hall located at (insert address) to discuss the city's submission of an application for the fiscal year 2018 Community Development Block Grant (CDBG) program. The city is interested in obtaining all citizens' input on community development needs within the city. As part of the hearing process citizens will be asked to verbally assist in the completion of a Needs Assessment document. The document will detail what the residents feel are the strengths and weaknesses of the community. The city needs as much local participation as possible in order to reflect the true desires of the community as a whole, as well as the comments relating to the proposed project application. The State has established a maximum application request for each funding category. Activities that are eligible for funding include the improvement of public works, public facilities, housing rehabilitation, and others allowed by law. At least 51% of the funds must be used to benefit low-and-moderate income persons. No displacement of persons will be proposed.

The city is proposing to replace some sewer lines, and install some new sewer lines and lift station in the southeast part of the city. The area to be addressed is bounded by Main Street on the east, Gordon Street on the west, BN Railroad on the north, and City Limits on the south. The total project cost is estimated at \$322,000. The city proposes to contribute \$48,000 in cash, \$45,000 in-kind labor by city crews, with grant funds of \$229,000 needed to make up the balance. The project, if funded, will benefit 57% low/moderate income persons. All citizens, including those in the targeted area, are encouraged to attend in order to comment on the proposed activities.

For more information on the proposed project, contact Jane Doe at 314/888-8888.

### **STEP 8 - DISCUSS PROJECT WITH CDBG STAFF**

This step is optional for the applicant. The CDBG staff of the Business and Community Services (BCS) division is available to discuss any questions that a community or grant writer may have regarding the proposed project and/or the application.

Often, a CDBG Representative can provide an outside perspective that communities may miss and important points may be left out of an application. At the same time, the BCS Representatives can offer specific answers regarding what exact information must be supplied on any particular document.

## STEP 9 - COMPLETE AND SUBMIT APPLICATION

### 1) **Submit:**

- One typewritten original of application (original signatures)
- One copy of the entire application (for a total of two complete applications)
- Two copies of the **engineering report** or **architectural plans** (if public facility/public project activities are proposed)

Missouri Department of Economic Development  
Business and Community Services – CDBG Program  
301 W. High Street, Room 770  
PO Box 118  
Jefferson City, MO 65102

**Note:** Note the deadlines for Community Facilities, Demolition, and General Infrastructure projects. Any applications not following this procedure will be returned.

We suggest that you mail the application by certified mail, return receipt. Otherwise, call (573) 751-3600 a few days after you have mailed the application to be sure it was received. Engineering reports and architectural plans are due at the same time as the application.

- 2) **Late Information:** Also, no additional information or corrections may be made after the application is received, unless requested by DED for clarification.
- 3) **Format:** Each copy of the application should be binder clipped along the left side. **Please do not use special bindings or report covers.** One entire application, including all signatures, must be original. Please mark accordingly.
- 4) **Support letters:** Applications or proposals must be accompanied by letters of support from the state senator and state representative.

## APPLICATION CONTENT CHECKLIST

**Order of Application:** The application must include the following documents (in this order).

- Form A Project Profile
- Form B Cost Summary
- Form B(1) Expenditure Projections
- Form C Local Effort (Attach copy of financial statement)
- Form D Minimum Requirement and Maximum Limits
- Form E Professional Services
- Form F Demolition Activities, if applicable
- Form G Narratives (both Public Facilities and Residential Demolition, if applicable)
- Form H Civil Rights
- Form I Public Participation Needs Assessment form, and supporting documentation requested
- Form J Statement of Assurances
- Form K Resolution
- Form L(a) Applicant Certification on Lobbying Restrictions
- Form L(b) Sub-Applicant Certification on Lobbying Restrictions
- Form M Supplemental Section 3 Utilization Statement (if CDBG request exceeds \$200,000)
- Form N Anti-displacement and Relocation Plan
- Form O(a) Fair Housing Ordinance For Cities
- Form O(b) Fair Housing Resolution For Counties
- Form P Excessive Force Resolution
- Form Q(a) Applicant Disclosure Report
- Form Q(b) Sub-Applicant Disclosure Report
- Form R LMI Survey Instrument
- Form S LMI Survey Tabulation Sheet
- Form T (PFP) Participation Agreement (private, for profit cash contributions)
- Form T (NFP) Participation Agreement (not-for-profit cash contributions)
- Form T (in-kind) Participation Agreement (non-cash, in-kind contributions)
- Form V Certification of E-Verify
- Form W Application Certification Form (signed)
- Map\*
- Intergovernmental or Applicant/Sub applicant agreement (executed), if applicable

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- Letters of Commitment, if applicable, must be attached from all other Federal and State funding sources involved. Proposed demolition projects must include letters of commitment from landlords and private property owners who wish to have a property demolished.
- Proof of Status for not-for profit organization
- Notice of Successful bond election, if applicable
- Engineering Report/Architectural plans
- Current rate schedule for water and/or wastewater, if applicable
- Support letters from state senator and representative

Please do **not** include letters of support from state or federal agencies, local organizations, or individuals unless needed for documenting rating issues. The “Strategy” narrative may cite specific documents of support held by the applicant.

\* **Map:** A map showing the specific location of proposed public facility/public project improvements and/or the housing target area must be included in each copy of the application. For public facility/public project activities, the map must include as much **detail** as possible, showing the location of specific improvements proposed. The plans included by the engineer and architect must show detailed specifics about the project and may require additional maps.

**Residential and Commercial Demolition Projects:** Applicants must identify and code **all dilapidated structures**, regardless of occupancy. All such structures within the jurisdiction of the applicant must be identified on the map.

Dilapidated structure – D

Commercial structure – Z

Vacant dilapidated – DX

Vacant dilapidated commercial - ZDX

## **APPLICATION SELECTION CRITERIA**

Applications that meet the eligibility requirements of the program will be rated and ranked based on the selection criteria in comparison to the other projects submitted. The selection criteria for public facility/public projects are listed below.

Note the threshold requirement of 65 points or greater for all open-cycle applications received. Open-cycle applications will be reviewed and rated as they are received. If an application does not gain 65 points but represents a strong project (points were deducted for missing paperwork or objective scoring) DED reserves the right to allow the applicant the opportunity to correct the scoring prior to the review of the next application in line.

If funds in any category are exhausted, all remaining applications will be returned and no more will be accepted until the next fiscal year.

All project categories are rated on a 100-point scoring system. The selection criteria are based on need, project impact, local effort, and past efforts to address need.

### **General Definitions:**

**NEED** refers to the extent to which adequate documentation supports the actual demand.

**IMPACT** refers to the extent to which the project impacts a significant portion of the population defined in need.

**LOCAL EFFORT** measures the extent to which local support is offered to the project as compared to what is available to offer.

**PAST EFFORTS** are defined as all previous actions taken by the applicant to address the need.

**HEALTH AND SAFETY** measures the relationship between actual existing or the likeliness of the potential of physical harm to the population defined in the need. Third party documentation rather than general statements enhances the scoring in this category.

**STRATEGY** is the extent to which the method chosen to fix the problem represents the most efficient and effective solution while maintaining a direct relationship to solving the need. A clear, fair representation of examination of alternatives leading to the final strategy chosen is requested with each application.

**RESILIENCE** is defined as the ability to anticipate, prepare for, and adapt to changing conditions and withstand, respond to, and recover rapidly from disruptions. Such disruptions may include, for example, a local drought, a precipitous economic change, social unrest or riots, short-term or intermittent failure or under-performance of infrastructure such as the electrical grid. Resilience may be incorporated into the project strategy.

**COST EFFECTIVENESS** is measured as the extent the applicant has undertaken to evaluate the best possible cost for the result. This measure is often calculated as cost per beneficiary from total project costs and cost per beneficiary from CDBG costs only.

**OPERATION AND MAINTENANCE** is measured by the actual documented process for which a budget, experienced personnel, and written plan are available and provided in the application.

**PROJECT READINESS** is measured by the actual upfront administrative work completed that provided the ability of the project to begin immediately after award. Applicants must demonstrate, via documented means, their ability to start and complete the proposed project in a timely manner. Applicants must provide a proposed expenditure schedule as part of the application (included in Form B) and must demonstrate the ability to meet that schedule of performance. Examples of project readiness are, but are not limited to: preselection of grant administrator and/or engineer/architect, and substantial completion of environmental review.

**LEVERAGING** is defined as the percentage of local funds dedicated to the project in relation to what the applicant's budget/financial statement shows.

**IN-KIND CONTRIBUTION** is defined as the non-cash local effort that is committed to the project by the applicant. A clear indication of value for labor and equipment should be included to substantiate the total amount offered.

**USE** is defined as the volume and frequency of use by the population benefiting from the project.

**REPETITIVE PROPERTY DAMAGE** is the actual number of times and the frequency (can be last 10 years) that damage has occurred.

**ECONOMIC IMPACT** refers to the impact that the completed project will have on the local economy. This consists of increased jobs, increased private investment, and/or increased local revenue stream. The project must contribute by positively impacting the conditions that allow these measures to increase.

**MEASURABLE OUTCOMES OR GOALS** is the degree to which the applicant has the ability to measure the impact and success. The need, strategy, and goals and ways to measure success should be intertwined and clearly represented in the application. (For each application incorporating a resilience building component, a distinct series of measurable outputs and outcomes related to the resiliency component must be included in the application and subsequently included in project reporting.)

**ENVIRONMENTAL IMPACT** is the degree to which the problem or need has a documented negative impact on the environment. Environment takes a broad definition that includes all of the issues related to the National Environmental Policy Act (NEPA) process.

**TMF NEED** stands for local need for technical, managerial, and financial capacity related to the operation of a water and wastewater system

**TMF CAPACITY INCREASE** is the extent to which the project will naturally cause an increase in the technical, managerial, and financial capacity related to the operation of a water or wastewater system.

**FUTURE SUSTAINABILITY** is the likelihood that the project will be functional and operational well into the future and will perpetuate its own growth.

**PAST PERFORMANCE** represents the performance of the applicant (city/county) on prior funded CDBG projects. In addition, it represents the performance on prior CDBG projects of the sub applicant (nonprofit or district) if the sub applicant was involved in a previous CDBG project. It also includes the prior performance on CDBG projects of the grant administrator and engineer/architect, if those firms/persons are known (pre-selected) at the time of this application. Past Performance includes timeliness of project completion and compliance with CDBG requirements.

**EXISTING/ESTABLISHED COMPANIES** (more than 3 years of financial history): LOWER of \$2,000,000 per project or \$20,000 per new full time job.

**START-UP COMPANIES** (3 years or less of financial history): funding shall be limited to the LOWER of \$350,000 per project; 50% of cost of the infrastructure activities; or \$20,000 per new full time job. DED may, at its discretion, award up to \$500,000 if the participating company provides a personal guaranty OR an Irrevocable Letter of Credit from an acceptable financial institution for the amount which exceeds \$350,000. (Maximums of \$20,000 per job and 50% of infrastructure costs still apply.)

## COMMUNITY FACILITY PROJECTS

### 1) Need (35 points)

- 0-20 pts – Addressed Need for Facility
- 0-5 pts – Health/Safety/Education/Training
- 0-10 pts – National Objective/Potential Users

### 2) Impact (35 points)

- 0-15 pts – Strategy
- 0-10 pts – Operation & Maintenance Capacity
- 0-5 pts – Project Readiness

### 3) Local Effort (25 points)

- 0-15 pts – Leveraging: Leveraging is defined as the percentage of local funds dedicated to the project in relation to what the applicant's budget/financial statement shows available.
- 0-5 pts – Taxes: Tax score is defined as the revenues or taxes the applicant receives divided by population and per capita income, and multiplied by 100.
- 0-5 pts – In-Kind Contribution: Points are awarded to applicants committing in-kind or non-cash related services to the project.

4) **Past Efforts (5 points)**

0-5 pts – Past efforts are defined as all previous actions taken by the applicant to address the need.

**WORKFORCE TRAINING INITIATIVE**

1) **Need (35 points)**

0-20 pts – Addressed Need for Facility including Description of proposed facility; lack of existing facility

0-5 pts – Health/Safety/Education/Training

0-10 pts – Potential users; measure growth/decline for past 5 years

2) **Impact (35 points)**

0-15 pts – Strategy

0-15 pts – Operation; and Maintenance

0-5 pts – Project Readiness

3) **Local Effort (25 points)**

0-15 pts – Leveraging: Leveraging is defined as the percentage of local funds dedicated to the project in relation to what the applicant's budget/financial statement shows available.

0-5 pts – Taxes: Tax score is defined as the revenues or taxes the applicant receives divided by population and per capita income, and multiplied by 100.

0-5 pts – In-Kind Contribution: Points are awarded to applicants committing in-kind or non-cash related services to the project.

4) **Past Efforts (5 points)**

0-5 pts – Past efforts are defined as all previous actions taken by the applicant to address the need.

**DEMOLITION**

1) **Need and Impact (45 points)**

0-20 pts – Number of units proposed compared to total dilapidated units, both occupied and vacant

0-25 pts – Number of units proposed compared to the total number of vacant dilapidated units

**2) Code Enforcement & Map (10 points)**

0-5 pts – Applicant’s code enforcement

0-5 pts – Map identify all dilapidated structures and all proposed structures

**3) Leveraging (15 points)**

0-15pts – Document \$1,000 cash or in-kind match for each unit proposed for demolition

Commercial property owners must commit 20% of the demolition costs of their structure in writing as a cash commitment. Residential property owners must commit per structure a minimum of \$500 of the demolition costs in writing as a cash commitment.

**4) Strategy (30 points)**

0-15 pts – Interest of community and property owners (number of consent forms)

0-10 pts – Project readiness; ready to start/capacity to complete/realistic timeframe

0-5 pts – Size/cost per unit/hazardous waste (especially asbestos) identified; cost effectiveness

If commercial properties are proposed for demolition, then all vacant dilapidated commercial structures must be included on the applicant’s map and Form F as ZDXs. They will be included in the application rating with the vacant residential structures.

**GENERAL INFRASTRUCTURE**

**1) Need (35 points)**

0-7 pts – Health and Safety/Environmental issues

0-7 pts – Economic Impact

0-7 pts – Number of Persons Impacted

0-7 pts – Documentation of Problem

0-7 pts – Measurable Outcomes or Goals

**2) Impact (35 points)**

0-10 pts – Strategy

0-10 pts – Cost Effectiveness

0-10 pts – Operation and Maintenance

0-5 pts – Project Readiness

**3) Local Effort (25 points)**

0-15 pts – Leveraging: Leveraging is defined as the percentage of local funds dedicated to the project in relation to what the applicant’s budget/financial statement shows available.

0-5 pts – Taxes: Tax score is defined as the revenues or taxes the applicant receives divided by population and per capita income, and multiplied by 100.

0-5 pts – In-Kind Contribution: Points are awarded to applicants committing in-kind or non-cash related services to the project.

**4) Past Efforts (5 points)**

0-5 pts – Past efforts are defined as all previous actions taken by the applicant to address the need.

**DOWNTOWN REVITALIZATION PROJECTS**

**1) Need (35 points)**

0-7 pts – Physical Revitalization Need (poor sidewalks, drainage, etc.)

0-7 pts – Value of revitalization plan (realistic, attainable goals, comprehensive, specific)

0-7 pts – Parking/Accessibility

0-7 pts – # of businesses in Revitalization Area

0-7 pts – # of persons employed in Revitalization Area

**2) Impact (35 points)**

0-6 pts – Design guidelines and implementation

0-6 pts – Effective Marketing Plans (for both vacant buildings and customer attraction)

0-6 pts – Downtown organization capacity/business participation

0-6 pts – Relationship of Project to Revitalization Plan

0-6 pts – Cost effectiveness

0-5 pts – Project Readiness

**3) Local Effort (25 points)**

0-15 pts – Leveraging: Leveraging is defined as the percentage of local funds dedicated to the project in relation to what the applicant’s budget/financial statement shows available.

0-5 pts – Taxes: Tax score is defined as the revenues or taxes the applicant receives divided by population and per capita income, and multiplied by 100.

0-5 pts – In-Kind Contribution: Points are awarded to applicants committing in-kind or non-cash related services to the project.

**4) Past Efforts (5 points)**

0-5 pts – Past efforts are defined as all previous actions taken by the applicant to address the need.

## WATER AND WASTEWATER PROJECTS

Selection Criteria – Applications scoring a minimum of 65 points will receive a recommendation for award.

The primary project review for water or wastewater is the Missouri Water and Wastewater Review Committee (MWWRC) process, and consists of interagency financial and technical review by finance staff and engineers. Successful completion of the MWWRC process results in an award of 50 points to an application. CDBG staff will continue to evaluate the applications for completeness and missing documents.

1) **MWWRC Review (50 points)** – Applicants successfully completing the MWWRC process will receive 50 points, based on need for grant funding, project/engineering strategy and rate structure.

**2) Local Effort (25 points)**

0-15 pts – Leveraging: Leveraging is defined as the percentage of local funds dedicated to the project in relation to what the applicant’s budget/financial statement shows available.

0-5 pts – Taxes: Tax score is defined as the revenues or taxes the applicant receives divided by population and per capita income, and multiplied by 100.

0-5 pts – In-Kind Contribution: Points are awarded to applicants committing in-kind or non-cash related services to the project.

**3) Past efforts to address need (5 points)**

CDBG priorities for water and wastewater are defined as:

- Lack of existing needed facility : Needed facility represents elimination of a threat and safety and at the same time is offered to a community that has the TMF capacity to own it.
- System Failure : Not related to poor operation and maintenance; failure proven to the degree of documentation – DNR support.
- Obsolescence of an existing facility – not defined as “design life” : Asbestos pipe, lead, radionuclides
- Regulatory requirements which mandate improvements : Differentiate between abatement orders versus abatement due to poor operation and maintenance.

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- Natural or manmade disaster : Defining manmade to include pollution or contamination, not poor operation and maintenance.
- Improper design of existing facility : Definition must include what it is causing.
- Significant and unexpected growth : Economic development driven, regionalization, and government driven.
- Comprehensive, strategic, or capital improvement plan
- Inherent social/economic factors : Unemployment, age, LMI.
- Potential or anticipated growth
- Improper maintenance

## **APPLICATION DEFICIENCY LIST**

The following is a list of deficiencies and the points associated with each. If any of the following items apply to the application submitted, the number of points indicated for each item will be deducted from the rating score.

5 pts – Public hearing notice not published or less than five full days notice given for hearing (first and last day of publication are not included in the five-day period; therefore, seven days are necessary).

5 pts – Application should have been multi-jurisdictional and applicant failed to address.

5 pts – Past Performance

The following is a list of ineligible deficiencies. If any of the following items are found in the application, the application is automatically ineligible.

- National Objective not met.
- Requested more than the application maximum.
- LMI determination incorrect, i.e., used census when should have surveyed; did not survey 100% of beneficiaries, census data did not fit project, 80% return rate not obtained, etc.
- Household maximums exceeded.
- More than one public facility applied for in an application, with the exception of the Other Public Needs category.
- Wrong applicant.
- More than engineering design requested in Engineering Plan and Specs application
- Application submitted to wrong category

Any document missing as listed, or any incomplete document submitted shall receive the following point deductions. "Incomplete" is defined as information that cannot be ascertained from any other part of the application.

1 pt Form A – Project Profile

5 pts Form B and B(1) – Cost Summary and Expenditure Projections

5 pts Form C – Local Effort (Attach copy of financial statement)

5 pts Form D – Minimum Requirements and Maximum Limits

1 pt Form E – Professional Service

5 pts Form F – Housing Demolition Activities, if applicable

5 pts Form G – Narratives (applicable to application type)

1 pt Form H – Civil Rights

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- 5 pts Form I – Public Participation and the Needs Assessment, and supporting documentation requested.
- 1 pt Form J – Statement of Assurances
- 5 pts Form K – Resolution
- 1 pt Form L(a) – Applicant Certifications on Lobbying Restrictions
- 1 pt Form L(b) – Sub-applicant Certification on Lobbying Restrictions (if applicable)
- 1 pt Form M – Supplemental Section 3 Utilization Statement, if request exceeds \$200,000
- 1 pt Form N – Antidisplacement and Relocation Plan
- 1 pt Form O(a) – Fair Housing Ordinance For Cities
- 1 pt Form O(b) – Fair Housing Resolution For Counties
- 1 pt Form P – Excessive Force Resolution
- 1 pt Form Q (a) – Applicant Disclosure Report
- 1 pt Form Q(b) – Sub-Applicant Disclosure Report
- 3 pts Form R – LMI Survey Instrument
- 3 pts Form S – LMI Survey Tabulation Sheet
- 5 pts Form T (PFP) – Participation Agreement (private, for profit cash contributions)
- 5 pts Form T (NFP) – Participation Agreement (not-for-profit cash contributions)
- 5 pts Form T (In-kind) – Participation Agreement (non-cash, in-kind contributions)
- 5 pts Form V- Certification of E-Verify
- 5 pts Form W – Application Certification form
- 5 pts Project map **and** floodplain map
- 5 pts Intergovernmental Agreement (executed), if applicable
- 5 pts Applicant/subapplicant agreement (executed), if applicable
- 5 pts Letters of Commitment (must be attached from all other Federal and State funding sources involved. Demolition applications must include letters of commitment from owners of properties to be demolished.)
- 5 pts Proof of Status for Not-for-profit organization (if applicable)
- 5 pts Failure to provide preliminary engineering report/Architectural plans
- 5 pts Failure to provide letters of support from state senator and representative

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM A – PROJECT PROFILE (page 1 of 3)**

<b>1. Applicant Identification</b>	
A. NAME (CITY OR COUNTY):	DUNS #
B. MAILING ADDRESS:	EMAIL ADDRESS:
C. CITY, STATE, ZIP CODE:	
D. CHIEF OFFICIAL OF (A):	E. TITLE OF (D):
F. TELEPHONE OF (D):	G. FAX OF (D):
H. FISCAL YEAR END OF (A) (M/D):	FEDERAL EMPLOYEE IDENTIFICATION #:
J. IF MULTI-JURISDICTIONAL, INCLUDE NAME, ADDRESS, & PHONE OF OTHER APPLICANTS (Use additional sheet if necessary):	
<b>2. Application Preparer</b>	
A. NAME:	B. EMAIL ADDRESS:
C. MAILING ADDRESS:	
D. CITY, STATE, ZIP CODE:	
E. NAME OF AGENCY:	
F. TELEPHONE:	G. FAX:
<b>3. Sub-Applicant Identification (applications on behalf of special districts or non-profit agencies)</b>	
A. NAME (ENTITY):	
B. MAILING ADDRESS:	EMAIL ADDRESS:
C. CITY, STATE, ZIP CODE:	
D. CHIEF OFFICIAL OF (A):	
E. TITLE OF (D):	F. FISCAL YEAR END OF (A) (M/D):
G. TELEPHONE OF (D):	H. FAX:
<b>4. Other Information for Reporting Purposes</b>	
A. 2010 POPULATION OF 1A:	
B. STATE REPRESENTATIVE & DISTRICT NUMBER:	
C. STATE SENATOR AND DISTRICT NUMBER:	
D. CENSUS TRACT <b>AND</b> BLOCK GROUP FOR PROJECT:	E. COUNTY:
<b>5. Project Type (mark one)</b>	
<input type="checkbox"/> COMMUNITY FACILITIES	<input type="checkbox"/> WATER/WASTEWATER
<input type="checkbox"/> GENERAL INFRASTRUCTURE	<input type="checkbox"/> DEMOLITION
<input type="checkbox"/> MICROENTERPRISE/RLF	

**FY2019 APPLICATION: FORM A – PROJECT PROFILE (page 2 of 3)**

**6. Project Beneficiaries**

A. NUMBER OF PERSONS SERVED BY PROJECT:

B. NUMBER OF FAMILIES SERVED BY PROJECT:

C. % LMI PERSONS OF PROPOSED PROJECT:

D. % LMI FAMILIES OF THE PROPOSED PROJECT:

**7. National Objective**

LOW AND MODERATE INCOME (LMI) (51% - 100%)

ELIMINATION OF SLUM AND BLIGHT

**8. If LMI National Objective:**

AREA-WIDE BENEFIT

TARGET AREA BENEFIT

**9. If LMI National Objective:**

<input type="checkbox"/> CENSUS <input type="checkbox"/> SURVEY <input type="checkbox"/> LIMITED CLIENTELE <input type="checkbox"/> JOB CREATION	<b>IF SURVEY DATA, COMPLETE THE FOLLOWING:</b> <input type="checkbox"/> RANDOM SURVEY <input type="checkbox"/> 100% SURVEY
	A. DATE OF SURVEY:
	B. NUMBER SOLICITED
	C. NUMBER RETURNED:
	D. PERCENT OF RETURN (C/B) (MUST BE AT LEAST 80%) :

**10. Cost Data**

A. CDBG FUNDS REQUESTED:

B. LOCAL CASH FUNDS:

C. LOCAL IN-KIND FUNDS:

D. OTHER STATE/FEDERAL FUNDS:

E. PRIVATE FUNDS

F. TOTAL PROJECT COST:

**11. Floodplain/Environmental Review**

A. DOES THE PROPOSED PROJECT, OR ANY PORTION THEREOF, LIE WITHIN THE BOUNDARIES OF THE 100 YEAR FLOODPLAIN?  Yes  No  
SUBMIT CURRENT FEMA FLOODPLAIN MAP. IF NOT MAPPED, CONTACT DED STAFF FOR ASSISTANCE.

B. DOES THE COMMUNITY PARTICIPATE IN THE NATIONAL FLOOD INSURANCE PROGRAM?  Yes  No

C. IS THE COMMUNITY IN GOOD STANDING WITH THE NATIONAL FLOOD INSURANCE PROGRAM?  Yes  No

D. HAS THE SHPO SECTION 106 PROCESS FOR HISTORIC PROPERTIES BEEN INITIATED OR COMPLETED?  Yes  No

E. WILL THE PROPOSED PROJECT AND ALL ACTIVITIES ASSOCIATED, REGARDLESS OF FUNDING SOURCE, RESULT IN ANY CHANGE IN LAND USE?  Yes  No  
IF YES, DESCRIBE.

F. IS THE PROJECT COMPATIBLE WITH CURRENT LAND USE IN THE AREA?  Yes  No

G. HAVE THERE BEEN ANY PRIOR ENVIRONMENTAL REVIEWS AND/OR STUDIES COMPLETED FOR THE PROPOSED PROJECT ACTIVITIES IN THIS AREA?  Yes  No  
IF YES, PLEASE LIST.

**FY2019 APPLICATION: FORM A – PROJECT PROFILE (page 3 of 3)**

H. DESCRIBE THE PROJECT AREA NOW AND HOW IT IS EXPECTED TO APPEAR AFTER PROJECT COMPLETION.

I. DESCRIBE THE NATURAL AND MANMADE ENVIRONMENT SURROUNDING THE PROJECT AREA.

J. WILL THE PROJECT AFFECT CURRENT AND FUTURE LAND USE PATTERNS?  Yes  No  
IF YES, DESCRIBE HOW.

**12. Project Description**

In the space below, provide a brief description of the need(s) of the project and the proposed actions to address the need(s). Do not exceed this page. **This page may be provided to the media and your elected state and federal legislators for informational purposes.**

A. APPLICANT:

B. PROJECT TITLE:

C. GEOGRAPHICAL AREA OF PROJECT (INDICATE GENERAL BOUNDARIES, UNLESS THE PROJECT BENEFITS THE APPLICANT'S ENTIRE JURISDICTION):

D. DESCRIPTION OF NEED(S) AND PROJECT IMPACT:

E. DESCRIPTION OF PROPOSED ACTIONS TO ADDRESS THE NEED(S) – BE SPECIFIC:

**DO NOT EXCEED THIS PAGE**

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM B – COST SUMMARY**

PLEASE ROUND TO THE NEAREST \$1						
I. PUBLIC FACILITY ACTIVITIES (FROM THE LIST IN THE CDBG GUIDELINES):	A. CDBG FUNDS	B. APPLICANT'S CASH FUNDS (INCLUDES LOANS)	C. APPLICANT'S NON-CASH RESOURCES (IN-KIND)	D. OTHER STATE/ FEDERAL AGENCY GRANT FUNDS	E. PRIVATE (CASH) FUNDS	F. TOTAL
1.						
2.						
3.						
4. PROPERTY ACQUISITION (INCLUDING EASEMENTS)						
<b>5. SUBTOTAL OF PUBLIC FACILITY ACTIVITIES</b>						
6. ENGINEERING DESIGN/ARCHITECTURAL DESIGN						
7. CONSTRUCTION INSPECTION						
8. OTHER PROFESSIONAL SERVICES (EXCEPT LEGAL)*						
<b>9. TOTAL PUBLIC FACILITY ACTIVITIES</b>						
<b>II. DEMOLITION (OR OTHER) ACTIVITIES</b>						
1. DEMOLITION						
2. DEMOLITION INSPECTION						
3. ASBESTOS INSPECTION						
4.						
5.						
6.						
7.						
<b>III. ADMINISTRATION</b>						
1. CDBG GRANT ADMINISTRATION						
2. LEGAL EXPENSES**						
<b>3. TOTAL ADMINISTRATION</b>						
<b>IV. TOTAL ALL ACTIVITIES</b>						
*EXPLAIN WHY AND WHAT OTHER PROFESSIONAL SERVICES ARE REQUIRED FOR THIS PROJECT:						
**HISTORICALLY, LEGAL EXPENSES HAVE NOT BEEN NEEDED TO COMPLETE A BLOCK GRANT. IF INCLUDED, PROVIDE EXPLANATION OF NEED FOR THESE EXPENSES:						

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM B(1) – EXPENDITURE PROJECTIONS**

PLEASE ROUND TO THE NEAREST \$1							
V. PROJECTED EXPENDITURES BY QUARTER END FOR ONLY <b>CDBG-PROPOSED</b> ACTIVITIES LISTED IN SECTION I,II AND III (e.g., Administration, Eng. Design, etc):							
1. June 20__							
2. September 20__							
3. December 20__							
4. March 20__							
5. June 20__							
6. September 20__							
7. December 20__							
8. March 20__							
9. June 20__							
10. September 20__							
11. December 20__							
12. March 20__							
13. June 20__							
<b>TOTAL</b> (Must equal totals from Section IV)							

## FORM B – COST SUMMARY INSTRUCTIONS

- 1. Public Facility Activities** (Line I-1 – I-3): Identify each public facility/public project activity (from the list in the guidelines), **regardless** of the funding source. Detailed cost breakdowns should be provided in the engineering report, and **not** in this section. These cost estimates **must** agree with those identified in the engineering report. The acquisition involved in a public facility/public project activity may include the purchase price, appraisal cost, title fees, recording fees and closing costs.
- 2. Engineering Design, Construction Inspection, Other Professional Services** (Line I-6, I-7, and I-8): CDBG may pay for engineering design and inspection for CDBG construction cost only. The engineering design fee chart is included in the guidelines. Construction inspection is limited to 75% of the amount indicated for engineering design. Special services, such as borings and surveys, if not included in design costs, must be separately identified under “other professional services”. Contingencies are not an allowable line item.
- 3. Demolition/Clearance** (Line II-1): Units must not be feasible to rehabilitate if CDBG funds are used for demolition, or unit may fall under the grantee’s dangerous building ordinance.
- 4. Demolition Inspection** (Line II-2): Limited to \$425 per unit to be demolished.
- 5. CDBG Administration** (Line III-1): This column is **only** for those costs necessary to administer the CDBG portion of the project. See the guidelines section for maximum administration amounts in any CDBG category.
- 6. Applicant’s Cash and Non-cash (In-Kind) Resources** (columns b and c): Applicant’s **cash** resources include any funds provided from a city, county, special district, or other local public entity in which the funds will be used to complete the project including debt (bond, RD loan, other loans). **Non-cash (in-kind)** resources include existing materials or employees to complete part of the project, or designating existing employees to perform legal, engineering or administrative work related to the project. Activities or funds obligated **prior** to award of CDBG grant may **not** be included as cash match or in-kind. Costs associated with CDBG application preparation and the preliminary engineering report, when completed by an employee of the applicant, may be used as past effort.
- 7. Private Funds** (column f): Include in this column any private funds that are being provided to the project. Do **not** include **non-cash/in-kind** match from private sources. Letters of commitment from private sources for cash match must be submitted with the application to support the total amount in column f. Letters must contain a specific amount based on the rating of that specific unit.
- 8. Projection of Expenditures** (Lines V-1 – V-13): Enter data regarding projected expenditures, by proposed **CDBG-activity only**, according to your projected budget in Section I, II and III, in these lines. If funding is awarded in an amount less than requested with this application, you will be asked to revise expenditure projections to account for the lesser amount. Expenditure amounts represent the amount of funding requests (i.e. drawdowns) you anticipate making during each quarter for the specific recovery category. For example, to record projected expenditures for the third quarter of 2018 (period of July 1 through September 30), enter the amount expended in that time frame in the September 2018 (quarter ending) field. If the application is approved, your schedule of projected expenditures will be a part of the grant agreement.

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM C – LOCAL EFFORT (page 1 of 2)**

BLOCK 1: Taxes (must be completed by the applicant, regardless of the type of application)		
TAX TYPE	A. TAX RATE	B. ACTUAL REVENUES RECEIVED IN 2018 OR LAST FISCAL YEAR
1. SALES	%	\$
2. PROPERTY TAXES	\$ PER 100 A.V.	\$
3. OTHER TAXES	%	\$
4. ELECTRIC FRANCHISE	%	\$
5. GAS FRANCHISE	%	\$
6. OTHER FRANCHISE	%	\$
7. 2018 ASSESSED VALUATION	%	\$

**FY2019 APPLICATION: FORM C(a) – LOCAL EFFORT (page 2 of 2)**

**BLOCK 3: Budget Data (Must be completed for all projects by applicant, and/or other multi-jurisdictional applicant, as applicable)**

Budget for \_\_\_\_\_, \_\_\_\_\_, to \_\_\_\_\_, \_\_\_\_\_. Adopted on \_\_\_\_\_  
 (month) (year) (month) (year) (date of adoption or latest amendment)

A. DESCRIPTION	B. GENERAL FUND	C. WATER FUND	D. SEWER FUND	E. ELECTRIC FUND	F. GAS FUND	G. _____ FUND	H. _____ FUND	I. TOTAL
1. PREVIOUS YEAR BALANCE (PLUS ALL INVESTMENTS)								
2. REVENUES								
3. TRANSFERS IN FROM OTHER FUNDS								
4. EXPENDITURES								
5. TRANSFERS OUT TO OTHER FUNDS								
6. 16% CONTINGENCY ALLOWANCE (16% MULTIPLIED BY EXPENDITURES)								
7. BALANCE (1+2+3) – (4+5+6)								

PROVIDE EXPLANATION OF ANY FUNDS INCLUDED IN THE BUDGET DATA ABOVE THAT ARE NOT USABLE (RESTRICTED AS DEFINED IN THE INSTRUCTIONS) FOR THE PROPOSED PROJECT:

PROVIDE EXPLANATION OF ANY NEGATIVE BALANCE:

**BLOCK 4: Certification (Attach current financial statement)**

I, \_\_\_\_\_, the \_\_\_\_\_ of \_\_\_\_\_, do hereby certify to the Department of  
 (name) (title) (name of city, county, sub-applicant)

Economic Development that the information in Blocks 1,2, and 3 of FORM C is correct and can be verified by the records of the entity, including the **attached financial statement.**

CERTIFYING OFFICER	DATE
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**FY2019 APPLICATION: FORM C(s) – LOCAL EFFORT (page 2 of 2)**

**BLOCK 3: Budget Data (Must be completed for all projects by sub-applicant, if applicable)**

Budget for \_\_\_\_\_, \_\_\_\_\_, to \_\_\_\_\_, \_\_\_\_\_. Adopted on \_\_\_\_\_  
(month) (year) (month) (year) (date of adoption or latest amendment)

A. DESCRIPTION	B. GENERAL FUND	C. _____ FUND	D. _____ FUND	E. _____ FUND	F. _____ FUND	G. _____ FUND	H. _____ FUND	I. TOTAL
1. PREVIOUS YEAR BALANCE (PLUS ALL INVESTMENTS)								
2. REVENUES								
3. TRANSFERS IN FROM OTHER FUNDS								
4. EXPENDITURES								
5. TRANSFERS OUT TO OTHER FUNDS								
6. 16% CONTINGENCY ALLOWANCE (16% MULTIPLIED BY EXPENDITURES)								
7. BALANCE (1+2+3) – (4+5+6)								

PROVIDE EXPLANATION OF ANY FUNDS INCLUDED IN THE BUDGET DATA ABOVE THAT ARE NOT USABLE (RESTRICTED AS DEFINED IN THE INSTRUCTIONS) FOR THE PROPOSED PROJECT:

PROVIDE EXPLANATION OF ANY NEGATIVE BALANCE:

**BLOCK 4: Certification (Attach current financial statement)**

I, \_\_\_\_\_, the \_\_\_\_\_ of \_\_\_\_\_, do hereby certify to the Department of  
(name) (title) (name of sub-applicant)

Economic Development that the information in Blocks 1,2, and 3 of FORM C is correct and can be verified by the records of the entity, including the **attached financial statement.**

CERTIFYING OFFICER	DATE
--------------------	------

## FORM C – LOCAL EFFORT INSTRUCTIONS

Block 1 is to be completed by the applicant for all types of projects. Blocks 3 and 4 **must** be completed by the applicant or sub-applicant, as applicable. Round all dollar amounts to the nearest \$1.00. It is important to complete this section **completely** and **accurately**.

### BLOCK 1 – TAX RATES AND REVENUES:

**Column (A) – Tax Rate:** Indicate the tax rate levied in the **last** fiscal year. Property tax rate for **cities** should include levies for the general fund, bond retirement, parks, health, and other funds levied by the city council or a local board appointed by the city. If the tax is paid on a flat rate basis, write “Flat” in this column. Property tax rate for **counties** should include levies for the county (and township) general fund, bond retirement, and road and bridge fund, plus special district road and bridge levies for the specific area(s) of the improvement(s) proposed in the application.

**Column (B) – Actual Revenues Received:** Indicate the amount of tax revenues collected in the last fiscal year by each tax listed. These amounts must be certified by the budget officer in Block 4.

**Line 7 – Assessed Valuation:** Indicate the assessed valuation of the city or county applicant. This would include all property types – real and personal.

### BLOCK 2 – USER FEES:

All applicants must complete this section regardless of the category under which they are applying. If the applicant combines their water and sewer user fees in their billing to customers, enter “combined” in column (b), and indicate the combined rate in column (a). On line 3, indicate the monthly cost per user for residential services of 5,000 gallons used. On line 5, indicate the total amount of revenues collected during the last calendar year. If a new water or sewer system is proposed, Block 2 must be completed based on the first year’s projections.

### BLOCK 3 – BUDGET DATA:

Data from this section must correspond to the applicant’s (or sub-applicant’s) most recent budget, or amendments of that budget. Data from all financial accounts under the applicant’s direct control must be included, except those funds that have been restricted to a specific use by a vote of the citizens, or an official act of the governing body (ordinance, resolution, or written policy). However, all financial accounts directly related to the type of activity proposed must be included, regardless of whether it is restricted. Budgets under the authority of a legally-established board (such as a park board) must not be included unless that type of activity is included in the proposed project. **Do not** include budget data relating to state or federal grants, including local funds set aside to match those grants. **Attach a copy of the applicant’s or sub-applicant’s financial statements (Balance Sheet, Income Statement and Cash Flow Statement).**

Two copies of Block 3 have been included in the application; one for the applicant c(a) and one for the subapplicant c(s). If both entities are contributing matching funds, then both must complete the form. **For the entity that completes Block 3, submit a copy of the entity’s most recent financial statement (balance sheet and income statement).**

**Line 1 – (Beginning Balance):** Include all funds, which were available to the applicant (or sub-applicant) at the beginning of the fiscal year, **including** short and long-term investments (such as savings accounts and certificates of deposits).

**Line 6 – (16% Emergency contingency allowance):** Multiply the amount identified in line 4 (expenditures) by 16%, and enter here. This amount did **not** have to be included in the applicant’s actual budget. **Do not** add emergency or contingency set-asides included in the applicant’s budget to this line.

### BLOCK 4 – CERTIFICATION:

The certifying officer (for the applicant) must be the City Clerk or City Treasurer, County Clerk or County Treasurer or Treasurer of sub-applicant, whichever is applicable. For the subapplicant, the form must be certified by the Chief Operating Officer or the Chief Fiscal Officer. Only one original signature is required.

**Applicants/subapplicants must attach a copy of their most recent financial statement to the application.**

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM D – MINIMUM REQUIREMENTS AND MAXIMUM LIMITS**

**(Not applicable to Planning,  
 Water/Wastewater-Plans & Specs, Demolition)**

<b>PUBLIC FACILITY ACTIVITIES</b>					
<b>BLOCK 1: LMI BENEFIT AND CDBG COST PER FAMILY</b>					
<b>A. PUBLIC FACILITY/ PUBLIC PROJECT ACTIVITIES (ACTIVITY)</b>	<b>B. CDBG FUNDS IN ACTIVITY</b>	<b>C. NUMBER OF FAMILIES BENEFITING FROM ACTIVITY</b>	<b>D. NUMBER OF LMI FAMILIES BENEFITING FROM ACTIVITY</b>	<b>E. PERCENT LMI BENEFIT (MINIMUM 51%)</b>	<b>F. CDBG COST PER FAMILY BENEFITING (B/C)</b>
1.				%	\$
2.				%	\$
3.				%	\$
4.				%	\$
5.				%	\$
6.				%	\$
7.				%	\$
8.				%	\$
9. PROPERTY ACQUISITION (INCLUDING EASEMENTS)				%	\$
10. TOTAL CDBG PUBLIC FACILITIES/ PUBLIC PROJECTS (FORM B-I-9, COLUMN A) MAXIMUM \$5,000				%	\$

## FORM D – MINIMUM REQUIREMENTS & MAXIMUM LIMITS INSTRUCTIONS

### BLOCK 1: LMI BENEFIT AND CDBG COST PER FAMILY:

**Column A:** List the CDBG activities from Form B, I, numbers 1 to 8. Do not list legal and administration.

**Column B:** Indicate the amount of CDBG funds proposed for each activity listed in column A.

**Column C:** Indicate the total number of families that will benefit from the activity. A beneficiary is a family that uses the facility or service on a daily basis, and will be significantly impacted from the proposed activity by having the identified need resolved. The average statewide number of persons in a family is 2.47. Therefore, the number of LMI persons divided by 2.47 results in the number of LMI families.

**Column D:** Indicate the number of low and moderate-income (LMI) families that will benefit from the activity.

**Column E:** Use the LMI percentage from Form A. **If this percentage is less than 51%, the project is ineligible.**

**Column F:** Divide the CDBG cost for each activity (column B) by the number of families benefiting (column C). **If this exceeds \$5,000 per family, the project is ineligible. Professional services, except legal and administration, must be included in the total on Line 10 (Form B, I, 9, column A).** Do not double count a family on Line 10 if it would benefit from more than one activity.

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM E – PROFESSIONAL SERVICES**

**OPTIONAL PRESELECTION OF PROFESSIONAL SERVICES** (If any of the following professional services, to be paid with CDBG funds, have been pre-selected, please complete)

**NOTE:** Pre-selection of administrative services requires notification of the area regional planning commission as well as ALL grant administrators as stated on the published CDBG administrator list (available by request at 573/751-3600) in addition to all other proper procurement procedures. Failure to follow required procurement procedures will require the process to be repeated if the project is funded.

A. TYPE OF SERVICE	B. FIRM NAME	C. PROPOSED COST	D. SOURCE OF FUNDS	E. DATE OF SELECTION
1. ENGINEERING DESIGN				
2. CONSTRUCTION INSPECTION				
3. ADMINISTRATION				
4. DEMOLITION INSPECTION				
5. ASBESTOS INSPECTION				
6. OTHER: _____				
<b>1. NUMBER OF PROPOSALS RECEIVED FOR:</b>				
A. ENGINEERING DESIGN:				
B. CONSTRUCTION INSPECTION:				
C. ADMINISTRATION:				
D. DEMOLITION INSPECTION:				
E. ASBESTOS INSPECTION:				
F. OTHER (Please list):				
2. BASIS OF SELECTION DOCUMENTED?			<input type="checkbox"/> YES <input type="checkbox"/> NO	
3. NON-SELECTED FIRMS NOTIFIED IN WRITING?			<input type="checkbox"/> YES <input type="checkbox"/> NO	
4. IF FEWER THAN THREE PROPOSALS WERE RECEIVED ON ANY OF THE ABOVE, HAS DED BEEN NOTIFIED AND/OR APPROVED? <b>(PLEASE SUBMIT SUPPORTING DOCUMENTATION.)</b>			<input type="checkbox"/> YES <input type="checkbox"/> NO	

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM F – DEMOLITION ACTIVITIES ONLY**

**DEMOLITION APPLICANTS ONLY**

**INSTRUCTIONS: BASED ON THE REQUIRED APPLICATION MAP, COMPLETE THE FOLLOWING INFORMATION. THE MAP AND THIS FORM MUST CORRESPOND IN ALL CATEGORIES. IF THEY DO NOT CORRESPOND, THE MAP WILL BE CONSIDERED THE ACCURATE DOCUMENT.**

<b>1. NUMBER OF UNITS IN THE TARGET AREA:</b>			
A. TOTAL NUMBER OF DILAPIDATED OCCUPIED RESIDENTIAL STRUCTURES (D)			
B.. TOTAL NUMBER OF VACANT DILAPIDATED RESIDENTIAL STRUCTURES (DX)			
C. TOTAL NUMBER OF VACANT COMMERCIAL & NON-RESIDENTIAL STRUCTURES (ZX)			
D. TOTAL NUMBER OF VACANT DILAPIDATED COMMERCIAL & NON-RESIDENTIAL STRUCTURES (ZDX)			
<b>TOTAL UNITS ABOVE:</b>			
<b>2. PROPOSED ACTIVITIES IN THIS PROJECT</b>			
ACTIVITY	# OF DEMOLITIONS	TOTAL COSTS	AVERAGE COST/UNIT
A. VACANT RESIDENTIAL UNITS PROPOSED FOR DEMOLITION			
B. VACANT COMMERCIAL UNITS PROPOSED FOR DEMOLITION			
C. NUMBER OF PROPOSED DEMOLITIONS <b>WITH EXPECTED ASBESTOS REMOVAL COST</b>			

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM G – NARRATIVES**

**INSTRUCTIONS:** Locate the category in which you are applying. **Answer only the set of narrative questions listed under that category.** Respond to each question. Identify each response by the code assigned. Even if a question is addressed in the engineering report, briefly address question. If reference is made to engineering report, please indicate page and paragraph number. If other information is quoted, specifically cite the source of documentation.

**COMMUNITY FACILITY**

- CF – 1:** What kind of facility is needed?
- CF – 2:** Why is the facility needed?
- CF – 3:** How will the facility improve the health and safety of the users and the community?
- CF – 4:** How will the facility improve the education of the users?
- CF – 5:** Where is the closest similar facility?
- CF – 6:** Do members of your community have access to that other facility?
- CF – 7:** List the number of daily/monthly/annual users of the proposed facility.
- CF – 8:** How did you arrive at those numbers?
- CF – 9:** Describe the economic impact of the proposed facility to the community.
- Will the project result in increased jobs, increased private investment and/or increased local revenue stream?
  - How will this project make conditions more favorable so that these increases may occur?
- CF – 10:** How will you measure a successful outcome?
- CF – 11:** Describe specifically the construction details of the facility proposed (size, material, location, etc.).
- CF – 12:** Why is building this type of facility the best solution to address the need?
- CF – 13:** Describe all of the dollars (public and private) that are currently spent annually as a result of not having this facility to address the need?
- CF – 14:** How many occupied households will potentially benefit from the project?
- CF – 15:** What is the cost per household for:
- 1) Total project dollars
  - 2) CDBG dollars requested
- CF – 16:** How will the facility be maintained?
- CF – 17:** Is there a fee to use the facility?
- CF – 18:** How will the facility maintain a long-term operation?
- CF – 19:** Who will manage the facility?
- CF – 20:** Will the users remain constant?
- CF – 21:** Will the community support the operation of the facility beyond the current local government administration?
- CF – 22:** Describe the not-for-profit (if applicable) that is involved in the project.
- CF – 23:** How long has the not-for-profit been in business in the community?
- CF – 24:** Does the not-for-profit have experience in similar projects?
- CF – 25:** How did you decide on the amount of local city/county cash or local non-profit cash that you dedicated to the project?

- CF – 26:** Describe how you arrived at the financing proposed for the entire project.
- CF – 27:** Are other funding sources proposed as part of this project?
- CF – 28:** If so, are all other funds committed? Attach documentation (commitment letters, etc.).
- CF – 29:** Describe, in detail, the in-kind contribution for this project.
- CF – 30:** Does this project qualify for any other state or federal assistance program?
- CF – 31:** If yes, and funding from another program is included, please describe this participation.
- CF – 32:** If yes, but funding from the program was not accessed, please explain why.
- CF – 33:** Do you anticipate a need for Asbestos Inspection?
- CF – 34:** What has the community done in the past to try and solve the problem?
- CF – 35:** Please provide specific, detailed information indicating how ready this project is to start once funding is awarded.
- CF – 36:** Is this project part of the community's overall strategic plan?

**If community facility project is for ADA improvements, complete CF narrative section and also the following 10 ADA questions.**

- ADA – 1:** Describe the necessary modifications that are related specifically to compliance with the ADA law.
- ADA – 2:** Are there any other building improvements scheduled that will coincide with the accessibility modifications? If so, please describe them and include anticipated sources of financing.
- ADA – 3:** How many elderly and disabled persons reside in your community?
- ADA – 4:** What percentage do elderly and disabled persons represent of the population in your community?
- ADA – 5:** How many floors in the building have offices that provide services to the public?
- ADA – 6:** Describe each of these offices and the specific services they provide. Include the average number of persons visiting each office on a daily basis.
- ADA – 7:** Describe any verifiable threats to personal health and safety that currently exist as a result of not having public access to your building.
- ADA – 8:** Complete the following plan format for your proposal, **addressing all activities necessary to achieve full compliance with the law:**

ADA Activity	Cost	Source of Funds	Timeline for Completion

- ADA – 9:** Does this project qualify for any other state or federal assistance program(s)?
- ADA – 10:** There will be no contingent awards made. Describe ANY financing or activities not completed or committed that may affect the ability of this project to move forward.

**WORKFORCE TRAINING INITIATIVE**

- WI – 1:** Describe the proposed project in detail (size, location, etc.)
- WI – 2:** Why is this type of facility the best solution to address the need?
- WI – 3:** If a new facility – how many users will be served? Please provide evidence to support the number of users served.
- WI – 4:** If an existing facility – how many current and additional users will be served?

- WI – 5:** Describe the measurable outcomes you propose to track the participants.
- WI – 6:** Describe existing or imminent problem that will be addressed by this project. (Health, safety and education)
- WI – 7:** Who will manage/own/operate/maintain the facility?
- WI – 8:** What is the financial capacity and sustainability of the facility?
- WI – 9:** What funding sources are available to this project including – private, other State and/or Federal, local cash, loan, tax credits, etc.?
- WI – 10:** If funding sources are available, but not utilized, please explain.
- WI – 11:** Describe, in detail, the in-kind contribution for this project.
- WI – 12:** Please provide a detailed timeline of how ready the project is to start once funding is awarded.
- WI – 13:** What has the community done in the past to try and solve the problem?

## GENERAL INFRASTRUCTURE

- GI – 1:** Describe the need or needs addressed in this application.
- GI – 2:** How did you substantiate or document the need?
- GI – 3:** What threats to the health and safety of your citizens currently exists as a result of this need?
- GI – 4:** Describe any environmental concerns that exist as a result of your need.
- GI – 5:** Describe the project’s intended beneficiaries.
- GI – 6:** Describe the economic impact of the proposed facility to the community.
  - a: Will the project result in increased jobs, increased private investment and/or increased local revenue stream?
  - b: How will this project make conditions more favorable so that these increases may occur?
- GI – 7:** Is the need currently being addressed in any manner?
- GI – 8:** How will you measure a successful outcome?
- GI – 9:** Describe your proposed project in detail.
- GI – 10:** Describe the complete financial budget for the proposal. Include sources and uses, projected cash flow, if applicable, and any other data that will prove the project is feasible.
- GI – 11:** Provide a timeline or milestone schedule for implementation and completion of the proposed project.
- GI – 12:** Describe all alternative solutions considered to address the need and why the one selected is best.
- GI – 13:** Describe how the budget is cost effective.
- GI – 14:** Why is the project an appropriate investment of grant funds?
- GI – 15:** How will the improvements be maintained?
- GI – 16:** Please provide specific, detailed information indicating how ready this project is to start once funding is awarded.
- GI – 17:** How did you decide on the amount of local cash that you dedicated to this project?
- GI – 18:** Describe, in detail, the local in-kind activities dedicated to this project.
- GI – 19:** Does the project qualify for any other state or federal assistance programs?

- GI – 20:** If yes, explain the participation of that program in this project.
- GI – 21:** There will be no contingent awards made. Describe ANY financing not committed, or activities not completed, that may affect the ability of this project to move forward.
- GI – 22:** What specifically has the community attempted in the past to address the need?
- GI – 23:** If a for-profit or non-profit entity is involved in any stage of the proposal, please describe their specific role.
- GI – 24:** Please describe the history and experience of the for-profit or non-profit entity (including financial and managerial capacity), if applicable.
- GI – 25:** Are there any other organizations or groups that are participating in the project?
- GI – 26:** Is this project part of the community's overall strategic plan?
- GI – 27:** Did you purposely design a resilience factor into your project? If so, describe that feature.
- GI – 28:** List the stakeholders, consultants and other organizations serving vulnerable populations that provided direct input into your planning and project design process.

## **DOWNTOWN REVITALIZATION**

- DT – 1:** Briefly, what is the history of your community and the central business district (downtown)?
- DT – 2:** Describe your downtown as it exists today.
- DT – 3:** Why is there a need to revitalize the downtown?
- DT – 4:** Is the downtown accessible to foot traffic?
- DT – 5:** Is the traffic in and out of downtown convenient?
- DT – 6:** What percentage of buildings in the central business district are vacant?
- DT – 7:** On average, how long have these buildings been vacant?
- DT – 8:** What specific plan does the community have for addressing the vacant buildings?
- DT – 9:** Can vacant buildings be rehabilitated?
- DT – 10:** On average, how long have the existing businesses been operating in the downtown area?
- DT – 11:** Is there a parking problem?
- DT – 12:** What currently keeps people from shopping downtown?
- DT – 13:** What is your community's downtown revitalization strategy? (Include ultimate goal.)
- DT – 14:** When was this strategy adopted?
- DT – 15:** How has the strategy been implemented so far?
- DT – 16:** How does this revitalization effort fit into the ultimate revitalization goal?
- DT – 17:** How do you plan to market your downtown?
- DT – 18:** How did you select the architectural design guidelines?
- DT – 19:** How do those guidelines fit into the revitalization plan?
- DT – 20:** Have the guidelines been officially adopted?
- DT – 21:** How will the community implement the guidelines?
- DT – 22:** Describe your downtown group or organization.
- DT – 23:** What role does this organization play in the revitalization effort?
- DT – 24:** Who are the members and what are the rules for membership?
- DT – 25:** Summarize the proposed project. Include exact location, list of activities, estimated costs, length of completion and any other significant details.

- DT – 26:** Identify what activities listed above (DR-25) are to be paid with CDBG funds.
- DT – 27:** Describe the quality of all of the existing infrastructure.
- DT – 28:** Is this project part of a phased plan for downtown revitalization? If so, please describe.
- DT – 29:** If this project is one phase, describe the plan for completion of the other phases.
- DT – 30:** What is the amount of local public funds committed to the project, and what is their use?
- DT – 31:** What in-kind actions are committed to the project?
- DT – 32:** Who will manage the project?
- DT – 33:** Describe the economic impact of the proposed facility to the community.
- Will the project result in increased jobs, increased private investment and/or increased local revenue stream?
  - How will this project make conditions more favorable so that these increases may occur?
- DT – 34:** Please provide specific detailed information indicating how ready this project is to start once funding is awarded.
- DT – 35:** How will you measure a successful outcome?
- DT – 36:** How many blocks are:
- a. in the central business district
  - b. in the proposed revitalization area
- DT – 37:** How many buildings are:
- a. in the central business district
  - b. in the proposed revitalization area
  - c. participating
- DT – 38:** How many businesses are:
- a. in the central business district
  - b. in the proposed revitalization area
  - c. participating
- DT – 39:** Estimate how many people are:
- a. employed in the central business district
  - b. employed in the proposed revitalization area
  - c. employed in participating businesses (currently or expected to be created)
- DT – 40:** What percentage of the buildings in the central business district are:
- Owner Occupied: \_\_\_\_\_
- Renter Occupied: \_\_\_\_\_
- Locally Owned: \_\_\_\_\_
- Owned by an Absentee Landlord: \_\_\_\_\_
- DT – 41:** If applicable: What percent of the buildings in this phase are:
- Owner Occupied: \_\_\_\_\_
- Renter Occupied: \_\_\_\_\_
- Locally Owned: \_\_\_\_\_
- Owned by an Absentee Landlord: \_\_\_\_\_

**If slum/blight removal is the national objective for this application, please answer the following:**

- DT – 42:** Describe the boundaries of the designated blighted area. Be specific (street names, etc.)
- DT – 43:** State the percentage of properties that were deteriorated when the area was designated blighted.

- DT – 44:** When was the area declared blighted? Attach documentation (council resolution, minutes, etc.)
- DT – 45:** If the area is blighted on the basis of deteriorated public infrastructure, describe each infrastructure component (streets, sidewalks, etc.) and its condition.

## DEMOLITION

- D – 1:** Provide general description of the characteristics of the community.
- D – 2:** Provide a description of the buildings proposed for demolition: length of vacancy, former use, state of disrepair, significant problems, etc.
- D – 3:** How many total D (occupied dilapidated) and DX (vacant dilapidated) properties are in the applicant's jurisdictional boundaries? \_\_\_\_\_
- D – 4:** How many of those D's are occupied and how many are vacant DX residential units?  
D\_\_\_\_\_ DX\_\_\_\_\_
- D – 5:** How many commercial buildings are dilapidated vacant (ZDX) and how many are only vacant, but not dilapidated (ZX)? ZDX\_\_\_\_\_ ZX\_\_\_\_\_
- D – 6:** Describe the community's process for selecting these structures for demolition?
- D – 7:** Of the proposed structures (residential & commercial if applicable) has documentation of ownership been provided?
- D – 8:** Proof of clear title for each proposed structure will be required if project is funded. **Identify the funding source for the cost of this service.** Make sure to include cost on Form B (budget page).
- D – 9:** Does the applicant have an annual demolition budget, if so how much? \_\_\_\_\_
- D – 10:** Describe the community's long-term plan to maintain the lots resulting from the demolition activities of this proposed project.
- D – 11:** Discuss the public interest shown or lack thereof in this project.
- D – 12:** Has the applicant adopted guidelines for the project: priorities, construction management, salvage rights, environmental requirements, etc.? If so is a copy included?
- D – 13:** Describe project readiness. Address all of the following components:  
Identify applicants official point of contact (must be city official or employee)  
Identify applicant's finance officer (must be city official or employee)  
Administrator Pre-selected (provide documentation)  
Demolition Inspector Pre-selected (provide documentation)  
Licensed Asbestos Inspector Pre-selected (provide documentation)  
Licensed Asbestos Contractor list (provide list)  
Demolition contractor list (provide list)  
Does the demolition contractor's list include MBE/WBE (Section 3/DBE)?  
Section 106 initiated or completed (provide documentation)
- D – 14:** For each of the below indicate if the community enforces the code AND the number of violations, permits, or zoning reviews performed or issued in the last 2 years.

Action	Exists in community?	Enforced in community?	Number in last 2 years
Building codes			
Housing codes			
Occupancy permits			

Property maintenance code			
Zoning			
Unsafe Building Ordinance			
Condemnations			

- D – 15:** Of the structures proposed for demolition list any that have been cited under the above ordinances. Specify the specific ordinance per citation.
- D – 16:** If there has been no code enforcement for the last 2 years, explain why.
- D – 17:** Describe the applicant’s actual demolition activities over the past two years.
- D – 18:** Describe efforts to leverage other funds and in-kind (non-cash) efforts for the proposed demolition activities. Firm commitments from all public and private sources must be included. **Private in-kind labor match is not eligible.** Contingent or uncommitted (unsigned) commitment letters and/or consent forms will not be considered as documented match.
- D – 19:** Provide the estimated cost for each proposed structure (itemize each).
- D – 20:** Provide estimated asbestos removal cost for each proposed structure. Describe any other hazardous waste disposal required for the demolition of each structure.
- D – 21:** Include a copy of the applicant’s formally adopted dangerous building or nuisance ordinance that was used to document the slum/blight national objective.
- D – 22:** Provide termination records **from a utility service provider** to document that each structure proposed for demolition has been vacant for at least 12 months. Documentation must include termination date, address and property owner name. A statement from the applicant is not sufficient documentation.
- D – 23:** Describe any proposed structures that constitute a conflict of interest (apparent or perceived). List those structures and the owner, and detail the conflict of interest.
- D – 24:** Provide a list of city’s current employees and elected officials.
- D – 25:** Have the property owners committed in writing to provide cash match for the demolition cost (Commercial owners 20%; Residential owners \$500). Are copies of those commitments included with this application?
- D – 26:** Provide a realistic timeline for the initiation and completion of this project. Demolition projects should be completed within 24-months or less.
- D – 27:** If a Section 106 review results in an MOA (Memorandum of Agreement) or recordation on any historic structures does the city have the budget for these costs? If not, how will these costs be paid?
- D – 28:** Include photos of the proposed structures with application? Photos for application can be a color copy; they are not required to be on photo paper.
- D – 29:** Does each consent form include the following required information?  
Street address  
Owner’s printed name  
Owner’s signature  
Owner’s dollar amount match

## WATER AND WASTEWATER

- PF – 1:** Of the following scenarios, please select all that apply to your particular project and provide a detailed explanation (continued on following page).
- a. Obsolescence of an existing facility

- b. Lack of existence of a needed facility
  - c. Regulatory requirements which require improvements
  - d. Improper maintenance
  - e. Improper design of the original facility
  - f. Significant or unexpected growth
  - g. Potential or anticipated growth
  - h. Long term strategic or capital improvement planning
  - i. System failure
  - j. Inherent social/economic factors
  - k. Natural or manmade disaster
  - l. Other
- PF – 2:** Provide a history, if applicable, of your system, including how it was originally financed.
- PF – 3:** What significant changes, if applicable, have taken place that lead to the need for construction or improvement of your system?
- PF – 4:** What threats to the health and safety of your citizens currently exists as a result of this need?
- PF – 5:** Describe any environmental concerns that exist as a result of your need.
- PF – 6:** Describe any property damage that exists as a result of the need.
- PF – 7:** Describe the financial management system established for the water or wastewater utility:
- a. Is there a separate fund established?
  - b. Are revenues and expenses tracked?
  - c. How are delinquent accounts handled?
  - d. Is the system subsidized at all by other utility funds or general revenue fund?
- PF – 8:** Do you have a licensed operator?
- PF – 9:** Have you completed an overall system evaluation? Please explain.
- PF – 10:** Describe the proposed project in detail.
- PF – 11:** Please provide a detailed timeline of the project (easement acquisition, construction bidding, etc.).
- PF – 12:** What costs are associated with the easements?
- PF – 13:** Who is the proposed responsible party for each step of the easement process?
- PF – 14:** Describe all of the dollars spent as a result of your current need.
- PF – 15:** Describe the costs per beneficiary for the total project dollars and the costs per beneficiary for the CDBG dollars requested.
- PF – 16:** Describe how the system will be maintained (both financially and physically).
- PF – 17:** Please provide specific, detailed information indicating how ready this project is to start once funding is awarded.
- PF – 18:** Describe, in detail, the in-kind contribution for this project.
- PF – 19:** Are all other funding sources, involved in the project, committed? Provide documentation.
- PF – 20:** What has the community done in the past to try and solve the problem?
- PF – 21:** Describe the economic impact of the proposed facility to the community.
- Will the project result in increased jobs, increased private investment and/or increased local revenue stream?
  - How will this project make conditions more favorable so that these increases may occur?
- PF – 22:** Is this project part of the community's overall strategic plan?
- PF – 23:** Did you purposely design a resilience factor into your project? If so, describe that feature.
- PF – 24:** List the stakeholders, consultants and other organizations serving vulnerable populations that provided direct input into your planning and project design process.

**WATER/WASTEWATER ENGINEERING ONLY**

- FP – 1:** Describe the beneficiaries of the proposed project.
- FP – 2:** Describe the project in detail.
- FP – 3:** Provide a timeline for completion of the plans and specifications.
- FP – 4:** Define the urgency or necessity to complete the project.
- FP – 5:** Describe any existing property damage.
- FP – 6:** To what extent will this project meet all of the needs of the system?
- FP – 7:** Are there any existing threats to the health and safety of the beneficiaries? If so, please explain.
- FP – 8:** Are there any existing threats to the environment? If so, please explain.
- FP – 9:** Describe the existing technical, financial, and managerial capacity of the system in detail.
- FP – 10:** Provide specific information why the grant is needed and what impact it will have on the community and the project.
- FP – 11:** What is the current placement of the project on the IUP (carryover project)?
- FP – 12:** If carryover project, have you re-applied to DNR?

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM H – CIVIL RIGHTS COMPLIANCE**

TO DOCUMENT COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, PROVIDE THE INFORMATION IN THE SPACE BELOW.

REPORT TOTAL POPULATION AS FOUND IN CENSUS OR SURVEY. SHOULD MATCH FORM A, BLOCK 4.

	Total Applicant Population	Hispanic Applicant Population
White:		
Black/African American:		
Asian:		
American Indian/Alaskan Native:		
Native Hawaiian/Other Pacific Islander:		
American Indian/Alaskan Native & White:		
Asian & White:		
Black/African American & White:		
Am. Indian/Alaskan Native & Black/African Am.:		
Asian & Native Hawaiian/Other Pacific Islander:		
All Others:		
<b>TOTAL</b>		
Female Head of Household:		
Handicapped (Disabled):		
Elderly:		

PROVIDE INFORMATION IN THE SPACE BELOW FOR THE PERSONS TO BE SERVED BY THE PROJECT.

REPORT TOTAL PERSONS TO BE SERVED BY PROJECT IF DIFFERENT THAN QUESTION 1. SHOULD MATCH FORM A, BLOCK 6.

	Total Project Beneficiaries	Hispanic Project Beneficiaries
White:		
Black/African American:		
Asian:		
American Indian/Alaskan Native:		
Native Hawaiian/Other Pacific Islander:		
American Indian/Alaskan Native & White:		
Asian & White:		
Black/African American & White:		
Am. Indian/Alaskan Native & Black/African Am.:		
Asian & Native Hawaiian/Other Pacific Islander:		
All Others:		
<b>TOTAL</b>		
Female Head of Household:		
Handicapped (Disabled):		
Elderly:		

IDENTIFY THE MINORITY GROUP(S) POPULATIONS, OR PORTION THEREOF, RESIDING IN THE APPLICANTS JURISDICTION THAT WILL NOT BE SERVED BY ONE OR MORE OF THE PROPOSED ACTIVITIES AND EXPLAIN WHY. NOTE: "NOT APPLICABLE" IS NOT A SUFFICIENT RESPONSE.

Please note: An individual Form H is required for **each jurisdiction** in a multi-jurisdictional application.

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM I – PUBLIC PARTICIPATION AND NEEDS ASSESSMENT**

**1. PUBLIC PARTICIPATION REQUIREMENT**

ATTACH:

COPY OF PUBLIC HEARING NOTICE FROM NEWSPAPER (PHOTOCOPY MUST INCLUDE DATE OF PUBLICATION AND NAME OF PUBLICATION AS THEY APPEAR ON THE PAGE, OTHERWISE SUBMIT AFFIDAVIT).

OR

COPY OF POSTED ADVERTISEMENT

CERTIFIED LIST OF POSTING SITES WITH DATES POSTED, IF APPLICABLE

COPY OF THE MINUTES OF THE HEARING

DATE OF NEWSPAPER ADVERTISEMENT, IF APPLICABLE:

DATE OF POSTINGS (IF APPLICABLE):

DATE OF PUBLIC HEARING:

**2. CONFLICT OF INTEREST**

**CONFLICT OF INTEREST CERTIFICATION:** CHECK THE APPROPRIATE BOX BELOW, AND CERTIFY WITH THE SIGNATURE OF THE APPLICANT'S CHIEF ELECTED OFFICIAL.

I HAVE READ THE CONFLICT OF INTEREST POLICY IN STEP 2 OF THE GUIDELINES AND HEREBY CERTIFY THAT I HAVE NO KNOWLEDGE OF CONFLICTS, REAL OR APPARENT, REGARDING ANY OF THE ENTITIES, OR EMPLOYEES OF THE ENTITIES, INVOLVED IN THE PROJECT AS HEREIN DESCRIBED.

A POTENTIAL OR REAL CONFLICT OF INTEREST EXISTS WITH THIS PROJECT, AND IS FULLY DESCRIBED ON AN ATTACHED SHEET OF PAPER.

CHIEF ELECTED OFFICIAL

DATE

**3. NEEDS ASSESSMENT REQUIREMENT**

ATTACH:

COMPLETED AND EXECUTED NEEDS ASSESSMENT DOCUMENT PAGE (SIGNED BY PROPER OFFICIAL)

SUPPORTING DOCUMENTATION OF ANY ADDITIONAL MEETINGS WHERE INFORMATION WAS COMPILED

SIGN IN SHEETS

DESCRIBE ALL ACTIVITIES TAKEN TO OBTAIN SUBSTANTIAL PUBLIC INPUT IN COMPILING THE NEEDS ASSESSMENT DOCUMENT:

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: COMMUNITY NEEDS ASSESSMENT (PAGE 1 OF 4)**

<b>1. APPLICANT NAME:</b>				
<b>2. PERCENT OF LOW &amp; MODERATE INCOME (LMI) PERSONS IN THE APPLICANT'S JURISDICTION (CITY/COUNTY):</b>				
Please complete all sections of this document except D, E, and part of H (which may be completed using census data) at the time of pre-application required public hearing and any subsequent meetings the community feels necessary to compile a representative response for the community. The responses should best reflect the consensus of the hearing participants as a whole. There are no right or wrong responses. The assessment should honestly reflect the public's opinion and perception. If the elected officials disagree with any majority answer, an explanation should be offered.				
	<b>QUALITY OF FACILITIES AFFECTING ENTIRE JURISDICTION (Check one)</b>			
<b>A. PUBLIC WORKS INFRASTRUCTURE (Address &amp; complete at public hearing)</b>	<b>DOESN'T EXIST</b>	<b>GOOD</b>	<b>FAIR</b>	<b>POOR</b>
1. Water Source				
2. Water Treatment				
3. Water Distribution				
4. Sanitary Sewer Treatment				
5. Sanitary Sewer Collection				
6. Storm Sewer Collection				
7. Other Drainage				
8. Streets/Drainage				
9. Bridges				
10. Sidewalks				
11. Parks/Recreation Facilities				
12. Landfill				
13. Electrical Generation Or Distribution				
14. Natural Gas Distribution				
15. Other (List):				
<b>B. PUBLIC SERVICES (Address &amp; complete at public hearing)</b>				
1. Fire Protection				
2. Police Services				
3. Code Enforcement/Planning/Zoning				
4. Energy Conservation				
5. Health Care				
6. Recreational/Cultural Activities				
7. Snow Removal				
8. Street Cleaning				
9. Park Maintenance				
10. Emergency Medical Services				
11. Trash Removal				
12. Street Lighting				
13. Sidewalks				
14. Parking				
15. Other (List):				

**COMMUNITY NEEDS ASSESSMENT (PAGE 2 OF 4)**

<b>C. COMMUNITY FACILITIES (Address &amp; complete at public hearing)</b>	<b>DOESN'T EXIST</b>	<b>GOOD</b>	<b>FAIR</b>	<b>POOR</b>	
1. Community Center					
2. Senior Citizen Center					
3. Historic Preservation					
4. Sheltered Workshop					
5. Hospital(S)					
6. Infant/Day Care					
7. Mental Health Counseling Services					
8. Senior Citizen Transportation					
9. Teen/Youth Center					
10. Drug Abuse Prevention/Rehabilitation					
11. Crime Prevention Program					
12. Community Theater					
13. Library					
14. Other (List):					
<b>D. HOUSING</b> (Required by all applicants – may be completed using census data rather than public hearing.) The following website is a good source for this information. <a href="http://www.census.gov/acs/www/data/data-tables-and-tools/data-profiles/">http://www.census.gov/acs/www/data/data-tables-and-tools/data-profiles/</a>	<b>SINGLE FAMILY</b>	<b>MULTI-FAMILY</b>	<b>OWNER</b>	<b>RENTAL</b>	
1. Number Of Occupied Housing Units					
2. Number Of Housing Units Occupied By LMI (80% Or Less Of Median Income)					
3. Number Of Housing Units Occupied By Very Low Income (50% Or Less Of Median)					
4. Number Of Housing Units Occupied By Extremely Low Income (30% Or Less Of Median)					
5. Number Of Substandard Housing Units					
6. Vacancy Rate (%)					
7. Number Of Dilapidated Units Requiring Demolition					
8. Number Of Occupied Dilapidated Units					
9. New Housing Units Needed To Provide Housing For New Employment					
10. Number Of Housing Units Needed To Replace Housing To Be Demolished					
11. Number Of Affordable Housing Units Available					
12. Number Of Rent-Subsidized Units					
13. Number Of Units Needing Rent Subsidies					
14. Number Of Units Available For Person With Special Needs (Physically Or Mentally Challenged)					
15. Number Of Housing Units Needed For Persons With Special Needs					
<b>E. HOUSING MARKET WITHIN COMMUNITY (Required by all applicants – may be completed using census or local housing data rather than at public hearing)</b>	<b>AVAILABILITY (Check one)</b>				
	<b>LOW</b>			<b>HIGH</b>	
1. Duplexes For Rent	1	2	3	4	5
2. Medium To Large Apartments (2+ Bedrooms)	1	2	3	4	5
3. Low Priced Single Family Homes (Under \$40,000)	1	2	3	4	5
4. Medium Priced Single Family Homes (\$40,000 To \$90,000)	1	2	3	4	5
5. High Priced Single Family Homes (Over \$90,000)	1	2	3	4	5

**COMMUNITY NEEDS ASSESSMENT (PAGE 3 OF 4)**

F. COMMUNITY HEALTH ENVIRONMENT (Address & complete at public hearing)	AVAILABILITY (Check one)				
	LOW			HIGH	
1. Primary Care Physicians	1	2	3	4	5
2. Health Care Specialists	1	2	3	4	5
3. Walk-In Clinics	1	2	3	4	5
4. Mobile Clinics	1	2	3	4	5
5. Dentists	1	2	3	4	5
6. Home Care Services	1	2	3	4	5
7. Licensed Child Care	1	2	3	4	5
8. Youth/Elderly Services	1	2	3	4	5
9. Substance Abuse Programs	1	2	3	4	5
10. Patient Transportation Services	1	2	3	4	5
11. EMS/911	1	2	3	4	5
G. EDUCATION PROFILE (Address & complete at public hearing)	AVAILABILITY (Check one)				
	LOW			HIGH	
1. Preschools	1	2	3	4	5
2. Public Schools	1	2	3	4	5
3. Private Schools	1	2	3	4	5
4. Vocational Schools	1	2	3	4	5
5. Community Colleges	1	2	3	4	5
6. Universities	1	2	3	4	5
7. Continuing Education	1	2	3	4	5
8. Employer-Based Skills Training	1	2	3	4	5
9. Cooperative School-Business Partnerships	1	2	3	4	5
10. Shared School Facilities (Recreation, Library, Etc.)	1	2	3	4	5
11. Entrepreneurship Training	1	2	3	4	5
12. Children's Groups (4-H, Scouts, Etc.)	1	2	3	4	5
13. Other (List):	1	2	3	4	5
H. ECONOMIC DEVELOPMENT (Required by all applicants – may be completed using local data.)					
1. Average Rate Of Unemployment For The County For The Past Six Months (Percentage):					%
2. Average Rate Of Unemployment For The County For The Past Year (Percentage):					%
3. Average Work Force Age (Example – 20-30, 30-40, 40-50, 50-60, 60+):					
4. What Are The Community's Predominate Job Skills? <input type="checkbox"/> Skilled Jobs <input type="checkbox"/> Non-Skilled Jobs					
5. Education Level For Most Of The Work Force (Check The One That Best Represents The Community) <input type="checkbox"/> High School <input type="checkbox"/> College/University <input type="checkbox"/> Specialty/Vocational					
6. Does The Community Have An Enterprise Zone? <input type="checkbox"/> Yes <input type="checkbox"/> No					
7. Is The Community Planning To Obtain An Enterprise Zone? <input type="checkbox"/> Yes <input type="checkbox"/> No					
8. Does The Community Currently Have An Industrial Park? <input type="checkbox"/> Yes <input type="checkbox"/> No					
9. If The Answer Is "Yes" To Item 8, Please Indicate If It Is <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Both					

**COMMUNITY NEEDS ASSESSMENT (PAGE 4 OF 4)**

10. Describe The Following Conditions Of Any Present Industrial Park(S): (Please Check The Appropriate Box)	Doesn't Exist	Good	Fair	Poor
A. Roads				
B. Sewer				
C. Water				
D. Electric				
E. Gas				
F. Lighting				
G. Rail				

11. Describe Any Actions Proposed To Stimulate Employment And Private Investment:

I. EMPLOYMENT OPPORTUNITIES (Address & complete at public hearing)	AVAILABILITY (Check one)				
	LOW			HIGH	
1. Skilled Jobs	1	2	3	4	5
2. Non-Skilled Jobs	1	2	3	4	5
3. Job Training	1	2	3	4	5

**J. IDENTIFY THE COMMUNITY'S TOP FIVE PRIORITY NEEDS IN THIS ASSESSMENT – LIST IN ORDER OF IMPORTANCE AND INTENTION TO ADDRESS**

- 1.
- 2.
- 3.
- 4.
- 5.

**K. DESCRIBE THE PROPOSED PROJECT AS IT RELATES TO THE TOP FIVE PRIORITIES:**

**L. IF THE PROPOSED PROJECT DOES NOT APPEAR IN THE TOP FIVE COMMUNITY PRIORITIES, PROVIDE AN EXPLANATION:**

*This Document Was Completed By Consensus (Where Required) Of The Participation Of A Pre-Application Public Hearing Held On \_\_\_\_\_, 20\_\_\_\_\_, And Subsequent Meetings Held On \_\_\_\_\_, 20\_\_\_\_\_. Supportive Documentation Of All Meetings (Minutes, Sign In Sheets) Is Attached.*

\_\_\_\_\_  
SIGNATURE OF CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
DATE

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM J – STATEMENT OF ASSURANCES**

(An individual Statement of Assurances is required for each jurisdiction in a multi-jurisdictional application.)

The applicant hereby assures and certifies that:

1. It possesses legal authority to apply for the grant, and execute the proposed program.
2. The Applicant agrees that it will complete the Project within three years from the effective date of this CDBG Grant Agreement.
3. The Applicant agrees that it will adhere to the projection of grant expenditures by activity as submitted with the application, or as amended and approved by DED.
4. The Applicant agrees disbursement of funds must occur in a timely manner. If payment takes longer than three days (“three day rule” referenced in Financial Chapter of CDBG Administrative Manual), written justification is to be maintained in the project files.
5. The Applicant agrees that internal financial controls are in place and are adequate. The Applicant agrees to establish and maintain a financial management system in order to provide accurate, current, and complete disclosure of the financial status of the CDBG funded project by eligible program activity. The Applicant agrees to provide effective control over and accountability for CDBG funds, property and other assets, including proper segregation of duties.
6. The Applicant agrees to comply with the principles for determining allowable costs found in 2 CFR 200, (applicability 24 CFR 570.489).
7. The Applicant agrees to conduct the project in such a manner to ensure timely expenditure of funds and accomplishment reporting. The Applicant agrees to submit an update to expenditure projections on a quarterly basis, or in any event where the original timeline for full expenditure will be revised to a future date.
8. The Applicant agrees that any and all such amount of local funds or in-kind (force account) services or materials indicated in the attached Funding Approval form shall be equal to or greater than the amount indicated.
9. The Applicant agrees that any proposed activity budget variances (from the Funding Approval form) shall be approved by DED in writing prior to an obligation of funds for such activity; however, any variance shall be approved by the Applicant’s governing body in advance of an obligation of such activity. An amendment to the grant is required under the following conditions: all budget revisions between activity lines; transfer of any amount of funds to any professional services line item; request for grant increase, or deobligation of funds remaining at the close of the grant; and a request for addition of funds for an activity not listed on the funding approval.
10. The Applicant agrees to complete the Project in its entirety and as indicated in the Funding Approval form unless amended in writing and executed by all parties to this Agreement.
11. The Applicant agrees to comply with all state or federal legal, programmatic, or administrative requirements imposed by or described in the CDBG Administrative Manual or the CDBG Guidelines. The Applicant also agrees to comply with any other requirements of the State, including special requirements of law, program requirements, and other administrative requirements. The Applicant is aware that this includes, but is not limited to, the requirement that a grant recipient must repay to the State, upon sale of the CDBG-funded real property to a non-eligible entity, a pro-rata portion of the proceeds of the sale, as set forth in the CDBG Administrative Manual. Real property, acquired or improved in whole or in part with CDBG funds, must continue to meet the CDBG national objective for a period not less than five (5) years from the date of project closeout.
12. The Applicant agrees that upon Project completion, any CDBG funds remaining from the allocation indicated in the Funding Approval form shall be returned to DED if they have been drawn to the Applicant’s local depository, or cancelled if such funds have not been drawn.
13. The Applicant agrees to comply with 2 CFR 200, which governs the auditing requirements of these grant monies in accordance with the Single Audit Act of 1984 (amended 1996), and to

provide DED with all required audits. The Catalog of Federal Domestic Assistance (CFDA) number for state CDBG grants is 14.228.

14. CDBG Applicants and CDBG-DR Applicants agree to comply with the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 USC 5121-5207), as amended and the “necessary and reasonable” cost principles found in 24 CFR Part 570 and in OMB Circulars as they relate to the responsibility to recognize, investigate, determine and account for any duplication of benefits for any project funded with CDBG or CDBG-DR funds in response to a disaster or emergency. CDBG Applicants and CDBG-DR Applicants may be subject to a demand for repayment to the DED for any amount of CDBG funding found to have duplicated another federal, state, or local program or private insurance.

The Applicant agrees to comply with the “hierarchy” of disaster assistance (as described in the Duplication of Benefits chapter) and shall take all steps to ensure that CDBG funds are not used in a manner that disrupts that hierarchy. Such a disruption that results in a duplication of benefits shall be cause for repayment of CDBG funds.

The Applicant agrees to gather and retain documentation to prove the avoidance of a duplication of benefits as part of the Applicant’s master files and make such proof available to the State CDBG staff or HUD staff, as requested. Duplication of benefit records kept by the Applicant include any documents related to Projects for which Applicant is the owner and records for which the Applicant may have sponsored an application on behalf of a sub-applicant, and all records related to each subrecipient or direct beneficiary of CDBG funds.

The Applicant will provide the following:

- Identify the total need of assistance,
  - Identify the total of all available assistance,
  - Identify the assistance determined to be not available for the same purpose / activity,
  - Perform calculation determining the total funds available from other sources,
  - Perform calculation determining the maximum eligible award,
  - Require all applicants to sign a subrogation agreement to repay any assistance later received for the same purpose, and
  - Recapture funds if necessary. If additional need is established, subsequent CDBG or CDBG-DR funds would not be considered a duplication. If additional need is not demonstrated, CDBG or CDBG-DR funds must be recaptured to the extent they are in excess of the need and duplicate other assistance received by the beneficiary for the same purpose.
15. The Applicant agrees that State and HUD officials shall have full access to any documents or materials relating to this Agreement at any reasonable time.
  16. The Applicant agrees that all funds received under this Agreement shall be held and used by the Applicant for the purpose of accomplishing the Project only, and none of the funds so held or received shall be diverted to any other use or purpose.
  17. The Applicant agrees that any material prepared by the Applicant or persons or firms employed or contracted by the Applicant shall not be subject to copyright, and the State shall have the unrestricted authority to publish, distribute, or otherwise use, in whole or in part, any reports, data, or other material prepared under this Agreement.
  18. The Applicant agrees that any approval of contracts, sub-contracts, material or service orders, or any other obligation by the Applicant or its agents shall not be deemed an obligation by the State, and the State shall not be responsible for fulfillment of the Applicant’s obligations.
  19. The Applicant agrees to comply with the citizen participation requirements set out in Section 104(a) of the Act, including the State’s written Citizens Participation Plan in accordance with Section 508 of the Housing and Community Development Act of 1987.
  20. The Applicant agrees to adopt and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations in accordance with Section 519 of Public Law 101-144, and also agrees to enforce 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.

21. Any Applicant receiving over \$100,000 in CDBG funds agrees to carry out the terms of the "Certification Regarding Government-Wide Restriction on Lobbying" attached hereto and made a part hereof by signing same.
22. The Applicant agrees to comply with all reporting requirements of the HUD performance measurement or financial systems, including but not limited to the Disaster Recovery Grant Reporting (DRGR) system or Integrated Disbursement and Information System (IDIS). DED may suspend requests for CDBG funds by the Applicant for failure to comply with any specific requirement of reporting.
23. The Applicant agrees to comply with the policies and procedures set forth in Executive Order 96-03 for the protection of Missouri's wetlands.
24. The Applicant agrees to obtain and comply with all relevant state and/or federal permits and licenses related to construction and operation of any development activity funded by CDBG. The Applicant agrees and understands that copies of those permits and licenses shall be made available to CDBG, DED, or HUD upon request. The Applicant acknowledges that a lack of any such applicable permit or license may restrict Applicant access to the Funding Assistance.
25. In the event that the Applicant has, in DED's sole discretion, failed to comply with this Agreement or any other CDBG program requirement, the Applicant shall perform any remedial actions determined appropriate by the State to correct the deficiency, which actions may include, but are not limited to:
  - a. The Applicant's repayment or reimbursement to the State or local CDBG fund (at DED's discretion) of inappropriately used CDBG funds;
  - b. The Applicant's return to the State of CDBG funds deposited at the Applicant's local financial institution;
  - c. The Applicant's return to DED or the supplier of any equipment, materials, or supplies purchased, leased, or lease purchased using CDBG funds; and
  - d. Any other actions the State deems appropriate.Such actions shall be performed by the Applicant in the time period specified by the State in writing to the Applicant. The State may also refuse the Applicant's requests for CDBG funds or take other actions as the State deems appropriate to ensure proper performance of the terms of this Agreement and compliance with CDBG requirements.
26. The State may terminate this Agreement in whole or in part, at any time, including before Project completion, whenever it is determined by the State that the Applicant has failed to comply with the conditions of this Agreement. The State shall notify the Applicant in writing of the determination and the reasons for the termination, together with the effective date. The Applicant shall not obligate the Funding Assistance in any way after the effective date of the termination of the Agreement and it shall be the Applicant's duty to take any and all legal efforts to cancel any obligations outstanding upon termination.
27. The State and Applicant each binds himself to his successors, executors, administrators, assigns, and legal representatives to the other party to this Agreement and to the successors, executors, administrators, assigns, and legal representatives of such other party, in respect to all covenants, agreements, and obligations of this Agreement.
28. The Applicant agrees to assume all of the responsibilities for environmental review, decision making, and actions, as specified and required in Section 104(g) of the Act, the National Environmental Policy Act of 1969 and published in 24 CFR Part 58.
29. The Applicant agrees to comply with all applicable requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601), Sections 104(d), 104(k), and 105(a)(11) of the Act.
30. The Applicant agrees the use of CDBG funds for relocation activities must meet accessibility standards, provide reasonable accommodations to persons with disabilities, and take into consideration the functional needs of persons with disabilities in the relocation process.
31. The Applicant agrees to comply with the lead-based paint hazard control laws and regulations specified in Title X of the Housing and Community Development Act of 1992, implementing

regulations at 24 CFR Part 35; state statutes governing the licensing and conduct of persons addressing lead paint at Sections 701.300 - 701.324, RSMO and Work Practice Standards at 19 CSR 30-70; and OSHA regulations at 29 CFR 1926.

32. 24 CFR Part 570.489(g), governing the procurement requirements of CDBG applicants, states: When procuring property or services to be paid for in whole or in part with CDBG funds, the State shall follow its procurement policies and procedures. The State shall establish requirements for procurement policies and procedures for units of general local government, based on full and open completion. Methods of procurement (e.g., small purchase, sealed bids/formal advertising, competitive proposals, and noncompetitive proposal) and their applicability shall be specified by the State. Cost plus percentage of cost and percentage of construction costs methods of contracting shall not be used. The policies and procedures shall also include standards of conduct governing employees engaged in the award or administration of contracts. The Missouri CDBG Program follows the Missouri procurement process codified in Missouri Revised Statutes Chapter 34 as required by law. The Missouri CDBG program requires City and County Applicants and their subrecipients to follow the procurement policies developed and published by the CDBG program. Communities may use their own procurement procedures, which reflect applicable state and local laws and regulations, provided that the procurement conforms to the State CDBG Program's procurement policies and standards outlined in the CDBG Administrative Manual. The Applicant agrees to comply with the stricter of the procurement requirements between applicable state and local laws and the CDBG program procurement policy.
33. Applicable to requirements for CDBG-DR projects (Appropriations Act, Pub. L. 115-123), Procurement standards must include the evaluation of the cost or price of the product or service. Federal Register/ Vol. 83, No. 28 as amended by Federal Register/Vol. 83, No. 157. The CDBG-DR Applicant funds agrees to comply with the requirements to include the evaluation of the cost or price of the product or service, as described in the CDBG-DR Cost Reasonableness Policy.
34. The Applicant agrees to develop and adopt guidelines for a voluntary buyout program, either funded in full or partially funded by CDBG or CDBG-DR funds. The guidelines must meet the minimum policy requirements for the CDBG program.
35. Applicable to requirements for the CDBG Voluntary Buyout program, the Applicant agrees that all real estate purchased in the name of the project, must have open space deed restrictions in perpetuity.
36. Applicable to requirements for CDBG-DR projects which include CDBG-DR Housing Program activities, the Applicant agrees to develop guidelines for all housing assistance programs. The guidelines must meet the minimum policy requirements for the CDBG program and shall be adopted by resolution. The Applicant's guidelines must include housing construction and rehabilitation standards, incorporating program design standards, minimum standards for compliance with Housing Quality Standards (HQS) and meeting compliance for Green Building Standards as outlined in the CDBG-DR Policies and Procedures Implementation Manual.
37. The Applicant agrees to adopt a Grievance and Appeals policy that address handling incoming complaints, including a complaint escalation process in order to ensure that complaints are handled at the earliest stage in the process.
38. The Applicant agrees to comply with affordability periods for housing assistance programs as stated in the most relevant Federal Registers.
39. The Applicant agrees to certify that the Applicant will administer funded program activities in accordance with the Fair Housing Act and that the Applicant will affirmatively further fair housing.
40. The Applicant agrees to comply with federal labor standards requirements as defined in the Davis-Bacon Act, the Copeland Anti-Kickback Act, the Contract Work Hours and Safety Standards Act and the Missouri Prevailing Wage Law.
41. The Applicant agrees to comply with the requirements of the eVerify federal work authorization program as defined in Section 285.525(6), RSMo., with respect to employees working in connection with the activities associated with the Funding Assistance.

42. The Applicant agrees that as applicable, contracting organizations and their principals are not suspended or debarred from federal procurement and non-procurement programs.
43. The Applicant agrees that any program income generated by the use of CDBG funds (including, but not limited to, sale of property acquired or constructed in whole or in part with CDBG funds) will be used for CDBG eligible activities that meet a HUD national objective, or returned to DED. Use of program income is entirely at DED discretion. The Applicant also agrees that it will inform DED of the generation of any program income after the closing of the project. Program income generated while the project remains open and active must be used for CDBG-eligible costs prior to drawing additional CDBG funds for those costs.
44. The Applicant agrees to comply with the conflict of interest provisions specified in the CDBG Guidelines.
45. The Applicant agrees to comply with the Missouri CDBG Applicant Language Access Plan Guidance to develop and adopt a Language Access Plan in order to provide Limited English Proficient (LEP) persons with meaningful access to programs and activities funded by the federal government and awarded by MO DED.
46. The protection of Personally Identifiable Information (PII) data applies to all CDBG Applicants, subrecipients and contracted agents. Requirements of PII protection must be adhered to and as such are set forth in: Grant Agreements and subrecipient contracts and agreements. All entities participating with CDBG shall indicate their recognition, acceptance and concurrence with the CDBG PII policy by executing it and providing the executed copy to the CDBG Program. The existence of a signed copy for all entities will be a monitoring function and non-compliance may cause penalties for future grant awards.
47. The State agrees that it may, at any time, in its sole discretion, give any consent, deferment, subordination, release, satisfaction, or termination of any or all of the Applicant's obligations under this Agreement, with or without valuable consideration, upon such terms and conditions as the State may determine to be (a) advisable to further the purpose of the Project or to protect the State's financial interest therein, and (b) consistent with both the statutory purposes of the grant and the limitations of the statutory authority under which it was made.

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TYPED NAME

\_\_\_\_\_  
DATE

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM K – RESOLUTION**

A RESOLUTION OF THE CITY/COUNTY OF \_\_\_\_\_, MISSOURI, STATING INTENT TO SEEK FUNDING THROUGH THE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM AND AUTHORIZING THE MAYOR/PRESIDING COMMISSIONER TO PURSUE ACTIVITIES IN AN ATTEMPT TO SECURE FUNDING.

WHEREAS, Title I of the Housing and Community Development Act of 1974 does state as its primary objective “the development of viable urban communities, by providing decent housing, suitable living environment and expanding economic opportunities principally for persons of low and moderate income”;

WHEREAS, Title I does offer to communities the opportunity of monetary assistance in accomplishing its stated primary objectives;

WHEREAS, The Missouri Department of Economic Development is designated to award Community Development Block Grant funding under Title I; and,

WHEREAS, The city/county does have areas of need which may be addressed through the Community Development Block Grant program.

**NOW, THEREFORE, BE IT RESOLVED by the City/County of \_\_\_\_\_, Missouri, that it desires to participate with the Missouri Department of Economic Development in the improvement of our community under the activities authorized pursuant to the Housing and Community Development Act of 1974.**

THEREFORE, BE IT FURTHER RESOLVED, that the Mayor/Presiding Commissioner of \_\_\_\_\_, Missouri hereby is authorized to prepare and submit documents which are necessary in applying for funding and establishing an administrative organization to implement activities pursuant to the aforementioned act.

THEREFORE, BE IT FURTHER RESOLVED, that the applicant/sub-applicant will dedicate \$\_\_\_\_\_ of local cash funds and \$\_\_\_\_\_ of in-kind materials or labor to be used in this project.

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
DATE

\_\_\_\_\_  
ATTESTED BY

\_\_\_\_\_  
DATE

(AFFIX SEAL HERE)

**\*\*INSTRUCTIONS: Amount dedicated on resolution must match Form B, Total Column B and C. (An individual Resolution is required for each jurisdiction in a multi-jurisdictional application.)**

**IF MATCHING FUNDS ARE PLEDGED FROM A SUB-APPLICANT (NONPROFIT OR DISTRICT), A STATEMENT FROM THE SUB-APPLICANT PLEDGING THOSE FUNDS TO THIS PROJECT MUST ACCOMPANY THIS RESOLUTION. PLEDGED MATCHING FUNDS FROM A SUB-APPLICANT MUST STILL APPEAR ON THIS RESOLUTION.**

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM L(a) – APPLICANT’S CERTIFICATION ON LOBBYING RESTRICTIONS**

**An individual Anti-Lobbying Certification is required for each jurisdiction in a multi-jurisdictional application.**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards (at all tiers, including contracts under grants, loans, and cooperative agreements, subcontracts, and subgrants) over \$100,000, and that all subrecipients shall certify and disclose accordingly.

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

\_\_\_\_\_  
NAME OF APPLICANT

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TYPED NAME

\_\_\_\_\_  
DATE

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM L(b) – SUB-APPLICANT’S CERTIFICATION ON LOBBYING RESTRICTIONS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards (at all tiers, including contracts under grants, loans, and cooperative agreements, subcontracts, and sub-grants) over \$100,000, and that all sub-recipients shall certify and disclose accordingly.

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

\_\_\_\_\_  
NAME OF SUB-APPLICANT

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TYPED NAME

\_\_\_\_\_  
DATE

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM M – CERTIFICATION REGARDING SECTION 3 UTILIZATION**

(APPLICABLE ONLY IF REQUESTING \$200,000 OR MORE IN CDBG FUNDS)

(An individual Form M is required for each jurisdiction in a multi-jurisdictional application.)

The City/County of \_\_\_\_\_ hereby certifies as an applicant for funding under the Missouri Community Development Block Grant program, that it will adhere to the goals and objectives of Section 3 of the Housing and Urban Development Act of 1968, as amended in 1992, which provides that “economic opportunities” (employment, job training, contracting, etc.) generated by certain HUD financial assistance shall, to the greatest extent feasible, be directed toward the following target groups:

**Section 3 Residents**, defined and prioritized as:

- Low and Very Low-Income (LMI) persons residing in public housing within the grantee’s jurisdiction;
- Other Low and Very Low-Income Persons residing in the project area, based on HUD’s current Section 8 income limits for the county or Metropolitan Statistical Area (MSA) in which the project is located.

**Section 3 Business**, defined and prioritized as:

- A business that indicates it will provide specific economic opportunities for Section 3 residents located within the grantee’s jurisdiction;
- A business that is at least 51% owned by Section 3 residents;
- A business whose current permanent, full-time employees include at least 30% Section 3 residents, or employees who were Section 3 residents within three years of the date of first employment;
- A business that provides evidence of a commitment to subcontract in excess of 25% of the dollar amount of the contract to Section 3 business.

If selected to receive program funding as a result of this application, the City/County of \_\_\_\_\_ commits to achieving a target performance goal of 30% benefit to Section 3 residents and business from CDBG-generated economic opportunities, through active recruitment and direct solicitation within the project area (non-metropolitan county or MSA) done in a fashion consistent with existing Federal, State, and local laws and regulations. It is further understood that Section 3 performance and reporting requirements will apply to all businesses awarded contracts of \$100,000 or above as a result of CDBG funding for this project.

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
DATE

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM N – RESIDENTIAL ANTIDISPLACEMENT AND RELOCATION  
ASSISTANCE PLAN**

(An individual Form N is required for each jurisdiction in a multi-jurisdictional application.)

**REQUIRED BY ALL APPLICANTS FOR FY2019 FUNDING UNDER SECTION 104(d) OF THE HOUSING AND  
COMMUNITY DEVELOPMENT ACT OF 1974, AS AMENDED**

**The City/County of \_\_\_\_\_ will replace all occupied and vacant occupiable  
low/moderate-income dwelling units demolished or converted to use other than low/moderate income  
housing as a direct result of activities assisted with funds provided under the Housing and Community  
Development Act of 1974, as amended.**

All replacement housing will be provided within three years of the demolition of conversion. Before obligating or  
expending funds that will directly result in such demolition or conversion, the City/County of  
\_\_\_\_\_ will make public and submit, to the CDBG program, the following information in  
writing:

1. A description of the proposed assisted activity;
2. The general location on a map and approximate number of dwelling units by size (number of  
bedrooms) that will be demolished or converted to a use other than low/moderate-income dwelling  
units as a direct result of the assisted activity;
3. A time schedule for the commencement and completion of the demolition or conversion;
4. The general location on a map and approximate number of dwelling units by size (number of  
bedrooms) that will be provided as Section 104(d) replacement dwelling units;
5. The source of funding and a time schedule for the provisions of Section 104(d) replacement dwelling  
units; and
6. The basis for concluding that each Section 104(d) replacement dwelling unit will remain a  
low/moderate income dwelling unit for at least 10 years from the date of initial occupancy.

The City/County of \_\_\_\_\_ will provide relocation assistance, as described in  
Section 570.488, to each low/moderate-income household displaced by the demolition of housing or by the  
conversion of a low/moderate-income dwelling to another use as a direct result of assisted activities.

Consistent with the goals and objectives of activities assisted under the Act, the City/County of  
\_\_\_\_\_ will take the following steps to minimize the displacement of persons  
from their homes:

**\*\***

Based on initial review of project, the following occupied dwellings (by address) will be demolished or converted  
with grant funds:

**\*\***

As chief elected official of the City/County of \_\_\_\_\_, I hereby certify that the  
above plan was officially adopted on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
SIGNATURE, CHIEF ELECTED OFFICIAL

\_\_\_\_\_  
DATE

**\*\*The blanks indicated above MUST have a relevant  
statement included even if no displacement is planned.**

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM O (a) – SAMPLE FAIR HOUSING ORDINANCE FOR CITIES**

BILL NO. \_\_\_\_\_ ORDINANCE NO. \_\_\_\_\_

***AN ORDINANCE PROVIDING "FAIR HOUSING" FOR THE CITY OF \_\_\_\_\_, MISSOURI.  
DEFINES DISCRIMINATORY HOUSING PRACTICES, AND CREATES A FAIR HOUSING COMMITTEE.***

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF \_\_\_\_\_, MISSOURI, AS FOLLOWS:

**SECTION 1. - Declaration of Policy**

The City Council of the City of \_\_\_\_\_ hereby declares it to be the public policy of the City to eliminate discrimination and safeguard the right of any person to sell, purchase, lease, rent, or obtain real property without regard to race, color, religion, sex, handicap, familial status, or national origin. This ordinance shall be deemed an exercise of the police powers of the City of \_\_\_\_\_ for the protection of the public welfare, prosperity, health, and peace of the people of \_\_\_\_\_, Missouri.

**SECTION 2. - Definitions**

For the purpose of this ordinance the following terms, phrases, words, and their derivations shall have the meaning given herein unless the context otherwise indicates.

- a. Person shall include any individual, firm, partnership, or corporation.
- b. Aggrieved Person shall include any person who is attempting to provide housing for himself and/or his family in the City of \_\_\_\_\_, Missouri.
- c. Discriminate shall mean distinctions in treatment because of race, color, religion, sex, handicap, familial status, or national origin of any person.

**SECTION 3. - Discriminatory Practices**

It shall be a discriminatory practice and a violation of the ordinance for any person to:

- a. Refuse to sell or rent after the making of a bona fide offer, or to refuse to negotiate for the sale or rental of, or otherwise make unavailable or deny, a dwelling to any person because of race, color, religion, sex, handicap, familial status, or national origin of any person.
- b. Discriminate against any person in the terms, conditions, or privileges of sale or rental of a dwelling, or in the provision of services or facilities in connection therewith, because of race, color, religion, sex, handicap, familial status, or national origin.
- c. Make, print, or publish, or cause to be made, printed, or published any notice, statement, or advertisement, with respect to the sale or rental of a dwelling that indicates any preference, limitation, or discrimination based on race, color, religion, sex, handicap, familial status, or national origin, or an intention to make any such preference, limitation, or discrimination.
- d. Represent to any person because of race, color, religion, sex, handicap, familial status, or national origin, that any dwelling is not available for inspection, sale, or rental when such dwelling is in fact so available.
- e. For profit, to induce or attempt to induce any person to sell or rent any dwelling by representations regarding the entry or prospective entry into the neighborhood or a person or persons of a particular race, color, religion, sex, handicap, familial status, or national origin.
- f. Discriminate in the sale or rental of housing on the basis of a handicap of that buyer or renter; a person residing in or intending to reside in that dwelling after it is so sold, rented, or made available; or any person associated with that buyer or renter. The design and construction of new multi-family dwellings containing four (4) or more units is required to meet certain adaptability and accessibility requirements in accordance with Section 804 of the 1988 Fair Housing Amendments Act.
- g. Discriminate in the sale or rental of housing on the basis of familial status or because a family has children, exempting certain types of buildings that house older persons (e.g. Section 202 housing) in accordance with Section 807 of the 1988 Fair Housing Amendments Act.

**SECTION 4. - Discrimination in the Financing of a House**

It shall be unlawful for any bank, building and loan association, insurance company, or other corporation, association, firm, or enterprise whose business consists in whole or in part in the making of commercial real estate loans, to deny a loan to a person applying therefore for the purpose of purchasing, constructing, repairing, or maintaining a dwelling, or to discriminate against any person in the fixing of the amount or conditions of such loan, because of the race, color, religion, sex, handicap, familial status, or national origin of such person, or of any person therein associated in connection with such financing.

**SECTION 5. - Administration**

- a. There is hereby created a Fair Housing Committee whose membership shall consist of five members, who shall be appointed by the Mayor of the City with the approval of the City Council.
- b. Every complaint of a violation of this ordinance shall be referred to a Fair Housing Committee. The Fair Housing Committee shall forthwith notify the person against whom the complaint is made. The identity of the aggrieved person shall be made known to the person against whom the complaint is made at that time. If the Fair Housing Committee, after investigation, finds there is no merit to the complaint, the same shall be dismissed. If the Fair Housing Committee finds that there is merit in the complaint, in their opinion, then and in that event, the Fair Housing Committee will endeavor to eliminate the alleged discriminatory practice by conference and conciliation.
- c. If the Fair Housing Committee is unable to eliminate the alleged discriminatory practice by conference and conciliation, then and in that event, the Fair Housing Committee shall forward said complaint to the City Attorney for handling. The final determination of whether to prosecute in Municipal Court on said complaint shall be left to the City Attorney.
- d. Nothing in this ordinance shall be construed in such manner as to limit administrative enforcement mechanisms and recourse against alleged discriminatory housing practices through the U.S. Department of Housing and Urban Development, as specified under Section 810 of the Fair Housing Act as amended effective March 12, 1989, or through the Missouri Commission on Human Rights, as specified in applicable state statutes.

**SECTION 6. - Enforcement**

- a. Any person convicted in Municipal Court of a violation of this ordinance shall be punished by a fine of (not more than) \$\_\_\_\_\_, or by confinement in the City jail for (not more than) \_\_\_\_\_ days, or both such fine and imprisonment.
- b. The City Attorney, instead of filing a complaint in Municipal Court of said City, may, as an alternative remedy, seek to have the alleged discriminatory practices abated by an action for an injunction to be maintained in the appropriate Circuit Court of the State of Missouri.

**SECTION 7. - Severability**

If any section, subsection, paragraph, sentence, clause, or phrase of these standards shall be declared invalid for any reason whatsoever, such decision shall not affect the remaining portions of this ordinance which shall continue in full force and effect. To this end, the provisions of this ordinance are hereby declared to be severable.

**SECTION 8. - Savings Clause**

This ordinance shall not affect violations of any other ordinance, code, or regulation of the City of \_\_\_\_\_ existing prior to the effective date hereof. Any such violations shall be governed and shall continue to be punishable to the full extent of the law under the provisions of those ordinances, codes, or regulations in effect at the time the violation was committed.

Read the third time and passed, approved, and adopted by the City Council of the City of \_\_\_\_\_, Missouri, this day of \_\_\_\_\_.

\_\_\_\_\_  
MAYOR

**SEAL**

ATTEST

\_\_\_\_\_  
CITY CLERK

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM O (b) – SAMPLE FAIR HOUSING RESOLUTION FOR COUNTIES**

**PUBLIC NOTICE**

The Commissioners of \_\_\_\_\_ County as recipient of a Community Development Block Grant, have on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, adopted this "Fair Housing Resolution" in compliance with the 1988 Fair Housing Amendments Act:

***FAIR HOUSING RESOLUTION***

The County of \_\_\_\_\_, being aware of the manner in which the public welfare is promoted through fair housing, which provides for accommodations irrespective of race, color, religion, sex, handicap, familial status, or national origin, does hereby resolve to support fair housing within its jurisdiction by:

- A. Appointing or recruiting an executive official of the County as Fair Housing Officer to coordinate the implementation of this Fair Housing Resolution;
- B. Acquiring and disseminating information concerning citizen and individual rights under Missouri State and Federal statutes in the area of fair housing;
- C. Responding to allegations, complaints, or evidence of discriminatory practices in housing by accumulating information, cooperating with citizens who wish to exercise their rights under any law which enforces fair housing through conference and conciliation if possible, and by making referral to the appropriate authorities for legal proceedings if efforts fail to resolve said complaints;
- D. Maintaining records including copies of correspondence, memoranda, etc., which pertain to alleged violation of fair housing laws, and document that all of the above steps have been taken.

APPROVED BY THE GOVERNING BODY OF THE COUNTY OF \_\_\_\_\_, STATE OF MISSOURI, THIS DAY OF \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
COUNTY COMMISSIONER

SEAL

ATTEST

\_\_\_\_\_  
COUNTY CLERK

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM P – SAMPLE PROHIBITION RESOLUTION**

EXCESSIVE FORCE PROHIBITION RESOLUTION

A resolution establishing rules and regulations regarding the use of excessive force during non-violent civil rights demonstrations, including physically barring access to a facility or location which is the subject of such demonstration, and providing penalties for violations thereof. In the *City/County* of \_\_\_\_\_, Missouri, as follows:

**ARTICLE I**

Section 1: The *City/County* hereby adopts and will enforce this policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in non-violent civil rights demonstrations. The *City/County* also prohibits the physical barring of any entrance or exit to such a facility and will enforce all applicable State laws in this regard.

**ARTICLE II**

Section 1: Any person charged with a violation of any provision of this resolution will be served by the *City/County* with written notice stating the nature of the violation.

Section 2: Any person convicted of this violation shall be guilty of a misdemeanor, and shall be fined an amount not to exceed one hundred (100) dollars for each violation. Each day on which such violation occurs shall be deemed to be a separate offense.

Section 3: Any person violating any of the provisions of this resolution shall become liable to the *City/County* for any expense, loss, or damage occasioned the *City/County* by reason of such violation.

**ARTICLE III**

Passed and adopted by the *City Council/County Commission* of the *City/County* of \_\_\_\_\_, State of Missouri, on \_\_\_\_\_.

\_\_\_\_\_  
*Mayor/Presiding Commissioner*

**SEAL**

Attest:

\_\_\_\_\_  
*City/County Clerk*

**Note: This is intended for use as a sample. Articles I and III are the only required sections of the resolution. Article II is provided exclusively for example purposes.**

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM Q(a) – APPLICANT DISCLOSURE REPORT (PAGE 1 OF 3)**

(An individual Form Q is required for each jurisdiction in a multi-jurisdictional application.)

PART I – APPLICANT/GRANTEE INFORMATION	
1.	APPLICANT/GRANTEE NAME:
2.	ADDRESS:
3.	CITY/STATE/ZIP:
4.	FEDERAL EMPLOYEE IDENTIFICATION NUMBER:
5.	PHONE:
6.	INDICATE WHETHER THIS IS AN: <input type="checkbox"/> INITIAL REPORT <input type="checkbox"/> UPDATED REPORT
7.	PROJECT ASSISTED/TO BE ASSISTED – FISCAL YEAR:
8.	TYPE OF PROJECT:
9.	<input type="checkbox"/> COMPETITIVE GRANT <input type="checkbox"/> NON-COMPETITIVE GRANT/LOAN
10.	AMOUNT REQUESTED/RECEIVED:
11.	PROGRAM INCOME TO BE USED WITH ITEM 10 ABOVE:
12.	TOTAL OF ITEMS 10 AND 11:
PART II – THRESHOLD DETERMINATION	
1.	IS THE AMOUNT LISTED IN ITEM 12 ABOVE MORE THAN \$200,000? <input type="checkbox"/> YES <input type="checkbox"/> NO
2.	HAVE YOU RECEIVED OR APPLIED FOR OTHER HUD ASSISTANCE (THROUGH PROGRAMS LISTED IN ATTACHMENT A OF THE INSTRUCTIONS) WHICH, WHEN ADDED TO ITEM 12 (PART 1), IS MORE THAN \$200,000? <input type="checkbox"/> YES <input type="checkbox"/> NO
<p>IF THE ANSWER TO <b>EITHER</b> 1 OR 2 OF PART II IS "YES," THEN THE REMAINDER OF THIS REPORT MUST BE COMPLETED.</p> <p>IF THE ANSWER TO <b>BOTH</b> 1 AND 2 OF PART II IS "NO," THEN THE REMAINDER OF THIS REPORT IS <b>NOT</b> REQUIRED TO BE COMPLETED, BUT THE FOLLOWING CERTIFICATION MUST BE EXECUTED.</p> <p>I HEREBY CERTIFY THAT THE ABOVE INFORMATION IS TRUE AND CORRECT.</p>	
TYPED NAME (CHIEF ELECTED OFFICIAL):	
SIGNATURE, CHIEF ELECTED OFFICIAL:	DATE:





MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM Q(b) – SUB-APPLICANT DISCLOSURE REPORT (PAGE 1 OF 3)

**PART I – APPLICANT/GRANTEE INFORMATION**

1. APPLICANT/GRANTEE NAME:

2. ADDRESS:

3. CITY/STATE/ZIP:

4. FEDERAL EMPLOYEE IDENTIFICATION NUMBER:

5. PHONE:

6. INDICATE WHETHER THIS IS AN:  INITIAL REPORT  UPDATED REPORT

7. PROJECT ASSISTED/TO BE ASSISTED – FISCAL YEAR:

8. TYPE OF PROJECT:

9.  COMPETITIVE GRANT  NON-COMPETITIVE GRANT/LOAN

10. AMOUNT REQUESTED/RECEIVED:

11. PROGRAM INCOME TO BE USED WITH ITEM 10 ABOVE:

12. TOTAL OF ITEMS 10 AND 11:

**PART II – THRESHOLD DETERMINATION**

1. IS THE AMOUNT LISTED IN ITEM 12 ABOVE MORE THAN \$200,000?  YES  NO

2. HAVE YOU RECEIVED OR APPLIED FOR OTHER HUD ASSISTANCE (THROUGH PROGRAMS LISTED IN ATTACHMENT A OF THE INSTRUCTIONS) WHICH, WHEN ADDED TO ITEM 12 (PART 1), IS MORE THAN \$200,000?  YES  NO

IF THE ANSWER TO **EITHER** 1 OR 2 OF PART II IS "YES," THEN THE REMAINDER OF THIS REPORT MUST BE COMPLETED.

IF THE ANSWER TO **BOTH** 1 AND 2 OF PART II IS "NO," THEN THE REMAINDER OF THIS REPORT IS **NOT** REQUIRED TO BE COMPLETED, BUT THE FOLLOWING CERTIFICATION MUST BE EXECUTED.

I HEREBY CERTIFY THAT THE ABOVE INFORMATION IS TRUE AND CORRECT.

TYPED NAME (CHIEF OFFICIAL):

SIGNATURE, CHIEF OFFICIAL:

DATE:





## FORM Q – DISCLOSURE REPORT INSTRUCTIONS

**All applicants for CDBG funding must complete and submit, with their applications, Part I and II of the Disclosure Report. At the completion of Part II of the report, some applicants will find that they must complete Parts III, IV, V, and VI of the Report.**

**Part I** requires the applicant's name, address, phone and Federal Identification number; indication as to whether this is an initial report or an update (all applicants will check the initial report box); the fiscal year CDBG funds subject to the disclosure; check as to whether the disclosure is related to a non-competitive application; the amount of CDBG funds being requested; the amount of any CDBG program income that will be used with the CDBG funding, if any; and the total amount (funding requested and program income).

**Part II** asks two questions. If the answer to both questions is "no," the applicant must complete the certification at the end of Part II, but is not required to complete the remainder of the report. If the answer to either question is "yes," then the applicant must complete the remainder of the report.

**Part III** requires information on any other Federal, State and/or local assistance that is to be used in conjunction with the CDBG project (See Attachment A).

**Part IV** requires the identification of interested parties. Interested parties are persons and entities with a pecuniary interest in the project. If any entity is being disclosed, the disclosure in Part IV must include an identification of each principal of the entity. All consultants, developers or contractors involved in the application for CDBG assistance, or in the planning, development or implementation of the project, must be identified as an interested party. Also, any other person or entity that has a pecuniary interest in the project that exceeds \$50,000 or 10 percent of the CDBG assistance, whichever is lower, must be listed as an interested party. Pecuniary interest means any financial involvement in the project, including (but not limited to) situations in which a person or entity has an equity interest in the project, shares in any profit or resale or any distribution of surplus cash or other assets of the project or receives compensation for any goods or services provided in connection with the project. (The following are not considered interested parties: local CDBG administrative staff and recipients of housing rehab assistance).

It is realized that at the time of application, applicants may not be aware of all interested parties since contracts and agreements for goods and services are not generally awarded until after notice of grant award. Subsequent to grant award, as projects are being implemented, funds will be committed to interested parties which will necessitate the submission of an updated Disclosure Report. However, if an applicant for CDBG funds identifies, under Part III of the Disclosure Report, other governmental assistance that is to be used in conjunction with projects funded with CDBG funds and, if these other funds have been committed to interested parties, then these interested parties must be identified in Part IV of the initial report.

**Part V** requires applicants to identify the sources and use of all funds to be used in conjunction with CDBG funded project. The sources and uses must include all the other assistance identified in Part III as well as the CDBG funds identified in Part I, items 10 and 11.

**Part VI** requires the certification of the Chief Elected Official.

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM Q, ATTACHMENT A – DISCLOSURE REQUIREMENTS**

**This attachment contains a list of all the HUD programs that are subject to the disclosure requirements of 24 CFR Part 12 Subpart C. All applicants for CDBG assistance must review this list to determine if they are receiving, or expect to receive, assistance from other covered programs besides CDBG. Applicants must consider HUD funds that are received either directly from HUD or through the State. The State administered CDBG Program is listed under 3(v).**

The applicant uses the total amount of funds received from all the sources to answer the second question of Part II of the Disclosure Report.

1. Section 312 Rehabilitation Loans under 24 CFR Part 510, except loans for single family properties.
2. Home Investment Partnership Act Funds Under 24 CFR Part 92  
(Excludes formula distributions to States, units of general local government, or consortium of units of general local government under Subpart D and G, within-year reallocations under Subpart D, and the HUD-administered Small Cities program under Subpart F).
3. Applications for grant amounts for a specific project or activity under Title I of the Housing and Community Development Act of 1974 made to:
  - (I) HUD, for a Special Purpose Grant under Section 105 of the Department of Housing and Urban Development Reform Act of 1989 for technical assistance, the Work Study program or Historically Black Colleges;
  - (II) HUD, for a loan guarantee under 24 CFR Part 470, Subpart M;
  - (III) HUD, for a grant to an Indian tribe under Title I of the Housing and Community Development Act of 1974;
  - (IV) HUD, for a grant under the HUD-administered Small Cities program under CFR Part 570, Subpart F; and
  - (V) A State or unit of general local government under 24 CFR Part 570.
4. Applicants for grant amounts for a specific project or activity under the Emergency Shelter Grant program under 24 CFR Part 576 made to a State or to a unit of general local government, including a Territory.  
(Excludes formula distributions to States and units of general local government (including Territories); reallocations to States, units of general local government (including Territories) and non-profit organizations; and applications to an entity other than HUD or a State or unit of general local government).
5. Transitional Housing under 24 CFR Part 577.
6. Permanent Housing for Handicapped Homeless Persons under 24 CFR Part 578.
7. Section 8 Housing Assistance Payments (only project-based housing under the Existing Housing and Moderate Rehabilitation programs under 24 CFR Part 882, including the Moderate Rehabilitation program for Single Room Occupancy Dwellings for the Homeless under Subpart H).
8. Section 8 Housing Assistance Payments for Housing the Elderly or Handicapped under 24 CFR Part 885.
9. Loans for Housing for the Elderly or Handicapped under Section 202 of the Housing Act of 1959 (including operating assistance for Housing for the Handicapped under Section 162 of the Housing and Community Development Act of 1987 and Seed Money Loans under Section 106(b) of the Housing and Urban Development Act of 1968).
10. Section 8 Housing Assistance Payments – Special Allocations – Assistance under 24 CFR Part 886.
11. Flexible Subsidy under 24 CFR Part 219 – both Operating Assistance under Subpart B and Capital Improvement Loans under Subpart C.

12. Low-Rent Housing Opportunities under 24 CFR Part 904.
13. Indian Housing under 24 CFR Part 905.
14. Public Housing Development under 24 CFR Part 941.
15. Comprehensive Improvement Assistance under 24 CFR Part 968.
16. Resident Management under 24 CFR Part 964, Subpart C.
17. Neighborhood Development Demonstration under Section 123 of the Housing and Urban-Rural Recovery Act of 1983.
18. Nehemiah Grants under 24 CFR Part 280.
19. Research and Technology Grants under Title V of the Housing and Urban Development Act of 1970.
20. Congregate Services under the Congregate Housing Services Act of 1978.
21. Counseling under Section 106 of the Housing and Urban Development Act of 1968.
22. Fair Housing Initiative under 24 CFR Part 125.
23. Public Housing Drug Elimination Grants under Section 5129 of the Anti-Drug Abuse Act of 1988.
24. Fair Housing Assistance under 24 CFR Part 111.
25. Public Housing Early Childhood Development Grants under Section 222 of the Housing and Urban-Rural Recovery Act of 1983.
26. Mortgage Insurance under 24 CFR Subtitle B, Chapter II (only multifamily and non-residential).
27. Supplemental Assistance for Facilities to Assist the Homeless under 24 CFR Part 579.
28. Shelter Plus Care Assistance under Section 837 of the Cranston-Gonzales National Affordable Housing Act.
29. Planning and Implementation Grants for HOPE and Public and Indian Housing Homeownership under Title IV, Subtitle A, of the Cranston-Gonzales National Affordable Housing Act.
30. Planning and Implementation Grants for HOPE for Homeownership of Multifamily Units under Title IV, Subtitle B, of the Cranston-Gonzales National Affordable Housing Act.
31. HOPE for Elderly Independence Demonstration under Section 803 of the Cranston-Gonzales National Affordable Housing Act.

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
 FY2019 APPLICATION: FORM R – LMI SURVEY INSTRUMENT

(MUST BE SUBMITTED WITH APPLICATION IF SURVEY CONDUCTED)

THE CITY/COUNTY OF _____ IS CONDUCTING A SURVEY TO DETERMINE THE NEED FOR THE IMPROVEMENTS IN PUBLIC FACILITIES, HOUSING, AND SERVICES. SOME OF THE IMPROVEMENT PROJECTS MAY BE ELIGIBLE FOR FEDERAL FUNDING. THIS SURVEY IS AN ELIGIBILITY REQUIREMENT FOR SUCH FUNDING. YOUR SURVEY ANSWERS WILL BE KEPT CONFIDENTIAL.					
1. PLEASE INDICATE THE NUMBER OF FAMILIES (PERSONS RELATED BY BIRTH, MARRIAGE, OR ADOPTION) LIVING AT THIS ADDRESS (AN UNRELATED INDIVIDUAL IS CONSIDERED A ONE-PERSON FAMILY, WHETHER LIVING ALONE OR WITH ANOTHER FAMILY).					
NUMBER OF FAMILIES:			TOTAL NUMBER OF PERSONS:		
2. HOW MANY IN EACH FAMILY:		#1	#2	#3	
3. FOR EACH FAMILY INDICATED ABOVE, PLEASE CHECK WHETHER YOUR TOTAL FAMILY INCOME IS ABOVE, BETWEEN, OR BELOW THE INCOME FIGURES PROVIDED FOR YOUR FAMILY SIZE.					
Family Size	Income Limits			FAMILY #1	FAMILY #2
	A (30%)	B (50%)	C (80%)		
1	_____	TO _____	TO _____	FAMILY SIZE: _____  <input type="checkbox"/> Income Above Column C  <input type="checkbox"/> Income between Column B & C  <input type="checkbox"/> Income between Column A & B  <input type="checkbox"/> Income below Column A	FAMILY SIZE: _____  <input type="checkbox"/> Income Above Column C  <input type="checkbox"/> Income between Column B & C  <input type="checkbox"/> Income between Column A & B  <input type="checkbox"/> Income below Column A
2	_____	TO _____	TO _____		
3	_____	TO _____	TO _____		
4	_____	TO _____	TO _____		
5	_____	TO _____	TO _____		
6	_____	TO _____	TO _____		
7	_____	TO _____	TO _____		
8	_____	TO _____	TO _____		
4. HOW MANY PERSONS AT THIS ADDRESS ARE:					
FEMALE HEADS OF HOUSEHOLD?			CHILDREN AGE SIX YEARS AND UNDER?		
OVER THE AGE OF 62?			HANDICAPPED/DISABLED?		
5. TO HELP DETERMINE THE POPULATION CHARACTERISTICS OF THE PROJECT AREA, PLEASE INDICATE THE NUMBER OF PERSONS AT THIS ADDRESS THAT ARE:					
HISPANIC OR LATINO:					
NOT HISPANIC OR LATINO:					
6. TO FURTHER HELP DETERMINE THE POPULATION CHARACTERISTICS OF THE PROJECT AREA, PLEASE INDICATE THE NUMBER OF PERSONS AT THIS ADDRESS THAT ARE:					
WHITE:			ASIAN & WHITE:		
BLACK/AFRICAN AMERICAN:			BLACK/AFRICAN AMERICAN & WHITE:		
ASIAN:			AM. INDIAN/ALASKAN NATIVE & BLACK/AFRICAN AM.:		
AMERICAN INDIAN/ALASKAN NATIVE:			ASIAN & NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER:		
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER:			ALL OTHERS:		
AMERICAN INDIAN/ALASKAN NATIVE & WHITE:					
7. DATE:		TELEPHONE NUMBER (If survey conducted by telephone):			
		SIGNATURE (OPTIONAL):			

**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM S – SURVEY TABULATION SHEET  
(MUST BE SUBMITTED WITH APPLICATION, IF SURVEY CONDUCTED)**

FAMILY SIZE	LMI		NON-LMI		TOTAL	
	FAMILIES	PERSONS	FAMILIES	PERSONS	FAMILIES	PERSONS
ONE PERSON						
TWO PERSONS						
THREE PERSONS						
FOUR PERSONS						
FIVE PERSONS						
SIX PERSONS						
SEVEN PERSONS						
EIGHT PERSONS						
<b>TOTAL</b>						
<b>1. NUMBER OF SURVEYS DISTRIBUTED:</b>						
<b>2. NUMBER OF SURVEYS RETURNED:</b>						
<b>3. SURVEY RESPONSE RATE (2 DIVIDED BY 1):</b>						
<b>4. LMI PERCENT FROM SURVEY:</b>			a) PERSONS:		b) FAMILIES:	
<b>5. EXTRAPOLATED DATA FROM SURVEY (EXTRAPOLATE TO 100% OF POPULATION):</b>						
a. 2010 POPULATION: from fact finder (www.factfinder.census.gov)			TOTAL LMI PERSONS (4a * 5a):		TOTAL LMI FAMILIES	
b. HISPANIC OR LATINO:			PERCENT:		NUMBER:	
c. NOT HISPANIC OR LATINO:			PERCENT:		NUMBER:	
<b>6. DATA FROM SURVEY (EXTRAPOLATE TO 100%):</b>						
					<b>TOTAL</b>	<b>HISPANIC</b>
a. WHITE:			PERCENT:		NUMBER:	
b. BLACK/AFRICAN AMERICAN:			PERCENT:		NUMBER:	
c. ASIAN:			PERCENT:		NUMBER:	
d. AMERICAN INDIAN /ALASKA NATIVE			PERCENT:		NUMBER:	
e. NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER			PERCENT:		NUMBER:	
f. AMERICAN INDIAN/ALASKAN NATIVE & WHITE			PERCENT:		NUMBER:	
g. ASIAN/WHITE			PERCENT:		NUMBER:	
h. BLACK/AFRICAN AMERICAN & WHITE			PERCENT:		NUMBER:	
i. AM. INDIAN/ALASKAN NATIVE & BLACK/AFRICAN AM			PERCENT		NUMBER	
j. ASIAN & NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER			PERCENT		NUMBER	
k. OTHER MULTI-RACIAL			PERCENT		NUMBER	
l. ELDERLY/AGE 62 OR OLDER			PERCENT		NUMBER	
m. HANDICAPPED/DISABLED			PERCENT		NUMBER	
n. FEMALE HEAD OF HOUSEHOLD			PERCENT		NUMBER	
<b>NOTE: PERSONS FALLING WITHIN CATEGORIES A,B, AND C SHOULD ALSO BE COUNTED IN CATEGORIES D THROUGH H.</b>						
<b>7. DISCUSS, IN DETAIL, THE SURVEY METHODOLOGY. HOW WAS THE SURVEY CONDUCTED? METHOD OF CODING, ABSENTEES, ETC.? (USE REVERSE SIDE OR ATTACH ADDITIONAL SHEET IF NECESSARY.)</b>						
<b>SURVEYER SIGNATURE</b> _____				<b>MONTH/DATE/YEAR SURVEY WAS COMPLETED</b> _____		

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM T (PFP) – PARTICIPATION AGREEMENT

**THIS FORM IS ONLY APPLICABLE TO DOWNTOWN REVITALIZATION APPLICATIONS**

**PARTICIPATION AGREEMENT for Private, For-Profit Cash Contributions  
(funds intended to count toward required \$1 - \$1 match)**

Business Name: \_\_\_\_\_ Applicant (City or County): \_\_\_\_\_

The CDBG Downtown Revitalization category requires a dollar private, for-profit cash investment for every dollar applied for in CDBG funds. The capital investments are typically counted by participating businesses making improvements to their own properties scheduled in conjunction with the city's project. In order to count these investments, the private, for-profit company must provide their commitment in writing. This Participation Agreement, when executed by the company, serves that purpose.

In consideration of the benefits to be derived by the business from the CDBG-assisted project, as proposed in this application, the above named Business, hereafter referred to as "Business", hereby certifies and agrees to the following:

- 1. Private, for-profit capital investments:** The Business agrees to provide, at a minimum, \$ \_\_\_\_\_ in private capital investments for the Project, as identified in the Application. The Business certifies that expenditure of these dedicated funds will not (or did not) commence prior to commitment from DED, and completion of the environmental review process, with DED approval. The Business also certifies that its portion of the Project must be completed before or at the same time as the CDBG-funded activities. The Business agrees to provide adequate documentation of the expenditure of such capital investments to the Applicant and DED.
- 2. Accuracy:** The Business has reviewed the entire Application, including all attachments, except for information that pertains to other businesses that may be included, and hereby certifies that all information that relates to the Business is true and accurate, and can be verified upon request by proper officials of DED or the Applicant.
- 3. Access to Records:** The Business agrees to provide reasonable access to business records by proper officials of DED, the Applicant, and HUD in order to verify information submitted in this Application and requirements set forth in this Agreement. "Reasonable access" shall be considered access during normal business hours with at least three days notice by DED, HUD, or the Applicant.
- 4. LMI Benefit:** The Business agrees that at least 51% of all new jobs created as a result of the Project will be from persons classified as LMI as defined by HUD for the CDBG program. This requirement shall be in effect until the business has reached projected full employment, as identified in the Application or two years after commencement of the project, whichever is first. The Business also agrees to survey new employees for LMI determination, and provide adequate documentation of LMI benefit and job creation to the Applicant and DED in a manner prescribed in the program guidelines.

The above **LMI Benefit** section is only applicable when communities are meeting the HUD National Objective requirements through job creation. If the application falls under area-wide LMI or Elimination of Slum and Blight, then this paragraph is not applicable to the participating businesses.

Initial for applicability \_\_\_\_\_ Initial for non-applicability \_\_\_\_\_

- 5. Job Creation:** The Business agrees to provide, at a minimum, \_\_\_\_\_ new full-time equivalent, permanent jobs, as indicated in this Application, in addition to the number of current employees within 24 months of commencement of the Project, unless an unforeseen economic event occurs. Two permanent part-time jobs may qualify as one full-time.

The above **Job Creation** section is only applicable when communities are meeting the HUD National Objective requirements through job creation. If the application falls under area-wide LMI or Elimination of Slum and Blight, then this paragraph is not applicable to the participating businesses.

Initial for applicability \_\_\_\_\_ Initial for non-applicability \_\_\_\_\_

- 6. EEO/Civil Rights:** The Business agrees to comply with equal employment opportunity and civil rights laws and procedures as applicable to the CDBG program. The Business also agrees to track the ethnicity characteristics of each job applicant and new employee.

The above **EEO/Civil Rights** section is only applicable when communities are meeting the HUD National Objective requirements through job creation. If the application falls under area-wide LMI or Elimination of Slum and Blight, then this paragraph is not applicable to the participating businesses.

Initial for applicability \_\_\_\_\_ Initial for non-applicability \_\_\_\_\_

**7. Penalties:** The penalties for non-compliance with this agreement are as follows:

**a. Job Creation:** For every new job less than the number stated in item 5 of this agreement, which is not created by the Business within 24 months (or longer period as authorized by DED in writing) after commencement of the Project, the company agrees to provide, within 60 days of written notice by DED, penalties of \$10,000 plus 10% interest accrued from the time CDBG funds were received by the Applicant. DED, at its discretion, may require only a portion of the full penalty if the company experienced an unforeseen economic event, as herein defined. If so, DED may prorate the penalty based upon the actual jobs created.

The above **Job Creation** section is only applicable when communities are meeting the HUD National Objective requirements through job creation. If the application falls under area-wide LMI or Elimination of Slum and Blight, then this paragraph is not applicable to the participating businesses.

Initial for applicability \_\_\_\_\_ Initial for non-applicability \_\_\_\_\_

**b. LMI Benefit:** In the event the Business(es) fail(s) to comply with the LMI requirements, as indicated herein, the Applicant agrees to provide, within 60 days of written notice by DED, an amount equal to 100% of the CDBG funds provided for the Project, plus 10% interest accrued from the time CDBG funds were received by the Applicant.

The above **LMI Benefit** section is only applicable when communities are meeting the HUD National Objective requirements through job creation. If the application falls under area-wide LMI or Elimination of Slum and Blight, then this paragraph is not applicable to the participating businesses.

Initial for applicability \_\_\_\_\_ Initial for non-applicability \_\_\_\_\_

**8. Match requirements:** Failure of the business to provide documentation for the funds committed to the project shall result in a reduction of the CDBG funds equal to that amount.

**9. Proper Authorization:** The Business, and the officer or representative who signs below on the Business's behalf, has entered into this agreement with the full knowledge and authorization of the Business under proper procedures prescribed by articles of incorporation, partnership agreements, or other applicable documents.

The persons involved in authorization of this agreement hereby certify that they are aware that intentional misrepresentation of fact is a Class A misdemeanor, in addition to the non-compliance penalties as described herein.

\_\_\_\_\_  
Signature, Chief Business Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Date

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, \_\_\_\_\_, a Notary Public, personally appeared, \_\_\_\_\_, known to me to be the person who executed this agreement.

\_\_\_\_\_  
Notary Public  
My commission expires on \_\_\_\_\_

(Affix Seal Here)

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

\_\_\_\_\_  
Title

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Date

(Affix Seal Here)

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM T (NFP) – PARTICIPATION AGREEMENT

**THIS FORM IS ONLY APPLICABLE TO DOWNTOWN REVITALIZATION APPLICATIONS**

**PARTICIPATION AGREEMENT for Not-for-Profit Cash Contributions  
(funds intended to increase scoring in application)**

Not for Profit Name: \_\_\_\_\_ Applicant (City or County): \_\_\_\_\_

The CDBG Downtown Revitalization category offers additional points in the scoring of applications for investments made by not-for-profit entities. These capital investments are typically made as improvements to properties owned in the project area by the not-for-profit entity. Although these investments cannot count as the required match, the applicant can score additional points for this type of participation. In order to count these capital investments, the not-for-profit must provide their commitment in writing. This Participation Agreement, when executed by the not-for-profit, serves that purpose. In consideration of the benefits to be derived by the not-for-profit from the CDBG-assisted project, as proposed in this application, the above named Not-for-Profit, hereafter referred to as "NFP", hereby certifies and agrees to the following:

- 1. Capital Expenditures:** The NFP agrees to provide, at a minimum, \$ \_\_\_\_\_ in capital expenditures for the Project, as identified in the Application. The NFP certifies that such capital expenditures will not (or did not) commence prior to commitment from DED, and completion of the environmental review process, with DED approval. The NFP also certifies that its portion of the Project must be completed before or at the same time as the CDBG-funded activities. The NFP agrees to provide adequate documentation of the expenditure of such capital expenditures to the Applicant and DED.
- 2. Accuracy:** The NFP has reviewed the entire Application, including all attachments, except for information that pertains to other businesses that may be included, and hereby certifies that all information that relates to the NFP is true and accurate, and can be verified upon request by proper officials of DED or the Applicant.
- 3. Access to Records:** The NFP agrees to provide reasonable access to business records by proper officials of DED, the Applicant, and HUD in order to verify information submitted in this Application and requirements set forth in this Agreement. "Reasonable access" shall be considered access during normal business hours with at least three days notice by DED, HUD, or the Applicant.
- 4. Penalties:** The NFP understands that their participation may result in additional scoring in a competitive process. The NFP also understands that the CDBG program evaluates future applications from communities in part by their performance on previous projects. Therefore, the NFP understands that any commitments made and not honored may adversely affect future CDBG participation in the sponsoring community.
- 5. Proper Authorization:** The NFP, and the officer or representative who signs below on the NFP's behalf, has entered into this agreement with the full knowledge and authorization of the NFP under proper procedures prescribed by articles of incorporation, partnership agreements, or other applicable documents. The persons involved in authorization of this agreement hereby certify that they are aware that intentional misrepresentation of fact is a Class A misdemeanor, in addition to the non-compliance penalties as described herein.

\_\_\_\_\_  
Signature, Chief Business Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Date

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, \_\_\_\_\_, a Notary Public, personally appeared, \_\_\_\_\_, known to me to be the person who executed this agreement.

\_\_\_\_\_  
Notary Public  
My commission expires on \_\_\_\_\_

(Affix Seal Here)

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

\_\_\_\_\_  
Title

\_\_\_\_\_  
Typed Name  
(Affix Seal Here)

\_\_\_\_\_  
Date

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
FY2019 APPLICATION: FORM T (In-Kind) – PARTICIPATION AGREEMENT

**THIS FORM IS ONLY APPLICABLE TO DOWNTOWN REVITALIZATION APPLICATIONS**

**PARTICIPATION AGREEMENT for Property Owner with NON-CASH IN-KIND contributions**

Property owner: \_\_\_\_\_ Applicant (City or County): \_\_\_\_\_

The CDBG Downtown Revitalization category offers additional points in the scoring of applications for property owners located in the project area who are acknowledged supporters of the project but are not providing capital investments. These supporters may dedicate in-kind activities. This Participation Agreement, when executed by the supporting property owner, serves to document that in-kind contribution.

In consideration of the benefits to be derived by the property owner from the CDBG-assisted project, as proposed in this application, the above named property owner, hereby certifies and agrees to the following:

- 1. In-kind contributions:** The Business/NFP agrees to provide the following in-kind actions as a supporter of this Downtown Revitalization project:
- 2. Accuracy:** The property owner has reviewed the entire Application, including all attachments, except for information that pertains to other businesses that may be included, and hereby certifies that all information that relates to the NFP is true and accurate, and can be verified upon request by proper officials of DED or the Applicant.
- 3. Access to Records:** The NFP agrees to provide reasonable access to business records by proper officials of DED, the Applicant, and HUD in order to verify information submitted in this Application and requirements set forth in this Agreement. "Reasonable access" shall be considered access during normal business hours with at least three days notice by DED, HUD, or the Applicant.
- 4. Penalties:** The property owner understands that their participation may result in additional scoring in a competitive process. The property owner also understands that the CDBG program evaluates future applications from communities in part by their performance on previous projects. Therefore, the property owner understands that any commitments made and not honored may adversely affect future CDBG participation in the sponsoring community.
- 5. Proper Authorization:** The property owner and the officer or representative who signs below on the property owners behalf, has entered into this agreement with the full knowledge and authorization of the property owner under proper procedures prescribed by articles of incorporation, partnership agreements, or other applicable documents.

The persons involved in authorization of this agreement hereby certify that they are aware that intentional misrepresentation of fact is a Class A misdemeanor, in addition to the non-compliance penalties as described herein.

\_\_\_\_\_  
Signature, Property owner of record

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Date

## **FY-2019 Application – Form V: Certification & E-Verify**

This form certifies that the applicant (city/county) and subapplicant (if relevant to the application/project) do not employ illegal aliens (undocumented workers)\* and that the information contained in the application is true, correct and complete.

\* In addition to certifying that your organization does not employ illegal aliens, **all applicants must:** 1) enroll in E-Verify, 2) check the box on the Certification confirming enrollment and participation in E-Verify, and 3) provide supporting documentation.

The **E-Verify Program**, conducted jointly by the U.S. Citizenship and Immigration Services (USCIS) Verification Division and the Social Security Administration (SSA), is designed to provide employment status information to determine the eligibility of applicants for employment.

E-Verify requires that participating commercial employers use the automated Verification Information System (VIS) to check the SSA and the USCIS databases to verify the employment authorization of **ALL** newly hired employees.

An employer's participation in E-Verify is voluntary and is currently free. To access the E-Verify website, go to: [https://www.vis-dhs.com/employer\\_information.htm](https://www.vis-dhs.com/employer_information.htm)

The Certification form must be signed by the chief official of the applicant (and subapplicant if required) and notarized. **All applicants (and subapplicants) must complete this form and attach a copy of the e-verification memorandum to be eligible for the CDBG program.**

## CERTIFICATION

- I certify that I am an authorized representative of the applicant/subapplicant and as such am authorized to make the statement of affirmation contained herein.
- I certify that the applicant/subapplicant does NOT knowingly employ any person who is an unauthorized alien and that the applicant/subapplicant has complied with federal law (8 U.S.C. § 1324a) requiring the examination of an appropriate document or documents to verify that each individual is not an unauthorized alien.
- I certify that the applicant/subapplicant is enrolled and will participate in a federal work authorization program as defined in Section 285.525(6), RSMo, with respect to employees working in connection with the activities that qualify applicant/subapplicant for this program. I certify that the applicant/subapplicant will maintain and, upon request, provide the Department of Economic Development documentation demonstrating applicant's participation in a federal work authorization program with respect to employees working in connection with the activities that qualify applicant/subapplicant for this program.
- I understand that, pursuant to section 285.530.5, RSMo, a general contractor or subcontractor of any tier shall not be liable under sections 285.525 to 285.550 when such general contractor or subcontractor contracts with its direct subcontractor who violates section 285.530.1, if the contract binding the contractor and subcontractor affirmatively states that the direct subcontractor is not knowingly in violation of section 285.530.1 and shall not henceforth be in such violation and the contractor or subcontractor receives a sworn affidavit under the penalty of perjury attesting to the fact that the direct subcontractor's employees are lawfully present in the United States.
- I understand that if the applicant/subapplicant is found to have employed an unauthorized alien, applicant may subject to penalties pursuant to Sections 135.815, 285.025, and 285.535, RSMo.
- I hereby agree to allow representatives of the Department of Economic Development access to the property and applicable records as may be necessary for the administration of this program.
- I certify under penalties of perjury that the above statements and information contained in the application and attachments are complete, true, and correct to the best of my knowledge and belief.

### Required Attachment:

- Copy of the executed Memorandum of Understanding between the applicant/subapplicant and the United States Citizenship and Immigration Services (USCIS).

Name*	Title
Signature	Date

STATE OF MISSOURI )  
 ) ss.  
 COUNTY/CITY OF \_\_\_\_\_ )

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_, before me, \_\_\_\_\_, a Notary Public in and for said state, personally appeared \_\_\_\_\_, known to me to be the person who executed the Certification and acknowledged and states on his/her oath to me that he/she executed the same for the purposes therein stated.

\_\_\_\_\_  
 Notary Public

My commission expires \_\_\_\_\_

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM  
**FY2019 APPLICATION: FORM W – Application Certifications**

I understand and certify:

- The information represented in this application is true to the best of my knowledge;
- I have read and understand the compliance requirements of the CDBG Program;
- That the CDBG funds are limited in scope and that the application represents the priority projects of the community;
- That, if awarded, the funds will be used solely for the purpose declared in this application;
- That DED reserves the right to reduce or change the award for any project;

The applicant further assures and certifies that the applicant agrees to abide by all applicable State and Federal rules and regulations. (Applicant should read the Statement of Assurances attached to this application.) The applicant also certifies that the project activities are designed to meet community development needs.

The following documents are included with this application (see attachments):

1. Signed Statement of Assurances
2. Resolution
3. Anti-displacement Plan
4. Section 3 Certification
5. Anti-Lobbying Certification(s)
6. E-Verify Certification
7. Support letter from state senator(s)
8. Support letter from state representative(s)
9. Applicant's procurement policy (if none exists, state so in writing)
10. Applicant's conflict of interest policy (if none exists, state so in writing)

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Name (typed or printed)

Title

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Signature, Mayor or Presiding Commissioner

Date

**SAMPLE AGREEMENT BETWEEN APPLICANT AND SUB-APPLICANT**

This Agreement, made and entered into this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, by and between \_\_\_\_\_, hereinafter called the "Applicant," and \_\_\_\_\_, hereinafter called the "Sub-applicant."

Whereas, the Applicant is applying for a Community Development Block Grant from the State of Missouri, and it is the Applicant's desire to relinquish certain responsibilities as allowed by the program and the State statutes;

Whereas, the Sub-applicant will benefit from the grant proceeds and finds it in the best interest of both parties to assume these responsibilities;

Now, therefore, the parties hereto agree as follows:

1. The Sub-applicant shall assume all grant responsibilities listed with the exception of #2 below, which both parties understand cannot be assumed by the Sub-applicant;
2. In addition to the above, the Applicant agrees to retain all financial responsibilities of the grant program, with the understanding that all invoices (financial indebtedness) must be paid through the Applicant's established method;
3. Responsibilities not listed on the attached Grant Agreement, but which the Sub-applicant agrees to carry out on behalf of the Applicant, are as follows:

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The Applicant also acknowledges, as part of this Agreement, that liability for the grant is wholly within its realm and the Sub-applicant hereby assumes responsibility to see that all terms listed herein are met, with the above exceptions. This Agreement shall be valid until successful project completion and grant close-out.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the day and year indicated above.

\_\_\_\_\_  
Applicant

\_\_\_\_\_  
Sub-applicant

Attest: \_\_\_\_\_

Attest: \_\_\_\_\_

**INTERGOVERNMENTAL AGREEMENT  
SAMPLE AGREEMENT BETWEEN 2 (or more) UNITS OF GOVERNMENT**

This Agreement, made and entered into this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, by and between local jurisdictions of \_\_\_\_\_, \_\_\_\_\_, and \_\_\_\_\_.

Whereas, the proposed project construction or majority of beneficiaries lies within the legal jurisdiction of \_\_\_\_\_ the lead applicant shall be so named;

Whereas, all parties to this Agreement share in common the community development need of \_\_\_\_\_ and such need, when met, shall offer a higher quality of life for all citizens in each party's jurisdiction;

Whereas, all parties understand and comply with the CDBG application requirements as they relate to the lead applicant and as parties to a multijurisdictional project, including, but not limited to:

Now, therefore, the parties hereto agree as follows:

1. The lead applicant, \_\_\_\_\_, shall assume all grant responsibilities listed on the Grantee's Grant Agreement;
2. The lead applicant shall retain all financial responsibilities of the grant program, with the understanding that all invoices(financial, indebtedness) must be paid through the Grantee's established method;
3. Responsibilities that parties agree to carry out on behalf of the lead applicant are as follows:

Jurisdiction:

Duties:

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

The lead applicant also acknowledges, as part of this Agreement, that liability for the grant is wholly within its realm and the additional parties (jurisdictions) hereby assume responsibility for all terms listed herein, with any exceptions listed above. This Agreement shall be valid until successful completion and grant close-out. IN WITNESS WHEREOF, the parties hereto have executed this Agreement, as of the day and year indicated above.

\_\_\_\_\_  
Lead applicant jurisdiction

\_\_\_\_\_  
Additional jurisdiction

\_\_\_\_\_  
Additional jurisdiction

\_\_\_\_\_  
Additional Jurisdiction