

**2009**

**APPLICATION GUIDELINES**

**AMERICAN RECOVERY AND  
REINVESTMENT ACT OF 2009  
(ARRA)**

**COMMUNITY DEVELOPMENT ASSISTANCE  
PROGRAM (CDAP)**

**PUBLIC INFRASTRUCTURE**

**APPLICATIONS ARE DUE NO LATER THAN 5:00 P.M. ON JUNE 5, 2009**

**COMMUNITY DEVELOPMENT ASSISTANCE PROGRAM**  
**Federal and State Program Objectives**

The Community Development Block Grant (CDBG) Program was established by the federal Housing and Community Development Act of 1974 (Act). Administered nationally by the U.S. Department of Housing and Urban Development (HUD), the Act combined eight existing categorical programs into a single block grant program. In 1981, Congress amended the Act to allow states to directly administer the block grant for small cities. At the designation of the Governor, the Department of Commerce and Economic Opportunity assumed operation of the State of Illinois Community Development Block Grant -- Small Cities Program in the same year. The Illinois Community Development Block Grant program is known as the Community Development Assistance Program (CDAP). Through this program, funds are available to assist Illinois communities meet their greatest economic and community development needs, with an emphasis upon benefitting persons of low-to-moderate income through projects approved under this program.

To ensure that the state-administered program meets the intent of the federal Housing and Community Development Act of 1974, as amended, Congress has required that state-administered programs meet at least one of the following three national objectives:

- ◆ Benefit low-to-moderate income persons; and
- ◆ Aid in the prevention or elimination of slums and blight; or
- ◆ Meet other community development needs that pose a serious and immediate threat to the health and welfare of the community.

To complement these federally-mandated objectives, the state has established the following specific objectives for the Community Development Assistance Program:

- ◆ Strengthened community economic development through the creation of jobs, stimulation of private investment and strengthening the tax base;
- ◆ Improvement of public infrastructure and elimination of conditions which are detrimental to health, safety and public welfare; and
- ◆ Conservation and expansion of the state's housing stock in order to provide a decent home and a suitable living environment for persons of low-to-moderate income and the developmentally disabled.

Within the statutory requirements of the Act, Illinois has the flexibility to design its own program objectives and procedures for program administration and to develop criteria for selection of grant recipients. CDAP offers a variety of financial assistance programs which have been designed to meet locally defined community needs.

## **CDBG (CDAP) ARRA GRANTS**

Title XII of Division A of the American Recovery and Reinvestment Act (ARRA) of 2009 (Public Law 111-005, approved February 17, 2009) appropriated \$1 billion to carry out the CDBG program under Title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301, et seq.) on an expedited basis. The grant program under Title II is commonly referred to as the CDBG Recovery Program (CDBG-R) program. **Illinois has been allocated \$8,585,276 in supplemental CDBG funding under the American Recovery and Reinvestment Act of 2009.**

### **FUNDING AVAILABILITY**

Each program component has a maximum individual project funding level or project grant ceiling. While grant ceilings establish the upper limits that may be requested, individual grants requests are invited only in amounts commensurate with requirements of the proposed project. Fund availability will be distributed as follows:

#### **Method of Distribution**

<b>Program Category</b>	<b>Budget</b>	<b>Grant Ceiling</b>	<b>Application Deadlines</b>
Public Infrastructure	\$6,117,009	\$350,000	6/5/09
Economic Development/ Flexible Opportunity	\$2,039,003	\$750,000	6/5/09
State Administration	\$429,264	N/A	N/A
<b>Total</b>	<b>\$8,585,276</b>		

The State of Illinois reserves the right to shift money from one program component to another if the need should arise.

**Please Note: Projects which were submitted under the 2009 CDAP-Public Infrastructure program (February 2009 application cycle) should not be re-submitted. They will be automatically considered for funding under CDAP-ARRA Public Infrastructure program. If application information or activities (e.g., permits) have been updated for a 2009 project application submitted, the community should only submit the updated information for review for possible ARRA funding.**

### **LEVERAGE**

The project must be leveraged by at least 25% in non-administrative matching funds.

## **GENERAL APPLICANT INFORMATION**

### **NATIONAL OBJECTIVES**

Projects must meet the following national objective: **Benefit to low-moderate income persons**  
Application must document that a minimum of 51.0 percent of project funds will benefit low-to-moderate income persons and this can be documented in one of two ways:

Utilization of 2000 Census Data - the income limits for family income and unrelated individual income limits must be used. Those calculations are available from the Department and must be obtained by contacting the CDAP staff at 217/785-6142; TDD: 800/785-6055.

Conducting Community-Wide or Target Area Survey - an applicant must use the federal 2009 Section 8 Income Guidelines which can be found at <http://www.huduser.org/datasets/il.html> . Applicants are to use the survey format on pages 32-33

### **ELIGIBLE APPLICANTS**

Only units of general local government (i.e., cities, villages, townships and counties) may apply for funding. **County and township applicants should not include areas that are incorporated within a city or village.** Incorporated areas should apply on their own behalf, regardless of whether a water district or sanitary district is involved.

Units of general local government may also submit "on behalf of" applications for local entities that otherwise may not be eligible to apply. In a situation where two or more eligible local governments face a common problem, a joint application may be filed. (See the sample "Intergovernmental Cooperation Agreement", contained in these application guidelines under the Forms section, for a sample cooperation agreement.) Local governments, however, must not only share a common problem but must be able to demonstrate that a joint effort is required to solve the problem. Joint applications which are submitted only for administrative convenience will not be accepted. Local governments considering a joint application must contact the Department prior to submittal. An "on behalf of" or joint application may not be filed for an entitlement city or a city located in an entitlement county. In addition, an "on behalf of" or joint application may not be filed solely for the purpose of circumventing the rule that a unit of local government may submit only one application per component.

### **ELIGIBLE ACTIVITIES**

- **Public Infrastructure Component--** The funding priority for the CDAP public infrastructure component is water and sanitary, or storm sewer projects. Acquisition, construction, reconstruction, rehabilitation, demolition or installation of public infrastructure and improvements are all eligible activities. Project areas must be primarily residential in character. (This does not include buildings used predominantly for the general conduct of government.) Funds may also be used to finance costs associated with the connection of residential structures to public facility improvements.

Construction costs only – design costs as part of CDAP or leverage are not allowed.

## **INELIGIBLE ACTIVITIES**

Activities generally prohibited under regulations governing the regular CDBG (CDAP) program, are also excluded under ARRA, including:

- Construction of buildings or portions thereof
- Facilities used predominately for the general conduct of government (e.g., city halls, courthouses, jails, police stations)
- General government expenses
- Operation and maintenance costs
- Servicing and refinancing of debt

Other specifically excluded projects:

- Swimming Pools
- Golf Courses
- Zoos
- Aquariums
- Casinos/other gambling establishments

## **SPECIAL CDAP-ARRA and NON-ARRA REQUIREMENTS**

- **Applications must provide evidence that the project will be ready to bid within 120 days of grant award.** At a minimum the following must be in the application, if applicable:
  - Copy of IEPA Construction permit
  - Proof of leverage commitment
  - Percentage of easements signed
  - Copy of purchase agreement for water or for sewage treatment
  - Copy of option to purchase property
- Estimated number of labor hours must be included in the application. Section 1512 of the ARRA requires that for each activity carried out with CDBG-R funds, grantees must report the number of jobs estimated to be created or retained. Provide this information on page 25 of the application guidebook.
- Section 1605 of ARRA requires that all iron, steel, and manufactured goods used in construction, alteration, repair, or maintenance of a public building or public work project assisted with funds under the ARRA must be produced in the United States.
- All grantees, sub-recipients and contractors desiring to participate in the CDBG-R program must obtain a Data Universal Numbering System (DUNS) number. A DUNS number may be requested via the web at [http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp) . **This number, for the grantee, must be submitted with the application.**
- All grantees, sub-recipients and contractors participating in the CDBG-R are required to be registered in the Central Contractor Registration (CCR) at [www.ccr.gov](http://www.ccr.gov). **This documentation, for the grantee, must be submitted with the application.**

## **CONTRACT AND APPLICATION AWARD POLICIES**

1. **Environmental review, civil rights, fair housing, Davis Bacon labor standards, financial management, and contract management** all apply as they do in the regular CDAP program
2. Costs incurred in preparation of applications are not reimbursable under this grant program.
3. All CDAP program applications submitted will be subject to review and evaluation by DCEO staff and other agencies at the Department's discretion to provide an accurate analysis of applications.
4. The Department reserves the right to establish the amount of grant funds awarded, raise the individual grant ceilings, and to shift funds from one CDAP-ARRA component funding area to another. The Department also reserves the right to award funds to the next highest ranked application(s) under any CDAP component should funds become available due to de-obligations, etc.
5. The Department reserves the right to reject any or all applications received, to negotiate or to cancel in part, or in their entirety, subgrants resulting from application awards if it believes it to be in the Department's best interests. Rejection of any application will not be done in an arbitrary manner.
6. The Department reserves the right to withdraw a commitment for CDAP funds where special grant conditions have not been satisfied 90 days after the date of the executed grant agreement, or at the discretion of the Department if it is determined the project will not progress.
7. Project applications may consist of one or more activities which are directly related to or obviously complementary to or supporting one principal activity. The principal activity must clearly be designed to address needs appropriate to the particular CDAP component under which an applicant may apply. The selection of the appropriate program component is the responsibility of the applicant.
8. The Department reserves the right to deny funding when submitted applications involve eligible units of government with serious unresolved audit or monitoring findings related to performance capacity.

## **CITIZEN PARTICIPATION**

**The local public hearing requirements for the applications under consideration for CDAP-ARRA project funding are waived.** However, access to open records by citizens at the local level is required.

## **EVALUATION CRITERIA**

### **Threshold Criteria - Benefit to low-moderate income persons**

- Applications must document that a minimum of 51.0 percent of project funds will benefit low-to-moderate income persons.

### **Selection Criteria**

- Applicants must provide proof that the proposed project can be bid no later than 120 days from grant award. *See the "Special Requirements" section of this guidebook for information on documentation required.*

**Leverage** – A minimum 25% of non-administrative costs is required:

- If leverage source is from other ARRA funds, provide this documentation.
- If source is a Financial Institution, include a copy of the letter from bank indicating loan conditions, dollar amount, term (**not to exceed 10 years**), rate of the loan and that the loan is approved.
- If source is a Revenue Bond or General Obligation Bond, include a copy of firm commitment to purchase the bond.
- If source is the Illinois Environmental Protection Agency, include a copy of the EPA letter approving the community's Facilities Plan for wastewater system projects or Project Plan for public water system projects.
- If source is the USDA-RD, include an approved copy of Form 1940-1.
- If source is the Illinois Finance Authority, include a firm loan commitment letter from IFA, indicating rate, term and amount.
- If source is Local Cash on Hand or In-Kind Labor, include a resolution committing funds. Please indicate name of fund/account in which cash is located. Audits will be reviewed to verify that local funds are available.

**\* Once an application receives a grant award, modifications to change the leverage source will be considered on a case-by-case basis.**

### **APPLICANT/GRANTEE/RECIPIENT DISCLOSURE**

Subsequent to Section 102 of the Housing and Urban Development Reform Act of 1989, a number of provisions ensure greater accountability and integrity in the way HUD and its grantees make funds available. CDAP is one of the HUD programs covered by Section 102. Applicants will be required to complete a disclosure form (pages 42-45) at the time of application.

### **ADMINISTRATION**

CDAP funds may be used to finance reasonable costs associated with general management, oversight and coordination of the project. Such costs include, but are not limited to, salaries, travel costs, administrative services performed under third party contracts, including legal and audit services, environmental review, additional fidelity bonding costs or other services required for administration of the grant.

Administration costs are eligible with the exception of pre-program costs, such as application preparation and local income survey costs. CDAP funds requested for grant administration should be detailed on the "Administration Costs Which Will Be Paid out of CDAP" form (page 35). Administration budgets submitted may include the estimated cost of an audit to be conducted in accordance with the Comptroller General's Governmental Auditing Standards, and the Single Audit Act, as amended by the Single Audit Act Amendments of 1996, and the

Office of Management and Budget (OMB) Circular A-133, if applicable. However, be advised that CDAP funds can only be used to pay for its portion of the costs of an audit when a "single audit" is required by A-133.

The maximum amount of CDAP funds allowed for grant administration for the public infrastructure component of this program is **5% of grant amount**.

### **ADDITIONAL REQUIREMENTS**

In addition to the requirements already listed, the following also apply:

1. The Department reserves the right to provide for an outside technical review by appropriate agencies. The Illinois Environmental Protection Agency, the Illinois Department of Public Health, and/or USDA Rural Development may be asked to review public infrastructure projects involving water or sewer activities.
2. Any non-CDAP resources or project leveraging must be firmly committed. Also, it must be evident in the application that both CDAP and non-CDAP funds will address the same need.
3. A grant award document will be issued for a contract period of twenty-four months. All projects must be operational at the end of the twenty-four month grant term.
4. Locally-held CDAP recaptured funds may not be used as leverage, although they may be used to further the project. Loan funds from the Affordable Financing of Public Infrastructure program will be considered as eligible leverage .
5. The use of in-kind services as leverage is eligible. Applicants must identify the specific tasks/services that will be performed or provided. Each task/service must be quantified by outlining the number of personnel assigned to the task and current payroll status; number of hours; and the hourly rate. Additionally, the qualifications of each individual to perform the assigned task/service, e.g., construction inspection, must be provided. **If in-kind services are being utilized, a local council resolution must be included in the application.**
6. Local governments may not assess any fees against property "occupied" by eligible low-to-moderate income persons. The most common type of assessment is a TAP-ON FEE, which is a one-time charge made as a condition of access to an improvement -- normally a sanitary sewage collection or water distribution system.
7. If the project includes a new service area, such as water and sewer, residential structures which are "occupied" by eligible low-to-moderate income persons must be hooked up. A HOOK-UP is a privately-owned and maintained line on privately-owned property between a service lead/connection and a structure. CDAP funds may be used to fund the cost (reasonable costs) of the hook-ups. NOTE: Hook-ups are considered a DIRECT BENEFIT activity and, therefore, the grantee MUST document the income eligibility of each household receiving this assistance.
8. The grantee will initiate the required early warning contact with the following state agencies in accordance with federal NEPA requirements: Illinois Environmental Protection Agency; Illinois Department of Agriculture; Illinois Department of Natural Resources; and, the Illinois Historic Preservation Agency. For applications submitted under the Set-aside Public infrastructure and Economic Development Components, the early warning process should be initiated by the applicant at the time of application. Project Review forms for the IDOA, IEPA, IHPA and IDNR are included in the CDAP Grants Management Handbook Appendix 2-1-M.



These forms along with a map and other pertinent project information, should be forwarded to the appropriate agency for review.

9. In accordance with the Interagency Wetland Policy Act of 1989, an applicant whose proposed project site is located on or within 250 feet of a wetland site listed on the National Wetlands Inventory will be required to comply with the requirements of the Act. This includes: developing a plan to minimize adverse impacts on wetlands, or providing written evidence that the proposed project will not have an adverse impact on a wetland. Each applicant must submit a copy of a standard 7.5' U.S. Geological Survey Quad topographic map for the site, clearly indicating the proposed site, including the township and the section. This information can be obtained from the county clerk's office, most banks, farm bureau offices, and real estate firms.
10. A FEMA issued Floodplain map must be included in the application. You can obtain this map by calling FEMA at 1(800) 358-9616 or by using the website <http://msc.fema.gov>.

### **INITIAL GRANTEE RESPONSIBILITY**

Successful applicants will receive a separate grant award document, with a contract period of twenty-four months, specifying terms and conditions of the grant. The Department reserves the right to specify special grant conditions and terms of the grant agreement. The grant award document will include the following:

- ◆ Scope of Work;
- ◆ Special Grant Conditions, e.g., environmental, leverage, etc.;
- ◆ Grant Budget; and
- ◆ Program Assurances and Certifications.

In general, grantees will be expected to sign and return the grant award document within 30 days from the date of the letter transmitting the grant award document to the grantee. Grantees are expected to meet all special grant conditions within 90 days of the grant award execution date.

### **STATE AND FEDERAL COMPLIANCE AREAS**

Each applicant must agree to comply with all applicable federal and state requirements. These can have a significant impact on the costs and complexity of a project. Applicants who receive a grant award will be expected to submit signed assurances that they will comply with all federal mandates. Some areas which applicants must comply with include:

1. The National Environmental Policy Act (NEPA) establishes procedures for protecting the environment. In order to use the CDAP funds awarded to a local government, the grantee has to comply with environmental procedures, standards and guidelines mandated by NEPA and all other applicable environmental regulations (e.g., prime farmland protection, historic preservation, floodplain hazards, etc.). Applicants may conduct environmental reviews during the application phase. Costs associated with the application phase review are reimbursable by the Department for those applicants that are awarded a CDAP grant.

2. The Interagency Wetland Policy Act of 1989 requires applicants to certify that the proposed project is compatible with established State of Illinois policy regarding wetlands (i.e., to minimize the destruction of existing wetlands in Illinois as a result of state and state-supported activity).
3. The Illinois Endangered Species Protection Act and the Illinois Natural Area Preservation Act requires consultation with the Endangered Species Consultation Program of the Illinois Department of Natural Resources to assure compliance. The consultation process must be implemented to avoid or minimize adverse impacts to state listed species and their essential habitats that may result from the actions of state and local units of government. Applicants must certify the completion of the consultation process for all non-exempt proposed projects.
4. The Davis-Bacon Prevailing Wage Act requires the payment of prevailing wages for all construction funded in whole or in part with federal funds, including funds passed through to private firms. If your project involves construction and/or equipment installation, you should contact the Department so a determination can be made concerning the applicability of federal labor standards.
5. The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1987 applies to federally assisted activities that involve the acquisition of real property or the displacement of persons, including displacement caused by rehabilitation and demolition activities. Any person or business displaced as a direct result of federal assistance must be provided with Uniform Relocation benefits.
6. Equal Opportunity and Fair Housing Accessibility Laws require that CDAP grantees administer their project in a manner that affirmatively furthers equal opportunity and fair housing. All CDAP grantees will be required to undertake specific activities to further fair housing. CDAP grantees must assure all activities and services are accessible to persons with disabilities.
7. Section 3 under the Housing and Urban Development Act of 1968 requires recipients to give, to the greatest extent feasible and consistent with the existing federal, state, and local laws and regulations, job training, employment, contracting and other economic opportunities to Section 3 residents and Section 3 business concerns.

### **DOCUMENTING LMI BENEFIT**

The first step of the LMI documentation process is to identify the boundaries of the area that will benefit from the project. The area that will benefit from the project activities is the "universe" that will be used to determine whether at least 51.0 percent of the population is low-to-moderate income. For example, a water tower project or sewage treatment plant project would likely have a community-wide benefit. In comparison, extension of water or sewer lines would principally benefit households in a target area. All homes in the project area should be surveyed.

Utilization of 2000 U.S. Census Data -- Census data may be used to determine LMI eligibility for projects that benefit an entire community, a specific township or precinct, census tract or an entire county. Census data must be obtained from the Department through the CDAP Staff, DCEO, 620 East Adams Street, Mail Code: CIPS-3, Springfield, IL 62701, telephone: 217/785-6142, TDD: 800/785-6055.

The standardized income survey form (page 33 of this application guidebook) required by the Department includes all essential questions needed for the CDAP application. This standardized format is to be used when submitting an income survey unless prior DCEO approval is received. Surveys may be conducted door-to-door or by mail. The Department will not approve the use of a telephone survey.

The number and percentage of low-to-moderate income individuals derived from the local survey must be determined by family size, i.e., number of persons in the household. The Housing and Urban Development (HUD) 2009 Section 8 Income Guidelines which can be found at (<http://www.huduser.org/datasets/il.html>) must be used to determine low-to-moderate income status by family size. These figures are different for each county in the state. Once the survey has been completed and tabulated, enter the data as required on the "Analysis of Amount of Funds Used to Benefit Low-to-Moderate Income Persons" form. Maintain the survey forms on file. To ensure privacy, the cover sheets showing address may be separated from the interview sheets but kept in groups by area for documentation. It is important to maintain the documentation in order to verify the survey results. "Spoiled Surveys" should not be included in your survey results. **The Department will consider a survey to be "spoiled" under the following conditions:** answers that are "whited out", answers that are crossed through, or surveys that are not completed with one writing instrument consistently throughout (i.e., blue ink, pencil, etc.).

- ◆ Conducting a Community/Project Area-Wide Income Survey -- In order to conduct an eligible Community/Project Area-Wide Income Survey, the local government must attempt to survey 100 percent of the households and must receive at least a 75 percent response rate of usable surveys. Incomplete or incorrectly completed surveys are not considered usable.

Use the LMI calculation worksheets of this application guidebook to tabulate survey results (see pp. 28-30.)

- ◆ Conducting a Random Sample Income Survey -- With the prior written approval of the Department, applicants may utilize the results of a random sample income survey. Requests for approval to conduct a random sample survey should be made in writing and should include the number of households in the project area and the proposed methodology (i.e., every other household, every fourth household, etc.) for conducting the survey. The sample sizes in the following table are the minimum number of completed, usable surveys the community must document:

<u>Number of Households</u>	<u>Sample Size</u>
239 - 308	175
309 - 398	200
399 - 650	250
651-1200	300
1201-2700	350
2701 or more	400

Due to the nature of random sampling and the response rate required, for projects benefiting less than 239 households, a door-to-door survey of the entire community/project area is required.

The random sample survey must include proportionate representation of households throughout the area of benefit.

Because the typical rate of completed surveys by mail is between 25 and 50 percent and door-to-door is between 76 and 90 percent, over-sampling is recommended in order to receive the minimum number of completed usable surveys.

One method of selection is to begin at one location in the universe and systematically proceed from that point. In a 500 household universe, for example, requiring 250 completed surveys, every second household could be interviewed to ensure representative results. The interviewers could begin at the starting location and proceed systematically through the project area, interviewing every other household. Any household selected by this procedure at which an interview could not be conducted could be replaced by the next household, which would have been skipped. If a mailing list is used to determine those households to be surveyed, the mailing list must coincide with the addresses on the surveys and the map.

Use the worksheets (pages 29 – 30 of this application guidebook) to tabulate survey results.

### **SUBMISSION INFORMATION**

#### **APPLICATIONS ARE DUE NO LATER THAN 5:00 P.M. ON JUNE 5, 2009**

All applicants should complete the application package and submit it to:

**Department of Commerce and Economic Opportunity  
Attention: Patrick Davis  
620 East Adams Street, Mail Code: CIPS-3  
Springfield, Illinois 62701**

**Applications may also be submitted to the Regional office in Marion  
Dept. of Commerce & Economic Opportunity  
Attn: CDAP Unit  
Suite 118  
2309 West Main  
Marion, IL 62959**

- **Original and two copies of the application.** *Please clearly label the original.*
- **147 C letter** (include in the application this letter provided by the IRS to verify the Taxpayer Identification Number (TIN) or Federal Employer Identification Number (FEIN) for the applicant. If you do not have a copy of this certification letter on file, one must be requested from the IRS Entity Unit by calling 1-800-829-0115. Only the applicant is authorized to request a copy of this letter.

If you have any questions concerning the application process, please call DCEO  
at 217/785-6142, TDD 800/785-6055.

# APPLICATION FORMS

*Note: Forms generated by the applicant must contain all the information requested on the DCEO forms. Incomplete forms will not be accepted.*

## PART A

### PROJECT INFORMATION

SAMPLE

Letter of Transmittal

Illinois Department of Commerce  
and Economic Opportunity  
620 East Adams Street  
Springfield, Illinois 62701

Dear Director:

The (name of local government) is submitting an application for a CDAP public infrastructure grant under the American Recovery and Reinvestment Act of 2009 for a \_\_\_\_\_ project. The grant request is in the amount of \$\_\_\_\_\_ to be used to ( use of funds ). The benefit to low-to-moderate income individuals is \_\_\_\_\_. The grant will be leveraged by \$\_\_\_\_\_ in \_\_\_\_ (source of funds)\_\_\_\_\_.

Very truly yours,

(Signature of Chief Elected Official)  
(or Designee)

## PUBLIC INFRASTRUCTURE CONSTRUCTION CDAP SUBMISSION CHECKLIST AND TABLE OF CONTENTS

All CDAP applications will be screened for completeness. Applicants must complete and submit this checklist with the application. **All pages of the application must be sequentially numbered.** Use the right-hand column, labeled "Page Number" to indicate the page for each item.

\_\_\_\_\_ One Original and two copies of the application (*indicate the "original" on the cover*)

### PROJECT INFORMATION

### PAGE NUMBER

_____ Letter of Transmittal from Chief Elected Official	_____
_____ Completed Submission Checklist/Table of Contents	_____
_____ CDAP Applicant Project Information	_____
_____ Project Summary	_____
_____ Project Maps	_____
_____ FEMA Issued Floodplain Map	_____
_____ Project Readiness Summary	_____
_____ Project Activity Budget	_____
_____ Engineer's Cost estimates	_____
_____ List of Previous CDAP Grants	_____
_____ Analysis of Low-to-Moderate Benefit	_____
_____ Low-to-Moderate Income Survey Summary, if applicable	_____
_____ Income Survey Worksheets and Income Survey approval letter, if applicable	_____
_____ Income Survey Map, if applicable	_____
_____ DCEO Approval and Request to Conduct Random Sample Survey, if applicable	_____
_____ Minority Benefit/Affirmative Housing Statement	_____
_____ Administrative Budget Detail	_____
_____ CDAP Public Infrastructure Financial Checklist	_____

### DOCUMENTATION, CERTIFICATIONS, RESOLUTIONS

_____ Council Resolution of Support	_____
_____ Local Government Certifications	_____
_____ Applicant/Grantee/Recipient Disclosure Certification	_____
_____ Intergovernmental Cooperation Agreement, if applicable	_____

### ATTACHMENTS

_____ Council resolution committing local government funds, if applicable	_____
_____ Firm letters of commitment from other leveraging sources, if applicable	_____
_____ Copy of IEPA Construction Permit(s)	_____
_____ Copy of water purchase or wastewater treatment agreement (if applicable)	_____
_____ Copy of Option to Purchase (if applicable)	_____
_____ 147C Letter	_____
_____ DUNS Number Verification	_____
_____ CCR Registration Verification	_____

## CDAP APPLICANT PROJECT INFORMATION

TYPE OF CDAP REQUESTED: ☒ ARRA - PUBLIC INFRASTRUCTURE

## I. GENERAL INFORMATION

(Information in this section applies only to the governmental entity. DO NOT include the name/address of the administrator.)

APPLICANT TYPE:    ☐ City    ☐ County    ☐ Village    ☐ Town    ☐ Township

**APPLICANT FEDERAL EMPLOYER IDENTIFICATION NUMBER:** \_\_\_\_\_  
(required)

APPLICANT NAME (Entity): POPULATION (from most recent U.S. Census)

CHIEF ELECTED OFFICIAL:

TITLE:

BUSINESS ADDRESS:

Street Address \_\_\_\_\_ (required) P.O. Box \_\_\_\_\_ (Only if no street address)

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-Mail \_\_\_\_\_  
(include +4) (required)

EXPIRATION DATE OF CURRENT TERM:

DAYTIME PHONE: (\_\_\_\_\_)\_\_\_\_\_ HOME PHONE: (\_\_\_\_\_)\_\_\_\_\_  
(Telephone Numbers must be given in order to reach the official for award announcement purposes.)

## II. GEOGRAPHICAL PROJECT INFORMATION

**This information is required for the project benefit area, not necessarily the applicant.**

COUNTY: \_\_\_\_\_ TOWNSHIP (OR PRECINCT NAME/NUMBER): \_\_\_\_\_

CENSUS TRACT(S): \_\_\_\_\_ ZIP CODE FOR PROJECT BENEFIT AREA: \_\_\_\_\_

### III. PROJECT INFORMATION

AMOUNT OF CDAP FUNDING REQUESTED \$\_\_\_\_\_ (Whole Dollars ONLY)

TOTAL AMOUNT OF LEVERAGE \$ \_\_\_\_\_

TOTAL COST OF PROJECT \$

LEVERAGE SOURCE:

- ☐ Other Stimulus funds  
☐ LOCAL (see local council resolution)  
☐ USDA Rural Development  
☐ IEPA                      ☐ IHDA  
☐ BANK                    ☐ PRIVATE  
☐ IRBB                    ☐ OTHER

PROJECT DESCRIPTION:

NAME OF ENTITY THIS APPLICATION IS IN SUPPORT OF:



#### IV. PROJECT BENEFIT INFORMATION

Provide the following information for Public Infrastructure, Rural Water Set-Aside, and Public Infrastructure Set-Aside projects:

TOTAL NUMBER  
OF PERSONS SERVED

TOTAL NUMBER  
OF LMI PERSONS SERVED

PERCENT BENEFIT  
TO LMI PERSONS

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of persons by specific ethnic group benefiting from the project.

Ethnic Category	Total Persons	# Also Hispanic
White		
Black/African American		
Asian		
American Indian/Alaskan Native		
Native Hawaiian/Other Pacific Islander		
American Indian/Alaskan Native and White		
Asian and White		
Black/African American and White		
American Indian/Alaskan Native and Black/African American		
Other Individuals Reporting more than One Race		

# of female headed households? \_\_\_\_\_

#### V. GRANT APPLICATION WRITER

CONTACT PERSON:

TITLE:

\_\_\_\_\_

\_\_\_\_\_

ADDRESS AND PHONE NUMBER:

Legal Name of Agency \_\_\_\_\_

Street Address \_\_\_\_\_ P.O. Box \_\_\_\_\_  
(required) (Only if no street address)

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-Mail \_\_\_\_\_  
(include + 4) (required)

BUSINESS PHONE: (\_\_\_\_\_) \_\_\_\_\_ FAX PHONE: (\_\_\_\_\_) \_\_\_\_\_

**VI. GRANT ADMINISTRATOR (or CITY ADMINISTRATOR)**

(If not using an administrative agency, please complete for Local Government Contact.)

AGENCY TYPE: ☐ Private Firm ☐ Regional Planning Commission ☐ Government Agency ☐ Applicant

AGENCY CONTACT PERSON:

TITLE:

\_\_\_\_\_

AGENCY ADDRESS AND PHONE NUMBER:

Legal Name of Agency \_\_\_\_\_

Street Address \_\_\_\_\_ P.O. Box \_\_\_\_\_  
(required) (Only if no street address)

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-Mail \_\_\_\_\_  
(include + 4) (required)

BUSINESS PHONE: (\_\_\_\_\_) \_\_\_\_\_ FAX PHONE: (\_\_\_\_\_) \_\_\_\_\_

ADMINISTRATIVE AGENCY FEDERAL EMPLOYER IDENTIFICATION NUMBER: \_\_\_\_\_  
(required)

**VII. PROJECT ENGINEER**

NAME:

TITLE:

\_\_\_\_\_

Legal Name of Agency \_\_\_\_\_

Street Address \_\_\_\_\_ P.O. Box \_\_\_\_\_  
(required) (Only if no street address)

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ E-Mail \_\_\_\_\_  
(include + 4) (required)

BUSINESS PHONE: (\_\_\_\_\_) \_\_\_\_\_ FAX PHONE: (\_\_\_\_\_) \_\_\_\_\_

PROJECT ENGINEER FEDERAL EMPLOYER IDENTIFICATION NUMBER: \_\_\_\_\_  
(required)

GRANTEE CERTIFICATE: To the best of my knowledge and belief, the information and data provided are true and correct. I realize that regardless of the elections made, we the grantee, are responsible to ensure compliance with all provisions of the grant agreement and to respond to official correspondence/notifications as required within allowable times. Further, I understand that the submission of changes to the information certified above is a grantee responsibility and that DCEO will use information from the latest certification on file based on the date of signature. I have full signature authority to sign on behalf of this grantee.

\_\_\_\_\_  
Signature - Chief Elected Official

\_\_\_\_\_  
Date

This state agency is requesting disclosure of information that is necessary to accomplish the statutory purpose as outlined under Ill. Comp. Statutes, 20 ILCS 605/46.1. Disclosure of this information is VOLUNTARY. No penalties attach for failure to respond. This form has been approved by the State Forms Management Center.

## **PROJECT SUMMARY**

(NO MORE THAN 250 WORDS)

The Project Summary should consist of a narrative covering all key points of the proposed project. This summary should also include a brief but detailed explanation of how the project area was determined. This summary should also give specific details about the project structure (i.e., will the residents be direct customers of the water district or is an agreement needed, what is source of water, who will treat wastewater, etc.) This narrative should, at a minimum, address the following key issues:

- ◆ Need for Financial Assistance -- justification of the local government's need for CDAP assistance in relation to its overall financial capability, including discussion of outstanding indebtedness, bonding capacity, and service rate increases;

## PROJECT MAPS

1. A project location map must be included in the application. It is expected to be sufficiently detailed to show the following information: 1) specific boundaries of the target area; 2) all integral components of the system being improved or constructed, including water tower, well, pump stations, existing water/sewer mains, proposed water/sewer mains, etc.; 4) railroads, highways, interstates, towns/cities/villages (rural projects), county lines, and corporate limits. The project map must be suitable for reproduction and shall not exceed the page size of 11 x 17 inches. (Applicants may also submit blueprints or larger project maps as a supplement to their submission, if they deem necessary in order to show project details sufficiently.)
2. A FEMA issued Floodplain map **must** be included in the application. You can obtain this map by calling FEMA at 1(800) 358-9616 or by using the website <http://msc.fema.gov>.
3. An income survey map (If applicant is NOT using census data) **must** be included in the application. The survey map should detail all households in the project area indicating “higher” income, “lower” income, vacant, no response or other.
4. Each applicant must submit a copy of a standard 7.5' U.S. Geological Survey Quad topographic map for the site, clearly indicating the proposed site, including the township and the section. This information can be obtained from the county clerk's office, most banks, farm bureau offices, and real estate firms.

## **PROJECT READINESS SUMMARY**

Each application must demonstrate that the proposed project is appropriate and achievable and that all actions have been completed to ensure timely implementation of the project. Specifically, the application must address the following:

- ◆ status of IEPA permit(s), easements, water/wastewater treatment agreement, option to purchase land, and leverage commitment(s);
- ◆ preliminary engineering report describing the scope of the problem, proposed project phases or components, and estimated costs;
- ◆ status of written permission from railroad(s), county highway commissioners, IDOT, etc. to proceed with any railroad and/or road borings that are proposed;
- ◆ for "phased projects", indicate the status of all pertinent readiness issues. In addition, the application should include supporting documentation, as appropriate.

**SAMPLE**

**PRIVATE PROPERTY EASEMENTS**

<b>Name</b>	<b>Address</b>	<b>Easement Signed</b>	<b>Easement Recorded</b>
Jane Doe	123 Main Street	<input checked="" type="checkbox"/>	
John Doe	456 East Main Street	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## LEVERAGE FUNDS

**Applicants are strongly cautioned to investigate all leverage funding sources and make a firm decision as to source prior to submitting a CDAP application.**

Each application must provide written evidence that at least 25 percent of non-administrative project costs will be provided from non-CDAP sources. Contingencies and/or **design costs** should not be included as leverage for purposes of meeting the 25 percent minimum. In addition, leverage funds must also be used for activities that will benefit 51 percent or more low-to-moderate income persons. The following outlines the elements necessary for a firm leverage commitment.

A firm commitment letter from a FINANCIAL INSTITUTION must include: language which indicates that the loan will be approved and that the institution will lend subject to certain conditions; the specific dollar amount of the loan; the specific term of the loan (not to exceed twelve months); and the projected interest rate of the loan.

For projects which intend to secure leverage funding from the ILLINOIS ENVIRONMENTAL PROTECTION AGENCY (IEPA), the CDAP application must include a copy of the IEPA letter approving the community's Facilities Plan (for waste water system projects) or Project Plan (for public water system projects). Loan funds are available for a maximum term of 20 years. Historically, interest rates have been below 3%. At a minimum, the applicant's proposed project must be on the current IEPA priority list.

A firm commitment of funding from the UNITED STATES DEPARTMENT OF AGRICULTURE RURAL DEVELOPMENT (RD) must include, at a minimum, issuance of "Notice of Application Review Action" requesting the applicant to file a complete application with USDA. This letter is issued after receipt and acceptance of an initial application, preliminary engineering report and environmental report. In instances where USDA has already approved funding, attach a copy of the letter of conditions and Form RD 1940-1, "Request for Obligation of Funds." Loan and grant funds are available with loans up to 38 years. Generally, interest rates have been 5% or lower. CDAP applicants proposing to apply for RD funding may conduct the required income surveys and the required public hearings at the same time. Applicants should contact Patrick Davis at 217/785-6142; TDD: 800/785-6055 to request "combined" instructions.

When a local government is proposing to use its own funds (i.e., cash on hand) as leverage, a local council or board resolution committing a specific dollar amount to the project must be included. When a local government is proposing to issue revenue or general obligation bonds as leverage, the application must include a local council/board resolution approving the intent to issue bonds and specifying a dollar amount. When a local government is proposing to use in-kind labor as leverage, the application must include a "schedule" which details the activities to be completed by city employees, their titles and hourly wages, and projected number of hours needed to complete the activity. These figures should then be used to calculate the value of the in-kind labor.

## PROJECT ACTIVITY BUDGET

Identify all activities included within the project and the amount and source of financing. Each activity included in the project must contribute to the benefit of low-to-moderate income persons. Describe each activity briefly and indicate the source and amount of funding contributed to each. Be specific, e.g., lineal feet of sewer and water line to be installed, size and capacity of the water tower to be constructed, number of low-to-moderate income households to be connected to a system. Provide detail of number of units and per-unit cost. For replacement projects, costs should be detailed by individual street names. **NOTE:** CDAP or leverage funds must be used to hook up residential structures which are "owned and occupied" by eligible low-to-moderate income persons. If the proposed project involves extending service to a new area, the low-to-moderate income household hook-ups should be detailed as a separate line item. **If applicable, tap-on fees should be detailed as a separate line item as well.** For projects involving alterations of streets, roads or highways which have pedestrian walkways, grantees must factor in the costs of adding and/or replacing curb ramps at all intersections having curbs or other barriers to entry from a street level or pedestrian walkway. **At bottom of page provide estimated number of labor hours.**

ACTIVITY BUDGET	AMOUNT	CDAP	LEVERAGE (By Source)
Construction Sub-total			
LMI Hook-Ups			
LMI Tap-Fees			
Construction Observation			
Sub-total			
Administration			
Totals	\$	\$	\$
TOTAL PROJECT COST: \$_____			

**Estimated number of labor hours** \_\_\_\_\_



### LIST OF PREVIOUS CDAP GRANTS

Has the unit of local government submitting this application received previous CDAP grants?

☐ Yes

☐ No

If Yes, please include the following information for all grants received.

CDAP Grant Number	Amount	Project Description	Status of Project

If this funding request is related to, or an extension of a previously funded CDAP project, please explain.

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If this application is related to other applications that are being submitted under this competitive cycle, please list the applicant(s) and explain the relationship to this project.

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## ANALYSIS OF BENEFIT TO LOW-TO-MODERATE INCOME PERSONS

Activity*	Total # of Persons Activity Will Serve	# of Low - Moderate Income Persons Activity Will Serve	% of Persons Served who have Low - Moderate Income	Amount of CDAP Funds Requested for the Activity	Amount of CDAP Funds to Benefit Low - Moderate Income Persons

### Methodology

Please check the appropriate box below.

1. [    ]    2000 U. S. Census Data: Applicants must request this information from DCEO prior to application preparation.
2. [    ]    All (100%) of Community/Target Area Survey: The entire (100%) population of the community or target area must be surveyed with a minimum 75% usable survey response rate.
3. [    ]    Random Sample Survey: Applicants must receive prior written approval from DCEO to conduct a random sample survey. A copy of the letter of approval from DCEO should be included in the application.

\*Each major activity should be detailed separately when the number of persons benefiting varies from activity to activity. For example, water tower construction and water main replacement in a targeted area should be detailed as two separate activities, because they benefit differing numbers of persons. Low-to-moderate income hook-ups would be another example of an activity that should be detailed separately.

## LOW-TO-MODERATE INCOME SURVEY

### SUMMARY

This summary form must be completed by all applicants undertaking an income survey to determine low-to-moderate income (LMI) benefit. Include the appropriate Survey Worksheets.

Applicants must request prior DCEO approval to reuse an income survey. Attach a copy of DCEO's approval letter and recalculated worksheet to the application.

Applicants must obtain written DCEO approval to conduct a random sample survey prior to conducting the survey. Attach a copy of DCEO's approval letter to the application.

1. Date(s) Survey Data Collected: \_\_\_\_\_
2. Survey Type: \_\_\_\_\_ All (100%) of Community \_\_\_\_\_ Random Sample of Community  
\_\_\_\_\_ All (100%) of Target Area \_\_\_\_\_ Random Sample of Target Area
3. Are the completed survey questionnaires on file with the applicant?  
\_\_\_\_\_ Yes \_\_\_\_\_ No  
  
If "No", please explain: \_\_\_\_\_  
\_\_\_\_\_
4. If a random sample survey was conducted, respondents must be identified (e.g., address, block, census tract, or other pre-identified method) for documentation. What was the pre-identified method? \_\_\_\_\_  
\_\_\_\_\_
5. Did you follow the methodology proposed in your request to DCEO? \_\_\_\_\_  
If no, please explain any deviations: \_\_\_\_\_  
\_\_\_\_\_
6. Indicate who conducted the Survey: \_\_\_\_\_  
\_\_\_\_\_

Attach a copy of your letter requesting approval to conduct a random sample survey and the Department's response.

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

Date(s) survey conducted: \_\_\_\_\_

Survey Type:           All (100%) of Community           Random Sample of Community  
                                 All (100%) of Target Area           Random Sample of Target Area

**INCOME SURVEY**

**WORKSHEET TO CALCULATE LOW-TO-MODERATE INCOME (LMI) PERCENTAGE**  
**USING SECTION 8 INCOME GUIDELINES**

This form is to be used for All income surveys.

**FOR  
DCEO  
USE  
ONLY**

**PART A. INFORMATION CONTAINED IN YOUR SURVEY**

- |   |          |       |
|---|----------|-------|
| 1. Enter the established total number of households in the target area.   | 1. _____ | _____ |
| 2. Enter the total number of households interviewed ( <b>valid responses</b> ).   | 2. _____ | _____ |
| 3. Enter the total number of low-to-moderate income households interviewed.   | 3. _____ | _____ |
| 4. Enter the total number of persons living in the low-to-moderate income households interviewed.                             | 4. _____ | _____ |
| 5. Enter the total number of households interviewed in which the income was above the low-to-moderate income level.           | 5. _____ | _____ |
| 6. Enter the total number of persons living in the households in which the income was above the low-to-moderate income level. | 6. _____ | _____ |

**PART B. CALCULATIONS BASED ON DATA CONTAINED IN SURVEY**

- |  |           |       |
|--|-----------|-------|
| 7. If a Community-wide/target-area wide survey was conducted, divide line 2 by line 1. (This is the survey response rate. It should equal or exceed 75.0 percent.) | 7. _____  | _____ |
| 8. Divide Line 4 by Line 3. (This is the average size of the LMI households you interviewed.)  | 8. _____  | _____ |
| 9. Divide Line 6 by Line 5. (This is the average size of the non-LMI households you interviewed.)  | 9. _____  | _____ |
| 10. Divide Line 3 by Line 2. (This is the proportion of households interviewed that have low-to-moderate incomes.)   | 10. _____ | _____ |
| 11. Divide Line 5 by Line 2. (This is the proportion of households interviewed that do not have low-to-moderate incomes.)  | 11. _____ | _____ |
| 12. Multiply Line 1 by Line 10 (This is the estimate of the total number of LMI households in your target area.)   | 12. _____ | _____ |

**FOR  
DCEO  
USE  
ONLY**

- |   |           |       |
|---|-----------|-------|
| 13. Multiple Line 1 by Line 11. (This is the estimate of the total number of non-LMI households in your target area.)   | 13. _____ | _____ |
| 14. Multiply Line 8 by Line 12. (This is the estimate of the total number of LMI persons in your target area.)  | 14. _____ | _____ |
| 15. Multiply Line 9 by Line 13. (This is the estimate of the total number of non-LMI persons in your target area.)  | 15. _____ | _____ |
| 16. Add Line 14 and Line 15. (This is the estimate of the total number of persons in your target area.)   | 16. _____ | _____ |
| 17. Divide Line 14 by Line 16, and multiply the resulting decimal by 100. (This is the estimated percentage of persons in your target area who have low-to-moderate incomes). | 17. _____ | _____ |

## PART C. INSTRUCTIONS AND EXPLANATIONS

1. Round all numbers to two decimal places (X.XX)
2. The number that goes on Line 1 is something you needed to know before beginning your survey. In the course of your survey, you may have refined your estimate. On Line 1, you should enter your current best estimate of the total number of households in the area.
3. For the number of households interviewed, you actually want the total number of interviews with complete and accurate information on the income and size of households questioned.
4. When you are completing Part A, be sure that the answers are logical. For example, the number on Line 4 cannot be smaller than the number on Line 3 (because every household must have at least one person.) Similarly, the number on Line 6 cannot be less than the number on Line 5. Also note that the number on Line 3 plus the number on Line 5 should equal the number on Line 2 -- every household is either low-to-moderate or it is not.
5. Some examples for Part B. For purposes of illustration, assume that you estimated that the target area contained 650 households (Line 1). Assume that you conducted a random sample survey and interviewed 250 households (Line 2), of whom 130 had low-to-moderate incomes (Line 3). These low-to-moderate income households contained 450 persons (Line 4). The 120 households with incomes over the low-to-moderate incomes (Line 5) contained 400 persons (Line 6.). You would complete Part B as follows:

Line 8      If the households you interview contained 450 low-to-moderate persons in 130 households, the number on Line 8 would be about 3.46 (450/130).

- Line 9      If the households you interviewed contained 400 non-low-to-moderate persons in 120 households, the number on Line 9 would be about 3.33 (400/120).
- Line 10     If you interviewed a total of 250 households, 130 of which had low-to-moderate incomes, the number on Line 10 would be about .52 (130/250)
- Line 11     If 120 of the 250 households interviewed did not have low-to-moderate incomes, the number on line 11 would be about .48 (120/250)
- Line 12     If your target area contained an estimated 650 households, and you interviewed 250, of which 130 had low-to-moderate incomes, the number on Line 12 would be about 338 (650 X .52).
- Line 13     Continuing with the example, Line 13 would be about 312 (650 X .48).
- Line 14     3.46 persons per LMI household times 338 LMI households -- Line 14 would be about 1,169.
- Line 15     3.33 persons per non-LMI household times 312 non-LMI households -- Line 15 would be about 1,039.
- Line 16     Total LMI persons (1,169) plus total non-LMI persons (1,039) -- Line 16 would be about 2,208 estimated total persons.
- Line 17     1,169 LMI persons divided by 2,208 total persons yields about .5294. Multiplied by 100, this gives an estimate that 52.94 percent of the residents have low-to-moderate incomes.

NOTE:      If the project benefit area includes a nursing home, for purposes of the income survey, a letter from the nursing home administrator may be obtained as documentation in lieu of surveying the nursing home residents individually. The letter must verify that the facility meets the HUD definition of a nursing home by having shared kitchen and dining facilities and must indicate the number of residents. All of the residents of nursing homes are considered by HUD to be low income and would, therefore, be included in the survey results beginning on Line 14. Please make a notation on your worksheet that this is being done. Retirement apartments, where residents have their own kitchens and dining areas, are not "nursing homes" and should be surveyed individually.

## INCOME SURVEY COVER SHEET

State of Illinois  
Community Development Assistance Program

### COMMUNITY DEVELOPMENT SURVEY

Name of Community \_\_\_\_\_

Date \_\_\_\_\_

Interviewer's Name \_\_\_\_\_

Respondent's Street Address (Required):

\_\_\_\_\_  
Structure Number

\_\_\_\_\_  
Street Name

Introduction: Hello, I'm \_\_\_\_\_ and I'm conducting a survey for the City/Village of \_\_\_\_\_. We're collecting information needed to complete an application for a community development grant. What you say will be kept strictly confidential in accordance with the Privacy Act of 1974 (Public Law 93-579). Your answers are very important to our community improvement effort.

# COMMUNITY DEVELOPMENT ASSISTANCE PROGRAM INCOME SURVEY

Community: \_\_\_\_\_ Address: \_\_\_\_\_  
(Must indicate address for survey to be valid, No PO Box)

## MINORITY BENEFIT DETERMINATION

1. How many people are living in the house? \_\_\_\_\_
2. To help determine the ethnic population of your locality or targeted area, please indicate the number of persons in the household in each appropriate category:

<b>Ethnic Category</b>	<b>Total Persons</b>	<b># Also Hispanic</b>
White		
Black/ African American		
Asian		
American Indian/Alaskan Native		
Native Hawaiian/Other Pacific Islander		
American Indian/Alaskan Native and White		
Asian and White		
Black/African American and White		
American Indian/Alaskan Native and Black/African American		
Other Individuals Reporting more than One Race		

3. ( ) Check here if female if female headed household
4. How many people are over 62 years old? \_\_\_\_\_
5. How many persons with physical or developmental disabilities are there in your household: \_\_\_\_\_
6. Do you own your own home? \_\_\_\_\_ Or rent? \_\_\_\_\_
7. Based on your family size, check below if your gross annual income is higher or lower than the income eligibility figures for the County listed below. You must check either **A** or **B** or **C** or **D**

### OUR ANNUAL INCOME IS:

- A** ( ) LOWER than 30% of the County income limit figures for our family size
- B** ( ) LOWER than 50% but HIGHER than 30% of the County income limit figures for our family size
- C** ( ) LOWER than 80% but HIGHER than 50% of the County income limit figures for our family size
- D** ( ) HIGHER than 80% of the County income limit figures for our family size

Insert County Name \_\_\_\_\_

<b>Number of Persons in Family /Household</b>	<b>Annual Income Limit 30% of median</b>	<b>Annual Income Limit 50% of median</b>	<b>Annual Income Limit 80% of median</b>
1			
2			
3			
4			
5			
6			
7			
8			



## MINORITY BENEFIT/AFFIRMATIVE HOUSING STATEMENT

<p>a. What is the percentage of the minority group(s) population residing in the community?</p> <p>What is the percentage of the minority group(s) population residing in the proposed project ("<b>targeted</b>") area?</p> <p>Identify the characteristics of the population of the project (targeted) area by specific ethnic group. This information may be obtained from the most recent Census Data ("Summary of Population and Housing Characteristics CPH 1-15 Table 3") or from the income survey if a survey was conducted. (If survey data is being used, and less than a 100% response rate was received, extrapolated data should be used, rounding fractions to whole numbers)</p>	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 40px;"></div>																																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 5px;">Ethnic Category</th> <th style="text-align: center; padding: 5px;">Total Persons</th> <th style="text-align: center; padding: 5px;"># Also Hispanic</th> </tr> </thead> <tbody> <tr><td style="padding: 5px;">White</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Black/African American</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Asian</td><td></td><td></td></tr> <tr><td style="padding: 5px;">American Indian/Alaskan Native</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Native Hawaiian/Other Pacific Islander</td><td></td><td></td></tr> <tr><td style="padding: 5px;">American Indian/Alaskan Native and White</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Asian and White</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Black/African American and White</td><td></td><td></td></tr> <tr><td style="padding: 5px;">American Indian/Alaskan Native and Black/African American</td><td></td><td></td></tr> <tr><td style="padding: 5px;">Other Individuals Reporting more than One Race</td><td></td><td></td></tr> <tr><td style="padding: 5px;"># of Female Headed Households</td><td></td><td></td></tr> </tbody> </table>	Ethnic Category	Total Persons	# Also Hispanic	White			Black/African American			Asian			American Indian/Alaskan Native			Native Hawaiian/Other Pacific Islander			American Indian/Alaskan Native and White			Asian and White			Black/African American and White			American Indian/Alaskan Native and Black/African American			Other Individuals Reporting more than One Race			# of Female Headed Households			<p>With the <u>exception</u> of "Female Heads of Households", the above numbers should equal the total number of persons to benefit from the project ("targeted" area).</p>
Ethnic Category	Total Persons	# Also Hispanic																																			
White																																					
Black/African American																																					
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American Indian/Alaskan Native and Black/African American																																					
Other Individuals Reporting more than One Race																																					
# of Female Headed Households																																					
<p>b. What is the goal for the percentage of CDAP funded contracts to be awarded to minority contractors?</p>	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 40px;"></div>																																				
<p>c. If the percentage goal in <i>b</i> is <u>substantially less</u> than the percentage of minorities residing in the community, please explain.</p> <p>_____</p> <p>_____</p>	<p>d. If funded, the applicant agrees to affirmatively further fair housing by posting Fair Housing Posters and by making HUD Fair Housing Complaint Forms available to the public.</p> <p>In addition, the Department <u>recommends</u> that the unit of local government pass a fair housing ordinance. Please check one below:</p> <p><input type="checkbox"/> We already have a Fair Housing Ordinance on file. (Indicate Number and Date Passed _____)</p> <p><input type="checkbox"/> If funded, we will pass a Fair Housing Ordinance</p> <p><input type="checkbox"/> We do not plan to pass a Fair Housing Ordinance at this time.</p>																																				

**Signature of Chief Elected Official:** \_\_\_\_\_

**ADMINISTRATION COSTS  
WHICH WILL BE PAID OUT OF CDAP**

<b>I.</b>	<b>PERSONNEL COSTS</b>				
	POSITION	COMPENSATION	% OF CDAP TIME	NUMBER OF MONTHS	CDAP TOTAL
<b>II.</b>	<b>GENERAL MANAGEMENT COSTS</b>				
	<b>A. COMMUNICATIONS</b>				
	PHONE				
	POSTAGE				
	<b>B. SUPPLIES/MATERIALS</b>				
	<b>C. COPYING/PRINTING</b>				
	<b>D. EQUIPMENT (LIST)</b>				
				SUB-TOTAL	
	<b>E. TRAVEL</b>				
<b>III.</b>	<b>CONTRACTUAL COST (IDENTIFY)</b>				
				SUB-TOTAL	
<b>IV.</b>	<b>OTHER (IDENTIFY IN DETAIL)</b>				
	% OF CDAP REQUEST _____		TOTAL*		

\*This amount must not exceed the CDAP Administration limit of 5%.

## **CDAP PUBLIC INFRASTRUCTURE FINANCIAL CHECKLIST**

Please provide the following information relative to the project for which CDAP funds are being requested:

- a. Total Project Cost: \$ \_\_\_\_\_
- b. CDAP Grant Requested: \$ \_\_\_\_\_
- c. Total # of Persons Served: \$ \_\_\_\_\_
- d. Monthly charge for 5,000 gallons of water and 5,000 gallons of sewage treatment:  
Water Charge: \$ \_\_\_\_\_/5,000 gallons  
Sewer Charge: \$ \_\_\_\_\_/5,000 gallons

If actual rates are not available, please provide PROJECTED rates.  
(If water/sewer billed in cubic feet, provide the cost based upon 669 cubic feet.)

Provide dates of most recent rate changes:

Most recent water rate change: \_\_\_\_/\_\_\_\_/\_\_\_\_

Most recent sewer rate change: \_\_\_\_/\_\_\_\_/\_\_\_\_

- e. Equalized assessed valuation for 2007: \$ \_\_\_\_\_
- f. Municipal government tax rate in 2007: \_\_\_\_\_  
(collectible in 2008)
- g. Aggregate tax rate for all local taxing bodies (e.g., county, township, school district) in 2007:  
[Add total tax rate of each unit of local government levying property taxes within the project area (county, township, etc.)]  
\_\_\_\_\_  
(collectible in 2008)

- h. Population according to 2000 Census Population: \_\_\_\_\_

- i. Current number of Water and Sewer Accounts:

Total Water Accounts: \_\_\_\_\_ Total Sewer Accounts: \_\_\_\_\_

Residential Water Accounts: \_\_\_\_\_ Residential Sewer Accounts: \_\_\_\_\_

(Provide both figures even though your application applies to only one).

For new systems:

Estimated amount of new residential water accounts: \_\_\_\_\_

Estimated amount of new residential sewer account: \_\_\_\_\_

Number of Customers Outside Corporate limits: \_\_\_\_\_

Number of Residential Customers Outside Corporate limits: \_\_\_\_\_

## **PART B**

### **DOCUMENTATION, CERTIFICATIONS AND RESOLUTIONS**

**SAMPLE**

**COUNCIL RESOLUTION OF SUPPORT**

**Resolution No. \_\_\_\_\_**

WHEREAS, the (unit of local government) \_\_\_\_\_ is applying to the State of Illinois for a Community Development Assistance Program grant, and

WHEREAS, it is necessary that an application be made and agreements entered into with the State of Illinois.

NOW, THEREFORE, BE IT RESOLVED as follows:

- 1) that the (unit of local government) apply for a grant under the terms and conditions of the State of Illinois and shall enter into and agree to the understandings and assurances contained in said application.
- 2) that the Mayor (County Board Chairman) and City Clerk (County Clerk) on behalf of the City (County) execute such documents and all other documents necessary for the carrying out of said application.
- 3) that the Mayor (County Board Chairman) and City Clerk (County Clerk) are authorized to provide such additional information as may be required to accomplish the obtaining of such grant.

Passed this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_. (date required)

ATTEST: \_\_\_\_\_  
City Clerk      (County Clerk)      Mayor      (County Board Chairman)

**SAMPLE**

**RESOLUTION COMMITTING LOCAL FUNDS**

**Resolution No. \_\_\_\_\_**

WHEREAS, the City Council (County Board) of the City (County) of \_\_\_\_\_, Illinois has taken action to submit an Illinois Community Development Assistance Program (CDAP) public infrastructure application,

WHEREAS, receipt of CDAP grant assistance is essential to allow the City (County) of \_\_\_\_\_ to undertake the project to \_\_\_\_\_,  
(project description)

WHEREAS, criteria of CDAP are such that financial participation by the grantee is required in conjunction with CDAP funds, and

WHEREAS, the City (County) of \_\_\_\_\_ has certain monies allocated for the above-referenced project with cash on hand, as needed.

NOW, THEREFORE, BE IT RESOLVED THAT the City (County) of \_\_\_\_\_ does hereby commit funds from \_\_\_\_\_ **(account/fund)** \_\_\_\_\_ for use in conjunction with an Illinois Community Development Assistance Program grant, such funds to equal \_\_\_\_\_% of the estimated total project cost of \$\_\_\_\_\_, or \$\_\_\_\_\_.

PASSED and APPROVED at its regular (special) City Council (County Board) Meeting, held on the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_. (date required)

\_\_\_\_\_  
Mayor (County Board Chairman)

ATTEST:

\_\_\_\_\_  
City Clerk (County Clerk)

**SAMPLE**

**RESOLUTION OF SUPPORT AND COMMITMENT OF FUNDS**

WHEREAS, the City (County) of \_\_\_\_\_, is applying to the State of Illinois for a Community Development Assistance Program (CDAP) grant,

WHEREAS, it is necessary that an application be made and agreements be entered into with the State of Illinois, and

WHEREAS, criteria of CDAP are such that financial participation by the grantee is required in conjunction with CDAP funds.

NOW, THEREFORE, BE IT RESOLVED as follows:

- 1) that the City (County) apply for a grant under the terms and conditions of the State of Illinois and shall enter into and agree to the understandings and assurances contained in said application.
- 2) that the Mayor (County Board Chairman) and City Clerk (County Clerk) on behalf of the City (County) execute such documents and all other documents necessary for the carrying out of said application.
- 3) that the Mayor (County Board Chairman) and City Clerk (County Clerk) are authorized to provide such additional information as may be required to accomplish the obtaining of such grant.
- 4) that the City (County) of \_\_\_\_\_ does hereby commit funds from \_\_\_\_\_ **(account/fund)** \_\_\_\_\_ for use in conjunction with an Illinois Community Development Assistance Program grant, such funds to equal \_\_\_\_\_% of the estimated total project cost of \$\_\_\_\_\_, or \$\_\_\_\_\_.

Passed this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ (date required)

\_\_\_\_\_  
Mayor (County Board Chairman)

ATTEST:

\_\_\_\_\_  
City Clerk (County Clerk)

## LOCAL GOVERNMENT CERTIFICATIONS

On this (date) of (month), (year), the (title and name of the Chief Elected Official) of (name of the local government) hereby certifies to the Department of Commerce and Economic Opportunity in regard to an application and award of funds through the Community Development Assistance Program:

1. It will comply with the National Environmental Policy Act (NEPA) with the submission of this application and it further certifies that no aspect of the project for assistance has or shall commence prior to the award of funds to the community and the receipt of an environmental clearance.
2. It will comply with the Interagency Wetland Policy Act of 1989 including the development of a plan to minimize adverse impacts on wetlands, or providing written evidence that the proposed project will not have an adverse impact on a wetland.
3. It will comply with the Illinois Endangered Species Protection Act and the Illinois Natural Area Preservation Act by completing the consultation process with the Endangered Species Consultation Program of the Illinois Department of Natural Resources, or providing written evidence that the proposed project is exempt.
4. It will identify and document all appropriate permits necessary to the proposed project, including, but not limited to: building, construction, zoning, subdivision, IEPA and IDOT.
5. No legal actions are underway or being contemplated that would significantly impact the capacity of the (name of local government) to effectively administer the program, and to fulfill the requirements of the CDAP program.
6. It will coordinate with the County Soil and Water Conservation District regarding standards for surface and sub-surface (tile) drainage restoration and erosion control in the fulfillment of any project utilizing CDAP funds and involving construction.
7. It is understood that the obligation of the State will cease immediately without penalty of further payment being required if in any fiscal year the Illinois General Assembly or federal funding source fails to appropriate or otherwise make available sufficient funds for this agreement.
8. It acknowledges the applicability of Davis-Bacon prevailing wage rate requirements to construction projects; a request for wage rate determination will be submitted prior to commencement of any construction or equipment installation; and, it shall discuss these requirements with the contractor.
9. It will comply with Section 3 of the Housing and Urban Development Act of 1968 to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state, and local laws and regulations, be directed to low and very low income persons and businesses.
10. It certifies that no occupied or vacant, but otherwise fit for occupancy, low-to-moderate income dwellings will be demolished or converted to a use other than low-to-moderate income housing as a direct result of activities assisted with funds provided under the Housing and Community Development Act of 1974, as amended.
11. It will conduct a Section 504 self-evaluation of its policies and practices to determine whether its employment opportunities and services are accessible to persons with disabilities.
12. Specify whether any of the project activities/area is in a flood plain. Yes \_\_\_\_ No \_\_\_\_

**(FEMA Floodplain map must be included in application)**

If yes, does it participate in the National Flood Insurance Program? Yes \_\_\_\_ No \_\_\_\_

If no, provide an explanation as to why it does not participate: \_\_\_\_\_

---

Signature of Chief Elected Official

---

Date



## **APPLICANT/GRANTEE/RECIPIENT DISCLOSURE CERTIFICATION INSTRUCTIONS**

Section 102 of the HUD Reform Act of 1989 contains a number of provisions to ensure greater accountability and integrity in the way the U.S. Department of Housing and Urban Development (HUD) and its grantees make certain types of assistance available. The CDAP Program is one of the HUD programs partially covered by Section 102.

A unit of local government applying for a CDAP grant (regardless of the program component), as well as the recipient of the grant must make certain disclosures. These disclosures are only necessary if the aggregate amount of previously awarded CDAP grants, CDAP grant applications currently pending review, and proposed CDAP grants is in excess of \$200,000 for the current program year. This funding threshold determines the extent of the information which must be disclosed.

### **Disclosure Information Required**

1. Other Government Assistance is defined as any loan, grant, guarantee, subsidy, tax benefit, credit, etc., from the federal government, state or unit of local government which is expected to be made available with respect to the project for which the assistance is sought.
2. Interested Parties is defined as follows.
  - a. The name of any developer, contractor, or consultant involved in the application for assistance or in the planning, development or implementation of the project or activity.
  - b. The name of any other person who has a financial interest in the project in excess of \$50,000 or 10 percent of the assistance, whichever is less. If the person referred to is an entity, then disclosure must include an identification of each officer, director and stockholder.

A financial interest means any financial involvement in the project or activity including, but not limited to, situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not by itself considered a covered financial interest.

3. Sources and Uses of Funds is defined as the gross amount of funds to be made available for the project from both governmental and non-governmental sources and private capital resulting from tax benefits and the expected uses for those funds.

### **Who Must Complete the Disclosure Certification**

Parts I and II of the Applicant/Grantee/Recipient Disclosure Certification must be completed by every unit of local government applying for CDAP funds and submitted as part of the application package. If the funding threshold of \$200,000 is met, then Parts III through V of the Disclosure Certification, as they pertain to this particular grant request, must also be completed. It is important that the information be as complete and concise as possible. An **applicant** is defined as any unit of local government applying for CDAP funds. The **grantee** is any unit of local government which has been awarded a grant. The **recipient** is defined as the receiver of the grant funds from the local government

and refers to the economic development component only. An example is a city receives a grant to loan to a company for machinery and equipment acquisition. The company is the recipient.

### **Updating the Disclosure Certification**

**During the period in which an application is pending or the period in which the assistance is being provided, the Disclosure Certification must be updated if the following actions occur. Updated reports must be submitted within 30 days of the change requiring the update.**

1. Omitted Information - The application was submitted and the applicant failed to disclose the information as required.
2. Change in Disclosure Threshold - Information subject to disclosure arose after the time for making disclosures, i.e., an interested party who did not previously have a pecuniary interest at the time of application, now meets or exceeds the \$50,000 or 10 percent of assistance threshold.
3. Change to Previously Disclosed Information - Changes must be submitted when any of the following criteria are met:
  - a. Changes in "Other Government Assistance" that exceeds the amount of such assistance that was previously disclosed by \$250,000 or 10 percent of the assistance, whichever is lower;
  - b. Changes in the amount of the pecuniary interest of a person exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests, whichever is lower;
  - c. Changes in the source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or 10 percent of those sources, whichever is lower; and
  - d. Changes in the uses of funds that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses, whichever is lower.

## APPLICANT/GRANTEE/RECIPIENT DISCLOSURE CERTIFICATION

See attached instructions.

<b>PART I. APPLICANT/GRANTEE/RECIPIENT INFORMATION</b>	
Indicate whether this is an Initial Report _____ or an Update Report _____	
A. Applicant/Grantee Name, Address and Telephone (include area code)	
B. Recipient Name, Address and Telephone (include area code) (for economic development component only)	
C. Project Location Address	
D. Type of Assistance Requested/Provided	Amount of Assistance Requested/Provided
<b>PART II. THRESHOLD DETERMINATION (Applicant/Grantee only)</b>	
<p>Have you received, or can you reasonably expect to receive (including this grant application), an aggregate amount of CDAP funds in excess of \$200,000 for the time period January 1, 2009, to December 31, 2009.                      Yes _____                      No _____</p> <p><b>If “yes,” Parts III through V must also be completed.</b></p> <p>All applicants must certify that the information provided is true by signing below.</p>	
<div style="border-top: 1px solid black; margin-top: 5px;"> Printed Name of Applicant/Grantee/Recipient </div>	<div style="border-top: 1px solid black; margin-top: 5px;"> Signature of Authorized Official </div>
<div style="border-top: 1px solid black; margin-top: 5px;"> Date </div>	<div style="border-top: 1px solid black; margin-top: 5px;"> Printed Name and Title of Authorized Official </div>

Applicant/Grantee/Recipient Disclosure Certification (continued)

<b>PART III. OTHER GOVERNMENT ASSISTANCE</b>			
Federal Department/State/Local			Amount
Agency Name & Address	Program	Type	Requested/Provided

  

<b>PART IV. INTERESTED PARTIES</b>		
List of all persons with a Reportable Financial Interest	Type of Participation	Financial Interest in Project (\$ and %)

  

<b>PART V. SOURCES AND USES OF FUNDS</b>	
Source	Use

## SAMPLE

### INTERGOVERNMENTAL COOPERATION AGREEMENT

The \_\_\_\_\_, \_\_\_\_\_ County, Illinois, seeks to support the efforts of the \_\_\_\_\_ to obtain Community Development Assistance Program funds from the Illinois Department of Commerce and Economic Opportunity for (proposed project) \_\_\_\_\_ located in \_\_\_\_\_.

As the chief executives of our respective local governments, we are signing this agreement to cooperate as much as needed to accomplish these improvements.

The \_\_\_\_\_ is hereby designated as the lead agency for this application and will be the applicant for the funds. The \_\_\_\_\_ will be liable for all program administration functions should the grant be awarded.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Attest

\_\_\_\_\_

Attest

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

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

**SECTION VI**  
**ATTACHMENTS**

**DIRECT HUD ENTITLEMENTS****Metropolitan Cities**

Arlington Heights  
Aurora  
Belleville  
Berwyn  
Bloomington  
Bolingbrook  
Champaign  
Chicago  
Chicago Heights  
Cicero  
Danville  
Decatur  
DeKalb  
Des Plaines  
Downers Grove  
East St. Louis  
Elgin  
Evanston  
Joliet  
Kankakee  
Moline  
Mount Prospect  
Naperville  
Normal  
North Chicago  
Oak Lawn  
Oak Park  
Palatine  
Pekin  
Peoria  
Rantoul  
Rockford  
Rock Island  
Schaumburg  
Skokie  
Springfield  
Urbana  
Waukegan  
Wheaton

**Urban Counties**

Cook County  
DuPage County  
Kane County  
Lake County  
Madison County  
McHenry County  
St. Clair County  
Will County

INCOME GUIDELINES TO BE ATTACHED HERE