2016

STATE OF WISCONSIN

Community Development Block Grant –

Rural Economic and Area Development Initiative

(CDBG-READI)

APPLICATION PACKET

This application packet may be accessed at the Bureau of Community Development- Economic Development section on the Division of Energy, Housing and Community Resources website at housing.wi.gov. The electronic version on the website is the most recent version, and is the only official version, of the document. Revisions are made periodically. Users should only reference the official version of the document.

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This document is posted for a 30 day comment period as part of a Substantial Amendment to the 2015-2019 Consolidated Plan. As such, it should be treated as a draft. If the substantial amendment is approved by the Department of Housing and Urban Development, the Division may then post a final version and open the application period.

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CDBG PROGRAM CONTACT INFORMATION

Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
E. Wilson St., 5th Floor
Madison, WI 53703

Introduction

What is CDBG?

The Community Development Block Grant (CDBG) program is a federal formula-allocated grant program administered by the U.S. Department of Housing and Urban Development (HUD). Funding for the CDBG Small Cities Program is provided to the State of Wisconsin by HUD. The program was created when Congress passed the Housing and Community Development Act, Title 1 in 1974 and it is governed by the rules set forth in the Code of Federal Regulations (24 CFR Part 570).

The CDBG program consists of two components: One, an "entitlement program" under which HUD provides funding directly to urban counties with populations of at least 200,000; cities with populations of at least 50,000; and principal cities of Metropolitan Statistical Areas, and two, a "state-administered program" under which HUD provides CDBG funds to States to distribute to non-entitlement communities. The Department of Administration (DOA)- Division of Energy, Housing and Community Resources (DEHCR) is responsible for administering Wisconsin's State-Administered Community Development Block Grant Program.

The primary purpose of the CDBG program is the development of viable communities through the provision of decent housing, a suitable living environment, and the expansion of economic opportunities, principally for the benefit of persons of low and moderate income (LMI).

CDBG-READI

READI is designed to use CDBG resources to provide targeted economic development investment in either a single unit of general local government or a rural region. All funds must benefit low-to moderate income individuals. Because economic growth is linked to the availability of skilled workers and quality workforce housing, READI applications are required to include both economic development and housing projects, and are encouraged to include job training projects.

- **Economic Development (required):** The cornerstone of a READI proposal would be an application to create a new business or expand an existing business. Loans of up to $500,000 would be available in exchange for low- and moderate- income job creation.

- **Workforce Housing (required):** To attract new workers to rural areas, loans of up to $300,000 would be available to rehabilitate or create workforce housing near the economic development project.

- **Job Training (encouraged):** Job training grants of up to $200,000 would be available to train workers to step into new jobs at the economic development project.

Efforts will be extended to ensure maximum state coverage of CDBG program resources. Emphasis shall also be placed on enhancing local capacity building and on integrating CDBG program resources as

opportunities and situations arise in disadvantaged and under-served areas. Approximately $10 million has been set-aside for grants to UGLGs for READI projects to fund activities allowed under federal guidelines. Funds will be made available to UGLGs through an application process.

An economic development application is composed of two parts; community information and **Project Partner** information. However, all CDBG applications **must** be submitted by an UGLG, including information and documentation from the company that is the intended beneficiary of the requested CDBG assistance. The significant difference between the READI application and a traditional CDBG – ED application: A traditional CDBG-ED project must include information on the project partner business. Traditional CDBG applications are available on a continuous application schedule. READI applications should not contain business information, but rather contain information on the project partner community development organization (CDO). The READI Program is a pilot program. Applications for the pilot will be available after HUD approves the State's substantial amendment.

Program Income Reporting & Section 105(a)(15) of the Housing and Community Development Act

The READI Application is limited to UGLGS who will provide assistance to community development organizations serving the development needs of the community as referenced by Section 105 (a) (15) of the Housing and Community Development Act(HCDA), as amended. These Community Development Organizations (CDOs) must be certified by DEHCR before the letter of intent and application process may begin.

Activities funded by the CDO must carry out a neighborhood revitalization, community economic development, or energy conservation project in furtherance of the objectives of Section 101(c) of the HCDA. All projects must be activities that meet a HUD national objective, and provide a low – moderate – income benefit.

Based on the process outlined in Section 105(a)(15), Wisconsin will first grant funds to the UGLG, who has selected a DEHCR certified CDO as a project partner during the READI application process. The UGLG will then grant funds to the CDO. During this process, the UGLG and CDO will have identified an area within their selected region in need of assistance. The CDO will then loan funds to a business or multiple businesses for the purpose of creating or retaining low to moderate income (LMI) jobs. Additionally, the CDO will loan funds to a workforce housing developer to rehabilitate or create workforce housing in the same area as the economic development project. Finally, the CDO may grant or loan funds to a business or job training provider who trains workers for the economic development project. This process is visualized in Figure 1.

During the period of this first loan (or job training grant), the UGLG will be responsible for enforcing reporting requirements and gathering all documentation required by CDBG regulations. However, much of this documentation should be kept at the UGLG level. Though much of the documentation is not sent to DEHCR, it will be reviewed during DEHCR monitoring visits. More information on which forms must be sent to DEHCR and which forms must be maintained at the UGLG level is available in the READI application.

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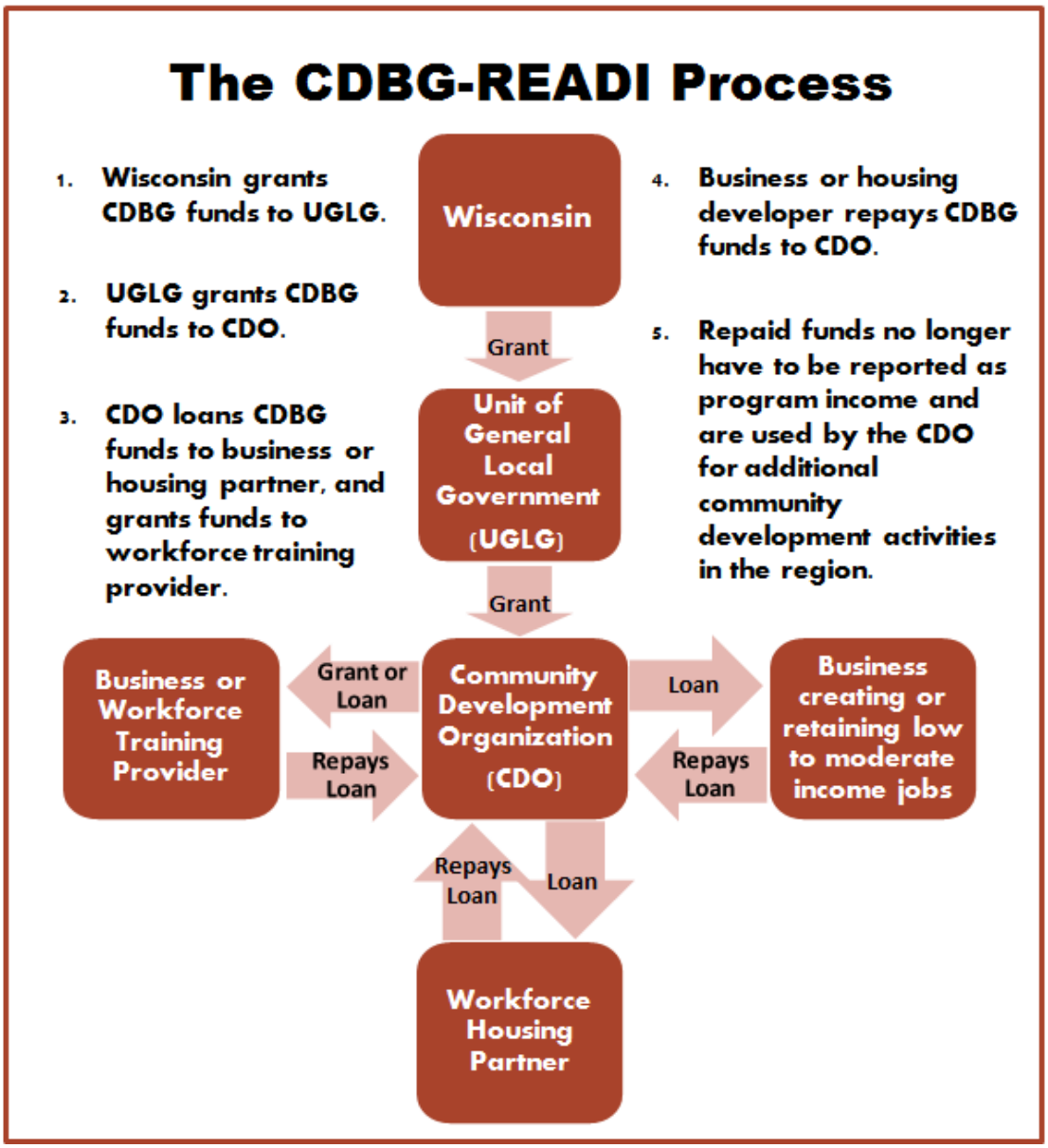
Based on the process outlined in Section 105(a)(15), once the loans are repaid to the CDO, the CDBG funds no longer have to be reported as CDBG program income. This decreases the CDO's reporting burden, and allows them to fund additional neighborhood revitalization, community economic development, or energy conservation projects in their selected region. Though funds do not need to be reported as CDBG program income, **outcomes such as jobs created, housing units rehabilitated, etc., must still be reported annually for Wisconsin's Annual Report on Economic Development (ARED).**

Figure 1



Program Requirements

Eligibility

General purpose units of local government (towns, villages, and cities with populations of less than 50,000, and counties other than Dane, Milwaukee and Waukesha) are eligible to apply. Regional applications are encouraged. Indian tribes are not eligible because there is a special Indian Block Grant Program administered directly by the U.S. Department of Housing and Urban Development.

- Tier 1 Regional Applications: $8.5 million available
  - Applications will be considered regional if they represent three counties OR if the counties submitting an application have a population greater than 100,000 persons. Regional applications must have a lead County to act as the administrator of the grant.
  - Counties submitting a regional application must be within a reasonable distance from each other.
  - All counties in the region must have adopted a resolution indicating the lead County for application, grant administration, and reporting requirements.
  - Though the application is considered regional, the first project should be located in a single municipality or geographically contiguous area. Once the loan is repaid to the CDO, funding may be used in other municipalities in the region.

- Tier 2 Non-Regional Applications: $1.5 million available
  - All applications which do not meet the Tier 1 standards (such as an application from a single city) will be considered Non-regional.

Applicant

The applicant **must be a non-entitlement** Unit of General Local Government (UGLG), or a region compromised of a minimum of three counties or a have a population greater than 100,000 persons. A single UGLG as the lead for a region or individual unit must be an applicant even if a private company or community development organization (CDO) will be the principal beneficiary. A list of Wisconsin's entitlement communities can be found at the Bureau of Community Development- Economic Development section on the Division of Energy, Housing and Community Resources website at housing.wi.gov. This application does not affect the UGLG's ability to apply for other CDBG projects during the program year. For a regional application, each county must have adopted a resolution indicating the lead County for application, grant administration, and reporting requirements. Should the applicant agency dissolve, any assets that were originally awarded by the CDBG-READI program shall be remitted to the State of Wisconsin.

Prohibition on Job Pirating

- Pursuant to Section 588 of the Quality Housing and Work Responsibility Act, Section 105(h) of the federal Housing and Community Development Act prohibits "job pirating" or the use of CDBG

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funds to "assist directly in the relocation of any industrial or commercial plant, facility, or operation, from one area to another area if the relocation is likely to result in a significant loss of employment in the labor market area (LMA) from which the relocation occurs."

- The Bureau of Labor Statistics (BLS) defines an LMA as area in which individuals can live and find employment within a reasonable distance or can readily change jobs without changing their place of residence. A listing of LMAs within the U.S. can be found at: http://www.bls.gov/lau/lmadir.pdf.

- Federal regulations set the following parameters for a company's relocation from one LMA to another, and whether the number of jobs being lost will trigger the anti-pirating provisions:
  - The loss of 25 jobs or less from the LMA where the company is currently located does not trigger the anti-pirating regulation and is not viewed as significant loss of employment.
  - A loss of 500 jobs or more is considered significant and would automatically invoke the anti-pirating provisions.
  - Job losses ranging from over 25 – 500 jobs must be less than 0.1 percent of the total jobs in the LMA that is losing jobs. If the job loss is less than 0.1 percent, the anti-pirating regulation would not be triggered.
  - Involuntary relocations, meaning those businesses forced to relocate as a result of some government action covered under the Uniform Relocation Act (URA), are excluded from the anti-pirating regulation.
  - Job relocation within the same LMA is not subject to the anti-pirating regulation.

- Under CDBG regulations (24 CFR 570.482(h)), before a community can provide a business with CDBG funds, it must sign an agreement with the assisted business that includes the following:
  - A statement from the business indicating the assistance will not result in the relocation of any industrial or commercial plant facility from one LMA to another. If the assistance will not result in relocation, a certification from the business stating that, at the time the agreement is signed, neither the business nor any of its subsidiaries has plans to relocate jobs that would result in significant job loss; and
  - A provision for full reimbursement in the event that the assistance results in a relocation prohibited by the regulation.

Previous CDBG Assistance

A unit of local government is eligible to receive more than one CDBG award in a 12-month period upon review of the application at the discretion of the Division of Energy, Housing and Community Resources (DEHCR).

However, CDBG-READI applications ***will not*** be considered if there are any outstanding or unresolved instances of non-compliance associated with prior CBDG awards, including non-compliance related to administrative, financial management, underwriting, recordkeeping, reporting, auditing, closeout, payment, reimbursement or other requirements.

DEHCR will also continue to evaluate projects' feasibility after awards are made. Successful applicants will be required to submit semi-annual project performance reports to the Division as part of the project grant agreement and will be monitored at least once during the contract period by a Grants Specialist from the Division.

Meeting a National Objective

In order to be eligible for funding through the CDBG-READI program, the proposed project must meet at least one of three national objectives as required by HUD in 24 CFR 570.483:

- Benefitting low and moderate income (LMI) persons (persons earning under 80% of county median income);
- Preventing or eliminating slums or blight; or
- Meeting an urgent local need that poses a serious and immediate threat to the health or safety of the community and for which other financial resources are not available.

CDBG funds will be granted to communities to support area development activities which include the following:

- Economic Development
  - Constructing, reconstructing, rehabilitating, and/or acquiring buildings
  - Purchasing equipment
  - Acquiring property
- Workforce Housing
- Job Training

These projects will all meet the LMI national objective . To ensure the CDBG program principally benefits LMI persons, federal regulations require that at least 70 percent of funds address this objective.

CDBG-READI Economic Development Priorities

The primary purpose for funding in this application is to help facilitate economic development, job creation, and housing opportunities for low to moderate income (LMI) individuals. Funding will be directed to proposals that best meet Wisconsin's CDBG Economic Development and Consolidated and Annual Action Plan goals:

- Encourage business investment that supports job creation through expansion;
- Foster new businesses that result in job creation;
- Assist businesses that are considering closing or reducing employment levels to be able to retain those positions;
- Support job training and skill development;
- Promote entrepreneurial development and small business start-ups;
- Support incubators and microenterprises;
- Support regional economic development strategies;

For more detailed information about CDBG economic development-specific requirements, please see the CDBG Economic Development Application, available on the DEHCR website at http://doa.wi.gov/Documents/DOH/CDBG-CommunityDevelopment/CDBG_ED/CDBG_ED_Application.pdf.

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CDBG-READI Housing Priorities

The primary purpose of housing funding for this application is rehabilitate and or expand housing stock in rural communities to ensure that housing opportunities exist for low to moderate income households. In particular, funding should benefit those households who may benefit from the newly created economic opportunities associated with this application.

Applications must contain a housing component. To upgrade the quality and expand the supply of decent, safe, and sanitary housing for LMI households, successful applications may include residential rehabilitation (including accessibility improvements for persons with disabilities), or conversion of non-residential property to residential units, and/or acquisition of property for new development of residential units.

- Residential Rehab
  - Rehabilitation of rental housing to ensure that the units are decent, safe, and sanitary. Rehabilitation activities may include:
    - Roofing
    - Siding
    - Window replacement
    - Correct electrical hazards
    - Flooring
- Conversion
  - Conversion of commercial or industrial property to decent, safe, and sanitary residential units.

- Limited New Development Activities
  - CDBG funds cannot be used for construction of new residential units. However, CDBG funds can be used for acquisition of property, architectural design.

For the duration of a five year affordability period, 51% of housing units rehabilitated must be rented to low/moderate income individuals. For example, if a four unit structure is rehabilitated using CDBG-READI housing funds, three units must be rented to low/moderate income individuals for the five year affordability period.

For more detailed information regarding CDBG housing priorities and requirements, please see the CDBG Housing Implementation Manual, available on the DEHCR website at http://doa.wi.gov/Divisions/Housing/CDBG-Housing-Handbook.

CDBG-READI Job Training Priorities

The primary purpose for training funding in this application is to provide training resources and opportunities which ensure that LMI individuals have the necessary skills to meet and exceed expectations of success in the newly created positions.

To be eligible for CDBG-READI assistance under the LMI-Jobs national objective, the applicant must demonstrate that a minimum of 51% of the jobs to be directly created or retained by an economic development project will be held by LMI persons as described in Title 42 Chapter 69 of the Act. Each

LMI individual who is trained must actually attain a job to be counted in the total LMI persons benefiting for the purposes of meeting the national objective.

Enforcement of National Objective Requirement

While it is the responsibility of the business and the Community Development Organization (CDO) to maintain employment verification records, the UGLG is the recipient of the CDBG award and therefore is ultimately accountable for the project. If it is determined that the **Project Partners** have failed to fulfill any portion of the contractual agreement, the **Project Partners** and/or UGLG will be asked to return the full award back to the State. CDBG projects that do not meet a national objective based on the **number of people hired, trained jobs actually filled, and housing units occupied** will result in a full repayment of the award.

Because job creation projects are measured for a national objective at the end of the performance period, it is critical that the **Project Partners** and UGLGs maintain thorough records that document the number and LMI status of **people trained, jobs and housing units filled** in order for the project to remain eligible by complying with the LMI- national objective standards. It is the responsibility of the **Project Partners** to acquire LMI information for all **individuals** that are beneficiaries of CDBG funds. These records must be reported on time and at regular intervals per the grant agreement, and maintained by the UGLG until notification from the State.

Please be aware that submitting project closeout documents to the State DOES NOT mean that the project has been closed out. Completed projects will be reviewed by the Division of Energy, Housing and Community Resources (DEHCR) to ensure that all contractual requirements have been met and analyzed by HUD to ensure that a national objective and all other federal requirements have been met. After a final project review, the DEHCR will issue a closeout letter to the UGLG approving the closeout of the project.

Award Limits

The ***maximum*** total award for a CDBG-READI project is $1,000,000; which consists of:

- $500,000 for economic development
  - Maximum award per job created is $35,000/ job.
- $300,000 for housing
  - UGLGs and CDOs should ensure that the cost per unit is reasonable given the scope and size of the project.
- $200,000 for job training
  - Maximum level for job training project is $3,500/ student.

Match Requirements

The **Project Partners** must demonstrate a match investment of at least 50 percent of the total project cost. Match funds may include bank loans, loans to be repaid to other state or federal programs, grants

from state or local partners, or new business investments. The following will not be considered as match by DEHCR.

- Other federal funds
- In-kind contributions or services
- Existing assets
- Existing equity
- Projected operating cash flow
- Existing Line of Credit (LOC)

Maximum Project Period

Projects activities must usually be completed within twenty-four (24) months from the date the funding is awarded. Funds not disbursed within the specified time limit may be recaptured by DEHCR for reallocation to any other eligible CDBG project. All grant agreements will incorporate timelines to assure the project is on track to have successful completion within the grant term.

Other Federal Requirements

Section 3

Grantees are obligated to comply with Section 3 of the Housing and Urban Development Act of 1968 and 24 CFR part 135.

To the maximum extent practicable, the grantee and subgrantees will involve through employment, low to moderate income individuals and families in constructing, renovating, maintaining, and operating facilities, in providing services assisted under the CDBG-READI program, and in providing services for occupants of facilities assisted by the CDBG-READI program. Furthermore, grantees and subgrantees must comply the reporting as established by the DEHCR.

Fair Housing

Per 24 CFR 570.487(b), recipients of any CDBG funds must take action to affirmatively further fair housing during the contract period.

DEHCR's "Potential Fair Housing Action" form is included as Exhibit 6 of the Application. This form must indicate the three actions that will be taken to affirmatively further fair housing and must be submitted with the application materials. If the project is funded, the selected actions will be included in the CDBG Agreement timetable and implementation is required.

Labor Standards (Davis-Bacon)

Economic Development

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Federal labor standards requirements (also known as "Davis-Bacon") apply to economic development projects for which construction related labor exceeds $2,000. If your project is funded, your contract will require you to comply with Davis-Bacon requirements, including (but not limited to):

- Obtaining wage decisions for use in the project;
- Including federal labor standards provisions in bid and contract documents; and
- Monitoring contractors for compliance with wage rates and collecting restitution from contractors that violate wage requirements.

Recipients of CDBG funds whose projects are subject to Davis-Bacon requirements are required to submit semi-annual labor standards enforcement reports to your project representative in the DEHCR. If funded, your project representative at DEHCR will provide you with additional information on labor standards requirements.

Housing

Federal labor standards requirements (also known as "Davis-Bacon") apply to housing projects in multifamily buildings with 8 or more units. Coverage is determined by the number of units in the building, not by the number to be rehabilitated. In addition, a mixed-use building that contains or will contain both residential and commercial or industrial uses after the rehabilitation/ conversion work is completed is also subject.

Citizen Participation

Regulations require that local governments provide citizens with advance notice of an opportunity to comment on proposed activities in an application to the State for CDBG assistance. Citizen participation is required in the planning and administration of CDBG projects. All CDBG applicants must prepare and implement a written Citizen Participation Plan as specified in Section 104 (a)(3) of the Housing and Community Development Act of 1974 as amended. All CDBG applicants must demonstrate compliance with federal citizen participation requirements at the time of application. Applicants that do not include documentation of citizen participation as part of their application materials will be determined ineligible for CDBG funding.

A CDBG grant may be made only if the applicant certifies that it has established and is following such a plan. The Citizen Participation Plan must include, at a minimum, the elements listed below:

A. Provision for and encouragement of citizen participation, with particular emphasis on participation by persons of low- and moderate-income (LMI) who are residents of target area neighborhoods in which the CDBG funds are proposed to be used.

   The applicant must meet this requirement by doing **at least one** of the following:

   1. Establish a committee composed of individuals who are representative of the community's demographics. This committee shall include at least one LMI person and one resident of the designated target area. This committee will assume the responsibility for coordinating all required elements of the Citizen Participation Plan. All committee members must be residents of the community.

2. Distribution of timely notification of all required meetings to 100 percent of the designated target area or neighborhood. Applicants not having a target area, must design a notification system which will reach a majority of the community's LMI population. All notifications of meetings and available assistance must be worded in such a way as to encourage LMI participation.

B. Provision to citizens of reasonable and timely access to local meetings, information, and records relating to the applicant's proposed and actual use of funds.

Pursuant to 24 CFR 570.486 (5),"There must be reasonable notice of the hearings and they must be held at times and locations convenient to potential or actual beneficiaries, with accommodations for the handicapped. Public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate."

To meet this requirement, the applicant must:

1. Attempt to have at least one of the public hearings in the target area; **and**
2. Notify the community of upcoming meetings **not less than two (2) weeks/fourteen (14) days** prior to the meeting; **and**
3. In all meeting announcements, include where, and during what hours, information and records relating to the proposed and actual use of funds may be found.
4. ADA accommodations

C. Provision for technical assistance to groups representative of LMI households that request such assistance in developing proposals with the level and type of assistance to be determined by the applicant.

To meet this requirement, the applicant must include in the adopted Citizen Participation Plan:

1. The type of assistance generally available; and
2. The procedure used to request the assistance.

D. Provision for public hearings to obtain citizen views and to respond to proposals and questions at all stages of the community development program, including at least:

1. The identification and development of housing, public facility and economic development needs;
2. The review of proposed activities; and
3. The review of program performance (for which hearings shall be held after adequate public notice, at times and locations convenient to potential or actual beneficiaries, and with accommodation for the handicapped).

E. Provision of timely written answers to written complaints and grievances within 15 working days where practical.

To meet this requirement, the applicant must:

1. Include the complaint/grievance procedure steps in the Citizen Participation Plan; and
2. Develop a procedure to ensure compliance with the 15 working day response time.

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F. Identify how the needs of non-English speaking (including the hearing impaired) will be met in the case of public hearings where a significant number of non-English speaking residents reasonably can be expected to participate.

   To meet this requirement, the applicant must:
   1. Identify all non-English speaking populations in the community (regardless of American or Wisconsin citizenship) and make a determination of their special needs.
   2. Include evidence in the Citizen Participation Plan that the community has conducted a review of this matter consistent with the Housing and Community Development Act of 1974 as amended.

Citizen Participation documents to be submitted by applicants include:

- A copy of the Applicant's Citizen Participation Plan (signed or accompanied by a copy of the adopting resolution);

- A copy of the Public Hearing Notice(s) as published in the local newspaper (a **Sample Public Hearing Notice** can be found on our Bureau of Community Development website: http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development);

- A completed Citizen Participation Certification (the **Citizen Participation Certification** form can be found on our Bureau of Community Development website: http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development **OR** the meeting minutes from the Public Hearing; and

- A copy of the sign-in sheet(s) from the Public Hearing(s).

In addition to documentation of citizen participation, all CDBG–READI applicants must submit a resolution signed by the Chief Elected Official (CEO) of their Unit of General Local Government (UGLG) requesting the funds authorizing the submission of the Community Development Block Grant Application. (A **Sample Authorizing Resolution** form can be found in the Exhibits on our Bureau of Community Development website: http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development.)

Environmental Review

The National Environmental Policy Act of 1969 (NEPA) applies to ***every CDBG project***. Regulations governing *Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities* can be found in 24 CFR Part 58, which is available via the following link: http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=d4966c17222ec9dc63a434ad9599aa6c&rgn=div5&view=text&node=24:1.1.1.1.33&idno=24.

The type of review required, and the amount of time it will take, can vary depending on the nature of the project. The review, and the amount of work required to complete it, may impact project scheduling.

At the completion of the environmental review process, DEHCR will issue an environmental clearance letter. In addition, please note:

- **An UGLG or their CDO grantee may not commit any HUD assistance funds or non-HUD funds until an award has been made and the environmental review has been completed. Exceptions may be granted for pre-award costs if approved by DEHCR in advance; and**

- **DEHCR cannot release funds until the environmental review process is complete and an award and contract are in place.**

Audit

In accordance with 2 CFR Part 200, non-federal entities that expend $750,000 or more in federal funding in any one year must undergo a Single Audit.

Application and Selection Process

The federal CDBG guidelines, as applied, are summarized as follows:

A. Project costs must be reasonable, not excessive, and must be supported by cost analyses. Transactions must be carried out through arms-length transactions, not insider arrangements.

B. All proposed sources of financing necessary to carry out the project must be committed. This ensures that funds are not awarded to projects that are not in a position to proceed to project completion within a reasonable time. To fulfill this requirement, the DEHCR requires a written verification affirming the various funding parties' intentions to make funds available, and, depending on the nature of the funding party, a showing of their capacity to actually provide such funds.

C. CDBG funds are not to be substituted for other funds. This standard requires a financial underwriting analysis of the project. The level of analysis will vary with the nature and complexity of the project. Since projects in this category provide financing for for-profit businesses, appropriate levels of private source financing (e.g., bank loans) are expected to be present, and equity participation in the project must be sufficient given the financial capacity of those owning the enterprise.

D. Financial feasibility of the project. The public benefit expected from the investment of CDBG funds is the creation and maintenance of LMI jobs. That benefit will not materialize if the project is not financially feasible.

E. Avoidance of providing an unreasonable return on investment to the owner of the project. The availability of non-interest bearing loans, forgivable loans **Grants** to for-profit businesses presents a potential for this to occur therefore, while the UGLG may grant funds to the CDO, the CDO may not grant funds to a developer or a business, except for job training.

F. CDBG funds should be disbursed on a pro rata basis with other project funding sources. CDBG money should not be the first money into a project, but rather should flow into a project in proportion to other project funding sources. CDBG-funded activities should not be completed

prior to activities funded by match funds to ensure that matching funds are spent concurrently with, and in proportion to, the CDBG funds.

Applications that do not meet basic program eligibility requirements will be returned with an explanation of requirements needing to be met.

Scoring

CDBG-READI applications will be processed on a competitive basis with a set-aside of $8.5 million available for regional applications and $1.5 million for individual rural UGLG applications. Once DEHCR has received an application that meets all program eligibility criteria and program staff has compiled a complete loan file with all required credit, financial, and underwriting information, a DEHCR staff will review and score the application. Applications could receive a maximum of 100 points, based on the following breakdown:

- 30 Points: Economic Development component
- 30 Points: Workforce Housing component
- 15 Points: Job Training component (no points will be awarded if this component is not included)
- 25 Points: Capacity, Need, and Community Support

Based on the review and scoring of the CDBG-READI application, a staff review will be drafted recommending one of the following actions:

1. Approve the application as submitted;
2. Approve the application with contingencies, modifications or loan covenants; or
3. Deny the application.

The Staff Review, with proper documentation, will then be submitted to Bureau Director and Division Administrator for review and approval/denial. Applicants that are denied will receive a written denial letter explaining the reason(s) for the denial.

Applicants for CDBG-READI grant program may appeal if their application is denied. The DEHCR has implemented a formal Appeal Process for grant applicants who feel a non-funding decision was made in error. The process provides an opportunity for applicants to have their application reviewed a second time to ensure no errors were made during the review process. The following page shows the Application Approval Process and Appeals Process for CDBG-READI Job Training Applications.

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Application Approval Process

Step 1 • Division recieves certification applications from prospective Community Development Organizations(CDOs).

Step 2 • Prospective CDO recieves certification from Division or recieives rejection letter denying certification.

Step 3 • Division recieves pre-application Letter of Intent from community (UGLG) detailing application partners and plan ideas.

Step 4 • Community recieves Division's approval of Letter of Intent and issues invitation to apply OR rejects of Letter of Intent.

Step 5 • Division receives application from UGLG.

Step 6 • Program staff conducts initial review to ensure the application meets all program eligibility requirements.

Step 7 • Application Review Committee reviews the application's financials, project description and needs narrative.

Step 8 • Staff Review drafted recommending to 1.) approve application 2.) approve application with contigenciesor 3.) deny application.

Step 9 • Staff review submitted to Bureau Director and Division Administrator for review and approval/ denial.

Step 8 • UGLG receives award or denial letter from DEHCR.

Appeal Process

An applicant who objects to the denial of an award has the right to appeal the decision.

- The appeal must include the name of the application and a short summary of why the applicant is appealing the decision.
- Lack of available funding may negatively impact the appeal process.
- The appeal must be filed with the Bureau Director within thirty (30) business days of the date of the denial the applicant received notice of the award decision.
- The Bureau Director will review the application and will make a decision whether to reverse the denial decision.
- If the Bureau Director denies the appeal, the applicant must file an appeal with the Secretary's office within thirty (30) days from the date of the letter.
- The Secretary's office will review the application and will make a final determination.

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Community Development Organization Certification

The Community Development Organization Certification Process is intended to ensure that the organizations who will be granted CDBG-READI funds through the Unit of General Local Government have the capacity to follow technical CDBG requirements, and the knowledge and experience to select projects that will add value to the community.

Organizations that are certified as a Community Development Financial Institution (CDFI), Certified Housing Development Organization (CHDO), and/or Small Business Association (SBA) Lender have demonstrated capacity and do not need to go through the regular CDO Certification process. Instead, these organizations must submit a letter requesting CDO certification from DEHCR, and proof that they are a CDFI, CHDO, or SBA lender, by DATE. The letter and form will be reviewed by DEHCR staff before Certification is issued.

Organizations who are not certified as a CDFI, CHDO, or SBA lender who wish to be certified by DEHCR as Community Development Organizations (CDOs) must submit the following information form and all required attachments by DATE. Certification Application forms and attachments will be reviewed by DEHCR staff.

Please submit one original and one electronic version to:
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
101 E. Wilson St., 6th Floor
Madison, WI 53703
Email: doadohcdbgcd@wi.gov

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Requirements to Apply for CDO Certification

Organizational Structure

- The organization must have received approval from the Internal Revenue Service to operate as a non-profit corporation [8 V.S.A. §2201(c)(8)].

- The organization must have a board.
    - Elected officials cannot make up over half of the board.

CDBG-READI Project Review Committee

The organization must have a project review committee with the following makeup:

- Committee members must not include elected officials.

- At minimum, the committee must have:
    - An accounting professional
    - A banking representative with demonstrated lending experience
    - A legal representative
    - At least one community member who fits the criteria for low- to moderate-income.

The project review committee must complete a full financial review of any project partner which is the recipient of a CDBG loan or grant. The review must include review of the underwriting of the business loan, the underwriting of housing loan, evidence that the project partner has the financial procedures in place to receive a CDBG loan, etc.

In addition to a financial review, the following business screening items must be considered by the CDO loan or project review committee:

- Background Checks: The DEHCR has established requirements to ensure that funds awarded are not provided to any person that has been convicted of a criminal offense or held liable in civil proceedings that negatively reflects on the business integrity of the person based on a finding of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or violation of state or federal antitrust statutes, or as otherwise required by law. Any business or individuals benefitting from CDBG funds will be subject to background check.

- Suspensions and Debarments: HUD's Departmental Enforcement Center pursues suspension and debarment actions that result in the exclusion of a sanctioned party from further participation in HUD procurement and non-procurement programs and other Federal Government programs. Suspensions and debarments are not punitive measures but are part of a government-wide administrative sanctions initiative to ensure the highest standards of professional conduct and ethical business practices by the Federal Government's business partners. Suspensions are generally enacted after an indictment is issued. Debarments are generally issued after a criminal conviction or when serious program violations are detected.

- The System for Award Management (SAM) is the official U.S. Government system database of individuals, organizations, and affiliates excluded from conducting business with any Federal

Agency. Before a project is recommended to the DEHCR, the grantee(UGLG) must verify that any Project Partner or business benefitting from the project is not suspended or debarred from federal funding. Any contractor or consultants associated with the project, after the signing of the grant agreement, must also be verified as they are selected. UGLG's must also certify that they are not excluded from conducting business with any Federal Agency. An online records search can be conducted at www.sam.gov.

- Grant Agreements: The DEHCR will require **Grant and Loan** Agreements between the UGLG and **Project Partners(ie. Community Development Organizations and businesses/developers)** to be executed in conjunction with the CDBG Grant Agreement. The DEHCR is not a party to the **Grant Agreement**(s) between the UGLG (grantee) and the CDO (the UGLGs grantee) or the CDO and the business or developer. UGLGs must ensure that the project partners as noted above are aware that the **Grant Agreement** obliges **all** parties (UGLG and all **Project Partners**) to the DEHCR Grant Agreement terms and conditions, including but not limited to reporting requirements. At any point in time, if the grantee(s) does not fulfill the responsibilities of the **Grant Agreement**, the DEHCR may intervene and protect its rights and interests. Immediately upon the DEHCR's request, the grantee shall execute and deliver an assignment and any other legal documents that may be required by the DEHCR to facilitate its pursuit or intervention in such negotiations or litigation.

Capacity and Experience

- The organization must have infrastructure necessary to support its financial and business dealings, as evidenced by staff capacity, adequate supervisory staff, a regular place of business, and sufficient office equipment and computer programs to handle the amount of data processing required to carry out your mission.

- The organization must have the following capacity and experience:
  - A Manual(s) containing fiscal and administrative policies and procedures.
  - Must have a mechanism for recording CDBG outcomes and maintaining all required CDBG documentation.
  - Must have staff capacity sufficient to administer a CDBG-READI project or concrete plans to gain staff capacity.
  - Must have two examples of projects with public grant funding or financing which the organization has taken from grant application to completion.
  - Must have experience or history of serving the community with economic development, housing, training, or other types of anti-poverty programs which serve low- to –moderate income individuals.
  - Must have experience with or knowledge of federal revolving loan programs or other types of lending, including underwriting, technical assistance, loan monitoring and workout, and marketing experience.

- The organization must participate in the creation and ongoing collaboration of a board of peer CDOs to share best practices and create procedures to ensure funds are spent to benefit communities.

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DEHCR Review of CDO Certification Application

A CDO Selection Committee will be formed to review CDO applications to ensure that they meet all eligibility criteria included in the application and are well suited to administer a CDBG project. The Committee will be made up of staff from DOA-DEHCR, and may also include members from the following agencies.

- WEDC
- WHEDA
- WEDA
- Towns or Counties Association
- WISCAP

After reviewing each certification application, the CDO Selection Committee will submit their recommendations to the Division Administrator of DEHCR. The Division Administrator will select CDOs based primarily on the recommendations, but also based on the prospective CDOs' past experience with DEHCR CDBG projects and the status of any open CDBG projects.

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Community Development Organization: Application for Certification

1) **General Information**

Nonprofit Name:_____

Address:_____

City: _____ County: _____ State: _____

Zip: _____ Phone: _____ Fax: _____

Contact Person: _____

Title: _____ Email: _____

Data Universal Numbering System (DUNS#)*****: _____

FTI/SSN#: _____ SIC Code: _____

2) **Please provide the names of your board members and certify that elected officials do not, and will not make up over half of your board.**

_____ Elected officials do not, and will not make up over half of the board
(Initial here) of the organization referenced in question 1.

3) **Please describe the infrastructure your organization maintains to support its financial and business dealings, as evidenced by staff capacity, adequate supervisory staff, a regular place of business, and sufficient office equipment and computer programs to handle the amount of data processing required to carry out your mission.**

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4) **Please describe your mechanism for recording CDBG outcomes and maintaining all required CDBG forms.**

5) **Please describe your experience or history of serving the community with economic development, housing, training, or other types of anti-poverty programs which serve low- to –moderate income individuals.**

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6) **Please provide two examples of projects with public grant funding or financing which you have taken from grant application to completion. If you have ever taken a CDBG project from grant application to completion, please include it in your response. If needed, further information regarding the two projects may be included as an attachment.**

7) **Please describe your experience with or knowledge of federal revolving loan programs or other types of lending, including underwriting, technical assistance, loan monitoring and workout, and marketing experience.**

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8) **Please list the names of the individuals on your organization's loan or project review committee and certify that elected officials are not on the committee. Please note the members who are:**

   i. **An accounting professional**
   ii. **A banking representative with demonstrated lending experience**
   iii. **A legal representative**
   iv. **A community member who fits the criteria for low- to moderate-income**

_____ (Initial here) Elected officials do not, and will not have a seat on the loan or project review committee of the organization referenced in question 1.

9) **Required Attachments to the Application for Certification:**
   a. Documentation from the Internal Revenue Service allowing the organization to operate as a non-profit corporation [8 V.S.A. §2201(c)(8)].
   b. Manual(s) containing fiscal and administrative and personnel policies and procedures.
   c. Organizational Chart

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d. Policies required to comply with federal grant programs, including but not limited to: Conflict of Interest, Procurement, Equal Opportunity and Fair Housing, and Drug Free Workplace.

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Letter of Intent

Prospective applicants must submit a Letter of Intent to the Division of Energy, Housing and Community Resources. This Letter will be reviewed by DEHCR staff to ensure that the UGLG and CDO have the capacity and commitment needed to administer a CDBG project. All prospective applicants must participate in a one hour webinar explaining CDBG-READI requirements. The webinar will be held on DATE. The letter of intent is due on DATE the address listed below.

The Letter of Intent should contain the following information:

1. A high level description of the project (for example, how many loans do you expect to make, have you identified any specific partners to work with, what area will you be targeting).
2. A description of the involvement of community officials.
3. The name of the certified Community Development Organization (CDO) and name(s) and contact information of representatives of the CDO who will be working with CDBG-READI.
4. The name of any other identified project partners.
5. The steps taken by all project partners to ensure that all parties are engaged in the project and the process from application preparation to grant approval can operate as smoothly as possible.
6. The signature of the chief elected official of the prospective applicant UGLG.

Following receipt and review of the Letter of Intent, DEHCR will issue an invitation to apply to selected UGLGs that submitted successful Letters of Intent. Therefore, only UGLGs who are seriously interested in participating in a competitive CDBG-READI application process should submit Letters of Intent.

Please submit one original and one electronic copy to:
Wisconsin Department of Administration
Division of Energy, Housing, and Community Resources
Bureau of Community Development
101 E. Wilson St., 6th Floor
Madison, WI 53703
Email: doadohcdbgcd@wi.gov

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Application for CDBG-READI

Wisconsin Department of Administration
Division of Energy, Housing and Community Resources

Economic Development
Workforce Housing
Job Training

Important Information:

- Complete the application in its entirety, including all applicable attachments listed within each section. Applications must be completed by the Unit of General Local Government (UGLG). Incomplete applications will not be processed.
- Copies of attachments and/or additional pages should be clearly labeled with community development organization's name and title of document.

Application Submission:

Applications for the CDBG-READI program are accepted on a competitive basis between DATE and DATE. The application MUST be submitted by the applicant (UGLG). Two original copies and one electronic version of the application and supporting documents must be delivered to the DEHCR.

Please submit two originals and one electronic version to:

Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
101 E. Wilson St., 6th Floor
Madison, WI 53703
Email: doadohcdbgcd@wi.gov

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SECTION I: GENERAL INFORMATION

1. **Legal Applicant (Community/UGLG)**

   Name:_____
   Data Universal Numbering System (DUNS#)*****: _____
   Address:_____
   City: _____ County: _____WI
   Zip: _____ Phone: _____ Fax: _____
   Email: _____
   Chief Elected Official: _____
   Title: _____

   **** A DUNS# must be provided for the legal community applicant and for each business creating and/or retaining jobs. For information on obtaining a DUNS# please contact DEHCR staff.***

2. **Certification by Authorized Official:**

   To the best of my knowledge and belief, data contained in this application are true and correct. The document has been duly authorized to comply with the required assurances, if the assistance is approved, by ordinance or resolution # _____ passed on _____ (date).

   Attach Exhibit 3 – Authorizing resolution or ordinance

   Signature of Chief Elected Official: _____
   Typed Name and Title: _____

3. **DEHCR Certified Community Development Organization**

   Company Name:_____
   Address:_____
   City: _____ County: _____ State: _____
   Zip: _____ Phone: _____ Fax: _____
   Contact Person: _____
   Title: _____ Email: _____
   Data Universal Numbering System (DUNS#)*****: _____
   FTI/SSN#: _____ SIC Code: _____

4. **Contact Information for Other Agency(s) Involved (if applicable)**

   Agency Name:_____
   Role:_____
   Address:_____
   City: _____ County: _____WI
   Zip: _____ Phone: _____ Fax: _____

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Contact Person: _____
Title: _____
Email: _____

5. Environmental Profile

Has the applicant community started the Environmental Review (ER) process for the proposed project? ____ Yes ____ No **(Note: This is a prerequisite for receiving federal funds.)**

Outline the time frame for completing the Environmental Review.

(Attach Exhibit 11 – Environmental Review Record Checklist)

_____
_____
_____
_____
_____

6. Impact Analysis

Provide a detailed explanation of how this project will have a significant and positive impact on the community. (i.e. job creation, skill development, business expansion, increased income)

_____
_____
_____
_____
_____

Is the applicant a previous recipient of CDBG assistance? If yes, outline past awards below. Include in your description the type (grant) and amount of assistance, project activities, and how the project met a HUD national objective:

_____
_____
_____
_____
_____

Was the project(s) successful? Yes_____ No_____

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SECTION II: Project Profiles

Economic Development Project

1. **General Project Information**

Name of Project: _____

Community Development Block Grant Request: $_____

[ ] Administration (request cannot exceed 5% of award): $_____

********** Note Administrative expenses can only be drawn in proportion to the request for reimbursement and can never exceed total grant expenditure********

Project Location: Address: _____

City/Village/Township: _____

County: _____ Zip: _____

Project Start Date:_____ Project End Date: _____

Brief Project Description

2. **Project Needs Statement**

Describe the nature and scope of the critical workforce problem the project will address.

Please include:

- The specific needs of the businesses involved in the project, including data or examples.
- The extent of the problem including if the workforce issue is limited to a single business, affects multiple employers in an industry sector or geographic region, or is common to the state or nation.
- Data, information or examples to support your needs statement.

3. **Business Contact Information**

Name: _____

Address: _____

City: _____ County: _____ WI

Zip: _____ Phone: _____ Fax: _____

Contact Peron: _____

Title: _____

Email: _____

4. **Employment Profile and Job Placement**

A. For each business, list by occupation all permanent jobs to be filled, indicating:
- Expected Recruitment Number
- Occupations
- Expected Placement Number

{Attach Exhibit – Job Placement Table}

At least 51 percent of the training positions/jobs must be held by, or made available to, persons of LMI households.

B. Check each action to be taken by the project partners/business and the grantee to ensure that persons of LMI households receive first consideration for positions or training opportunities claimed to be available to LMI persons.(not limited to one action)

_____ List positions on Job Center of Wisconsin.

_____ List positions with the local Workforce Development Board.

_____ List positions with the local Wisconsin Works (W2) Agency.

_____ List positions with the local Technical College.

_____ List positions with the local Veterans Services office.

_____ List positions with the local Community Action Agency.

_____ Collect household income certification for each job training applicant.

Workforce Housing Project

1. **General Project Information**

Name of Project: _____

Community Development Block Grant Request: $_____

[ ] Administration (request cannot exceed 5% of award): $_____

********** Note Administrative expenses can only be drawn in proportion to the request for reimbursement and can never exceed total grant expenditure********

Project Location: Address: _____

City/Village/Township: _____

County: _____ Zip: _____

Project Start Date:_____ Project End Date: _____

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Brief Project Description

2. Project Needs Statement

Describe the nature and scope of the critical workforce housing problem the project will address. Please include:

- The specific workforce housing needs of the community, including data or examples.
- The extent of the problem including if it is an issue for the entire geographic region or just the municipality.
- Data, information or examples to support your needs statement.

3. Workforce Housing Partner

Name: _____

Address: _____

City: _____ County: _____ WI

Zip: _____ Phone: _____ Fax: _____

Contact Peron: _____

Title: _____

Email: _____

4. Workforce Housing Project Information

Number of Units to be rehabilitated : ____ Total number of total units in building:___

5. Eligibility

Please describe the process of ensuring that units assisted with CDBG are available to and filled by LMI households.

Please include:

- Plan for advertising, recruiting and selecting low/moderate income tenants.
- Process for tracking data.

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Job Training Project

1. **General Project Information**

Name of Project: _____

Community Development Block Grant Request: $_____

[ ] Administration (request cannot exceed 5% of award): $_____

********** Note Administrative expenses can only be drawn in proportion to the request for reimbursement and can never exceed total grant expenditure********

Project Location: Address: _____

City/Village/Township: _____

County: _____ Zip: _____

Project Start Date:_____ Project End Date: _____

Total Number of Trainees: _____ Average Cost per Trainee:_____

Total Number of Low/Moderate Income Trainees: _____

Occupation to be trained: _____

Brief Project Description

Expected Job Placement Number: _____ Expected Post-Training Hourly Wage: _____

2. **Project Needs Statement**

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Describe the nature and scope of the critical workforce problem the project will address.
Please include:

- The specific needs of the businesses involved in the project, including data or examples.
- The extent of the problem including if the workforce issue is limited to a single business, affects multiple employers in an industry sector or geographic region, or is common to the state or nation.
- Data, information or examples to support your needs statement.

3. Training Provider

Name: _____
Address: _____
City: _____ County: _____ WI
Zip: _____ Phone: _____ Fax: _____
Contact Peron: _____
Title: _____
Email: _____

4. Curriculum/Work Statement

Couse Title or Training Topic: _____
Number of Trainees: _____ Total Training Hours: _____
Occupation of Trainees: _____
Curriculum Explanation:
The number of hours per week the trainees will spend in training, the provider of the training and how each component of the training program relates to resolving the critical job training issue.

5. Eligibility

Please describe the process of recruiting and selecting eligible trainees. Please include:

- Any prerequisites for trainees (aptitude, education level, experience, drug test, etc.).
- Plan for advertising, recruiting and selecting low/moderate income participants.
- Collecting and recording LMI data or trainees.

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6. **Job Placement**

For each business, list by occupation all permanent jobs to be filled, indicating:

- Expected Recruitment Number
- Occupations
- Expected Placement Number

{Attach Exhibit – Job Placement Table}

At least 51 percent of the training positions/jobs must be held by, or made available to, persons of LMI households.

Check each action to be taken by the project partners/business and the grantee to ensure that persons of LMI households receive first consideration for positions or training opportunities claimed to be available to LMI persons.(not limited to one action)

_____ List positions on Job Center of Wisconsin.

_____ List positions with the local Workforce Development Board.

_____ List positions with the local Wisconsin Works (W2) Agency.

_____ List positions with the local Technical College.

_____ List positions with the local Veterans Services office.

_____ List positions with the local Community Action Agency.

_____ Collect household income certification for each job training applicant.

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SECTION III: FUNDING

Economic Development Budget Summary

		Total	CDBG Funds*	New Equity	Private Lender	Comm. Contrib.	Other Public	Source of Other Public
Project Fixed Costs	Land Acquisition							
	Building Acquisition							
	New Construction							
	Building Renovation							
	Leasehold Improvements							
	Machinery & Equipment							
	Relocation Costs							
	Site Prep/On-Site Infrastructure							
	Parking							
	Other Off-site (please specify)							
	Off-Site Streets							
	Off-Site Water & Sewer							
	Off-Site Flood & Drainage							
	Off-Site Professional Fees							
	Company Professional Fees							
	Arch. & Eng. Fees							
	Interim Costs/Other							
	Administration							
	Total Fixed Cost (TFC)							

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Non-Fixed Costs	Working Capital							
	Training							
	Non-Capital Equipment							
	Total Non-Fixed (TNF)							
	Total Project Cost =TFC+TNF							

Workforce Housing Budget Summary

		CDBG Funds*	Cash Match	Other Public	Source of Other Public	Comm. Contrib.	Private Funding	Total
Project Costs	Housing Rehabilitation Costs							
	Administration							
	Total							

Job Training Budget Summary

		CDBG Funds*	Cash Match	Other Public	Source of Other Public	Comm. Contrib.	Private Funding	Total
Project Costs	Program/Curriculum Development							
	Instruction							
	Instructional Materials							
	Facility							
	Supplies and Operating Expenses							
	Consultant/ Contractual							
	Administration							
	Total							

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Budget Detail

For each budget line item, provide the justification that describes how the item in that category will be used in the course of the grant project, followed by the details including cost calculations.

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SECTION IV: TAX INFORMATION/FINANCIAL LIABILITY

1. **Business/Project Partner Information**

Full Legal Name and Address	
Names and Addresses of any Affiliates **(If necessary, attach a separate form for each affiliate listing each of the numbers set forth below.)**	
Federal Tax Identification Number	
Wisconsin Tax I.D. Number	

2. **Financial Liabilities**

1. Explain any outstanding financial liabilities the applicant, UGLG or project partners have with state or local governments in Wisconsin. Whether or not the amounts are being contested in a court of law, does the applicant and/or project partner owe:

a. Any delinquent taxes to the state of Wisconsin (the state), a state agency, or a political subdivision of the state?
Yes ❒ No ❒

b. Any monies to the state or a state agency for the administration or enforcement of the environmental laws of the state?
Yes ❒ No ❒

c. Any other monies to the state, a state agency, or a political subdivision of the state that are past due?
Yes ❒ No ❒

d. Is the UGLG or project partner the subject of any existing tax lien?
Yes ❒ No ❒

If yes to any of the above, please provide details of each instance including, but not limited to, the location, amounts and case identification numbers (if applicable).

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CDBG-READI Forms

CDBG-READI forms are divided into four categories, depending on when forms need to be submitted to the DEHCR. In some cases, example forms are provided in the exhibits.

Forms Submitted to DEHCR With Application

- ☐ Citizen Participation Plan (Exhibit 1)
- ☐ Citizen Participation Public Hearing Certification (Exhibit 2)
- ☐ Statement Authorizing Submission of a Community Development Block Grant Submission (Exhibit 3)
- ☐ Lobbying Certification from the Municipality (Exhibit 4)
- ☐ Statement of Assurances (Exhibit 5)
- ☐ Business/Project Commitment Letter(s) from CDO's partners (Exhibit 6)
- ☐ Policy Prohibiting 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 101144
- ☐ Relocation and Anti-Displacement Policy

Forms Submitted to DEHCR Between Award and Fund Disbursement

- ☐ Federal Equal Employment Opportunity (EEO-1) Report (Exhibit 7)
- ☐ Environmental Review Record Checklist (Exhibit 8)
- ☐ Potential Fair Housing Actions (Exhibit 9)

Forms Submitted to DEHCR on a Semi-Annual Basis

- ☐ Project Report for CDBG-READI Economic Development (Exhibit 10)
- ☐ Housing Accomplishments Report (Exhibit 11)
- ☐ MBE/WBE Report (Exhibit 12)
- ☐ Housing Beneficiary/Applicants Report (Exhibit 13)
- ☐ Housing Lead Based Paint Form (Exhibit 14)
- ☐ Section 3 Form (excel document available on DEHCR website)
- ☐ Annual Report on Economic Development (form being developed)

Forms Maintained at UGLG or CDO Level (DEHCR will review during monitoring visits)

- ☐ Job Training Recruitment Form (Exhibit 15)
- ☐ Self Certification Forms (Exhibit 16)
- ☐ W-9 Form (Exhibit 17)
- ☐ Cooperative Agreement(s) with other Units of General Local Government participating in the region (if applicable)
- ☐ Acquisition, Relocation, and Demolition Questionnaire

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- ☐ Evidence of Site Control
- ☐ Historical Financial Statements
- ☐ Interim Financial Statements
- ☐ Projected Financial Statements
- ☐ Project Partner Resumes
- ☐ Working Capital Line of Credit Information (if applicable)
- ☐ Real Estate/Used Equipment Appraisal (if applicable)
- ☐ Site Plan Including Off-site Improvements
- ☐ Cost Estimates
- ☐ Estimated Taxes from the Proposed Project

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Forms Submitted to DEHCR With Application

EXHIBIT 1

PUBLIC PARTICIPATION

Please include a copy of the public hearing notice(s), meeting minutes, and sign-in sheet(s)

Citizen Participation Plan
Community Development Block Grant (CDBG) Program

_____
(Name of UGLG/ Community)

PURPOSE

In order for the CDBG Program to operate effectively, and to address the needs of the citizens of the _____ (county, city, village, town; circle one), the entire population must be kept informed. The decision-making process must be open and consistent with State and Federal regulations. To accomplish this, the following plan will be followed:

PROGRAM OVERSIGHT

1. The _____ (county, city, village, or town; circle one) shall create a Citizen Participation Plan Committee, members of which shall be appointed by the Chief Elected Official and confirmed by the _____ (county, city, village, or town; circle one) Board/Council. This Committee shall be responsible for implementation of the Citizen Participation Plan, as well as offering guidance in preparation of the grant application.

   The _____ (county, city, village, or town; circle one) shall oversee the preparation of the Community Development Block Grant – Rural Economic and Area Development Initiative (CDBG-READI) Program grant application.

2. To insure responsiveness to the needs of its citizens, the _____ (county, city, village, or town; circle one) shall provide for and encourage citizen participation. Particular emphasis shall be given to participation by persons of low- to- moderate income (LMI).

CITIZEN PARTICIPATION

1. The _____ (county, city, village, or town; circle one) shall establish a committee composed of persons representative of the _____ (county, city, village, or town; circle one) demographics. This committee must include at least one LMI person.

   The committee members should also include representatives from the local government, real estate, banking and labor communities whenever possible. This committee shall assume responsibility for coordinating all required elements of the Citizen Participation Plan. All committee members must be residents of the _____ (county, city, village, or town; circle one).

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NOTICE OF HEARINGS

1. Official notice of hearings will be by public notice in the _____ (Name of local newspaper) at least two full weeks prior to the hearing. In addition, the public notice shall be posted at the _____ (county, city, village, or town; circle one) municipal building. These notices will include time, place and date of meetings, as well as a brief agenda.

2. All notifications of meetings and available assistance must be worded in such a way as to encourage LMI participation. In addition, all meeting announcements shall include where, and during what time, information and records relating to the proposed and actual use of funds may be found.

REQUIRED PUBLIC HEARINGS

Public hearings shall be held to obtain citizen views and to enable them to respond to proposals at all stages of the CDBG-READI Program, including the development of needs, the review of proposed activities and the review of program performance. Hearings shall be held after adequate notice, at times and locations convenient to potential or actual beneficiaries and with accommodations for the handicapped, and, if needed, for non-English speaking persons.

1. The first hearing will receive citizens' views and provide an explanation of:

   a. Community development needs, objectives, and strategies.

   b. The CDBG-READI program including goals, objectives, application process, amount of funds available, timetable, eligible activities, etc.

2. The second hearing will receive citizens' views and provide a review of the performance of the funded activities.

3. The first public hearing shall be held during the development of the application for funds. The second public hearing shall be held during the implementation of the program. The _____ (county, city, village, or town; circle one) will attempt to have at least one of the public hearings in the service area (if applicable).

PROGRAM INFORMATION/FILES/ASSISTANCE

1. Technical assistance will be provided to any citizen who requests information about program requirements. Assistance with _____ (type of assistance available) will be provided by _____ (county, city, village, or town; circle one) staff in the Community Development Department. A _____ (county, city, village, or town; circle one) staff member will meet with citizens on request. To request assistance,
   _____
   _____ (procedure used to request assistance).

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2. The _____ (county, city, village, or town; circle one) will maintain, in the _____ (location), a record of all citizen participation efforts including minutes of meetings, newspaper clippings, and copies of notices and brochures.

3. Citizens will be invited to make proposals regarding the application. If suitable proposals are submitted in writing, a written response will be provided within 15 days. Every effort will be made to respond to all proposals prior to the final action on the subject.

4. Citizens may petition or request in writing assistance or changes. The_____ (county, city, village, or town; circle one) staff will respond to all such requests within 15 days after the _____ (county, city, village, or town; circle one) _____ (committee name) has met to discuss the request.

COMPLAINTS

The _____ (county, city, village, or town; circle one) will handle citizen complaints about the program in a timely manner. By federal regulation the _____ (county, city, village, or town; circle one) will respond in writing to all written letters of complaint within 15 days after receipt of the complaint. The nature and disposition of verbal complaints will be reported in a complaint log. The first contact for complaints should be made to the _____.

In addition to the above procedure, any citizen wishing to object may complain directly to the following address:

Director of Bureau of Community Development
DOA Division of Energy, Housing and Community Resources
101 E Wilson Street, 6th Floor
PO Box 7970
Madison, WI 53707-7970

NON-ENGLISH SPEAKING PERSONS

The _____ (county, city, village, or town; circle one) will regularly survey the municipality to identify non-English speaking persons and will make all special efforts to assure them equal opportunity in the citizen's participation process.

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EXHIBIT 2

CITIZEN PARTICIPATION PUBLIC HEARING CERTIFICATION

I, _____, as Clerk for the _____ of _____, hereby certify that the following checked topics were discussed at the Community Development Block Grant (CDBG) Citizen Participation public hearing held at _____ o'clock, on _____.

1._____ Basic overview of the CDBG program.

2. _____ Total CDBG funds (including anticipated revolving loan funds) available for housing, public facilities and economic development.

3. _____ Types of activities eligible using CDBG funds for:

a. _____ Economic Development
b. _____ Public Facilities
c. _____ Housing

4. _____ Housing needs identified by staff/consultant prior to the public hearing.

5._____ Community development (public facilities, economic development) needs identified by staff/consultant prior to the public hearing.

6._____ Housing needs identified by attendees of the public hearing.

7._____ Community development needs identified by attendees of the public hearing.

8._____ Activities proposed for CDBG application.

9._____ Potential for residential displacement as a result of the proposed CDBG activities.

10._____ Public attending the meeting were offered an opportunity to discuss the proposed CDBG application.

Minutes of the above-described meeting are available on request.

_____ _____
Signature of Clerk Date

Typed Name of Clerk: _____

Subscribed and sworn to before me this _____ day of _____, 20___.

_____
Notary Public, _____ County
My Commission expires: _____

DRAFT

EXHIBIT 3

SAMPLE AUTHORIZING SUBMISSION OF A COMMUNITY DEVELOPMENT BLOCK GRANT APPLICATION

Relating to the _____ of _____ participation in the
(County, City, Village, or Town) *(Name)*
Community Development Block Grant program.

WHEREAS, Federal monies are available under the Community Development Block Grant program, administered by the Wisconsin Department of Administration (DOA)- Division of Energy, Housing and Community Resources (DEHCR) for the purpose of the provision or economic development activities; and

WHEREAS, after public meeting and due consideration, the _____
(Name of Appropriate Committee)
has recommended that an application be submitted to DEHCR for the following project(s):
_____and

WHEREAS, it is necessary for the _____to
(County Board, City Council, Village Board, Town Board)
approve the preparation and filing of an application for the _____to receive
funds from this program; and *(County, City, Town, Village)*

WHEREAS, the _____ has reviewed the need
(County Board, City Council, Village Board, Town Board)
for the proposed project(s) and the benefit(s) to be gained there from;

NOW, THEREFORE, BE IT RESOLVED, that the _____
(City Council, County Board, Village Board, Town Board)
does hereby approve and authorize the preparation and filing of an application for the above-named project(s); and that _____is hereby authorized to sign
(Council Pres., Mayor, Board Chair, Village Pres.)
all necessary documents on behalf of the _____; and that authority is hereby
(County, City, Village, Town)
granted to _____ to take the necessary steps to prepare and file the
(Name of Appropriate Committee)
application for funds under this program in accordance with this resolution.

ADOPTED on this ____ day of _____, 20 ____. ATTEST: _____
(Signature of Clerk)

The governing body of _____has authorized the above resolution
(County, City, Village, Town)
by Resolution No. _____, dated _____

_____
(Signature of Chief Elected Official)

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EXHIBIT 4

LOBBYING CERTIFICATION FROM THE MUNICIPALITY

The undersigned certifies, to the best of his/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 an 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 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 subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) 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. Code. 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 Local Government)

_____ _____

(Signature of Chief Elected Official) (Date)

_____ _____

(Signature of Clerk) (Date)

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EXHIBIT 5

STATEMENT OF ASSURANCES

I, _____, _____, of _____
(Name of chief elected official) (Title)
(Community/UGLG Name)

in _____ County certify that the _____
(Community name)

[Initial each item]

1.____ Has authorized its Chief Elected Official or Administrator to submit the application, sign contracts, and conduct other business related to the proposed activity if funded.

2.____ Has identified its housing and community development needs, including those of low- and moderate-income persons and the activities to be undertaken meet such needs.

3.____ Will conduct and administer its program in conformance with the Civil Rights Act of 1964 and the Fair Housing Act, and has adopted a local Fair Housing ordinance.

4.____ Will minimize displacement as a result of activities associated with CDBG funds, and will follow an adopted residential anti-displacement and relocation assistance plan.

5.____ Will not use special assessments or fees to recover the capital costs of CDBG funded public improvements from low- and moderate-income owner occupants.

6.____ Will comply with 24 CFR 570.608 regarding notification, inspection, testing, and abatement procedures concerning lead-based paint.

7.____ Has adopted and will enforce a policy prohibiting 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 101144.

8.____ Has a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of nonviolent and civil rights demonstrations.

9.____ Will not enter into a contract with any entity that is debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation.

10.____ Is currently in compliance with terms and conditions of all past and/or active CDBG awards and/or contracts.

11.____ Will not use CDBG funds to directly assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one labor market area (LMA) to another LMA if the relocation is likely to result in a significant loss of jobs in the LMA from which the relocation occurs, in accordance with 24 CFR 570.210.

12.____ Acknowledges that the project cannot commence prior to the grant award and certain procedures must first be taken, including but not limited to:

Completing the environmental review process;
Requesting federal wage rates if applicable;
Establishing base employment levels for job related projects;
Enter into a development agreement with the participating business; and
Developing a system for tracking job creation for LMI persons if applicable.

13.____Will comply with all the provisions of the Community Development Block Grant Program and will maintain documentation of compliance with the above certifications.

I certify that to the best of my knowledge and belief, the information being submitted to DOA is true and correct.

Signature of Chief Elected Official	Date
Signature of Clerk	Date

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EXHIBIT 6

BUSINESS/PROJECT PARTNER COMMITMENT LETTER (*sample*)

To be completed by partner and CDO

Date: _____

Dear _____(*Chief Elected Official of Applicant Community and CDO representative*):

This letter will confirm (partner name)'s planned participation in and contribution to the (Project Name) program to be operated by (applicant name).

(Include the following when applicable)

1) Plans to hire Low/Moderate income workers. Example: ABC Company agrees to hire 7 newly trained employees at an average wage of $X per hour plus benefits.
2) Plans for training existing workers and/or students: Example: ABC Company agrees to train 13 incumbent workers with an average wage of $X per hour plus benefits. Upon successful completion of the training, these workers will receive wage increases of $x per hour.
3) Plans for rehabilitating housing for the benefit of low/moderate income tenants/residents. Example: ABC Company agrees to rehabilitate 4 housing units and rent 3 to Low/moderate income tenants during the affordability period.
4) Plans for match contributions: Example: ABC Company agrees to provide the following match to the project.
    1. Cash $XXX
    2. Loaned instructor(s) for XX weeks at XX hours per week, the equivalent of : $XXX
    3. Purchase equipment $XXX

This contribution is given to specifically match a Community Development Block Grant (CDBG) from the Department of Administration-Division of Energy, Housing and Community Resources (DEHCR), and is not a general gift or donation that the training institution has or would otherwise receive without the prospect of CDBG funding.

The training project will not result in any dislocation of company employees from their current place of employment. The increased skills training will benefit the trainees involved and is response to a skills shortage experienced by both our firm and the industry.

The company does not anticipate any circumstances, financial or legal, barring the company from meeting its commitments as presented in the project proposal.

Sincerely,

Chief Executive Officer or Authorized Company Representative

_____

_____ Date

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EXHIBIT 7

FEDERAL EQUAL EMPLOYMENT OPPORTUNITY (EEO-1) REPORT

All employers with 15 or more employees are covered by Public Law 88-352 and are required to keep employment records. Certain employers are required by law to file annual EEO-1 (Standard Form 100) reports based on its number of employees and federal contracting activities. Following are the thresholds for filing annual EEO-1 Reports. Please mark the appropriate box that the business falls under:

☐ Private employer with 100 or more employees.
☐ Private employer with fewer than 100 employees but is owned or affiliated with another company so the group legally constitutes a single enterprise and the entire enterprise employs a total of 100 or more employees.
☐ Private employer with 50 or more employees that is a prime contractor or first-tier subcontractor with the federal government and has a contract, subcontract, or purchase order amounting to $50,000 or more (Does not include this CDBG-READI project).
☐ Exempt from filing an EEO-1 Report.

These reports are due no later than September 30. Please submit a copy of the business's most recent EEO-1 Report it has filed with the Federal government, unless it is exempt.

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EXHIBIT 8

ENVIRONMENTAL REVIEW RECORD CHECKLIST

All recipients of CDBG assistance must prepare an Environmental Review Record (ERR), which is a file containing all the environmental information to the project.

I. Please identify who prepared and completed the ERR: _____

II. Check which category the project falls under:

- ☐ Exempt
- ☐ Categorically Excluded Not Subject to 58.5
- ☐ Categorically Excluded Converted to Exempt
- ☐ Categorically Excluded
- ☐ Subject to an Environmental Assessment

III. Provide the date of or expected date of the Certification Letter from the Department:

_____

For additional information on the ERR process, please consult the Implementation Manual or contract Doug Brethauer at (608) 267-2712 or at Doug.Brethauer@wisconsin.gov.

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EXHIBIT 9

POTENTIAL FAIR HOUSING ACTIONS

According to 24 CFR 570.487(b), the Grantee/UGLG must take some action to affirmatively further fair housing during the contract period. ***Circle the number of at least three (3) of the actions below.*** If your project is funded, the action circled will be included in your contract timetable and you will implement it during that period. **Fair housing actions may include, but are not limited to the following:**

1. Enact, strengthen, or advertise a local fair housing law;
2. Make area-wide zoning revisions to facilitate the dispersal of multi-family housing outside of minority-concentrated areas;
3. Initiate or fund any studies examining current housing opportunities for minority persons, handicapped persons, and families with children and have these studies form the basis of an affirmative action program providing greater housing opportunities for minorities, handicapped persons and families with children;
4. Send letters from the chief elected official of the local government to those in the business of selling, renting, or financing housing, encouraging them to adhere fully to the fair housing law;
5. Have the local governing body or chief elected official publicly endorse the principle of fair housing and of adherence to the fair housing law in the form of a proclamation, resolution, or similar publicized statement of importance;
6. Improve community facilities and public services in racially integrated neighborhoods to help preserve their mixed character;
7. Display a fair housing poster or provide fair housing information at an appropriate public place;
8. Initiate a public education program on fair housing, involving, for example, representatives of fair housing groups, human relations' bodies, minority organizations, the real estate industry, and government, through the local media. This could include talks on the community's housing opportunities;
9. Fund a fair housing organization (such as a local housing authority) to conduct studies and/or to aggressively investigate rental and/or realtor practices;
10. Suggest the use of affirmative marketing and advertising practices by private developers as a condition for obtaining local licenses and permits; and
11. Enlist the participation of local associations (realtors, real estate brokers, home builders, and mortgage lenders) in approved voluntary programs to promote affirmative fair housing marketing and to review mortgage credit and underwriting criteria that may have an adverse impact on minorities, women, handicapped persons, and families with children.

Grantee/UGLG Name: _____ Date Action to be completed: _____

Office of Fair Housing and Equal Opportunity: http://www.hud.gov/offices/fheo/

Fair Housing ads and other materials: http://www.fairhousinglaw.org/

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EXHIBIT 10

PROJECT REPORT FOR CDBG-READI ECONOMIC DEVELOPMENT

This report is due according to the Reporting Section of your Agreement with DOA.

*****Please include Self-Certification forms and any other documentation for evidence of jobs created/retained, and that positions were made available to LMI persons*****

PROJECT INFORMATION		
NAME OF PROJECT:	**CONTRACT #:**	**FOR PERIOD ENDED:**
NAME CHANGE? ☐ **Yes (Attach copy of Articles Of Organization)** ☐ **No**	**REP:**	
	BUSINESS DUNS NUMBER:*	
ADDRESS CHANGE? ☐ **Yes (Attach Letterhead Showing Change)** ☐ **No**	**LOAN BALANCE: $** **LOAN REPAYMENTS ARE:** ☐ **In Deferral** ☐ **Current** ☐ **Past Due (Attach Explanation)**	

*DUNS numbers are required by the United States Department of Housing and Urban Development (HUD) as a condition of receiving federal funds. You can determine if an organization has an existing number by calling 866-705-5711 or you may obtain a number by calling Dunn and Bradstreet at 866-705-5711 or applying online at dunandbradstreet.com. There is no charge for obtaining a number.

PROJECT FUNDING INFORMATION		
CDBG-READI Amount Awarded (not including Community's funds for Administration)		
Total Budgeted Project Cost per Agreement (not including Community's funds for Administration)		
Total CDBG-READI Funds Spent to Date (not including Community's Administration funds)		
Total Grantee Match Funds Spent to Date		
Total Project Cost to Date		
Total Private Investment to Date		

PROJECT UPDATE
Please provide a brief update on the project status:

EMPLOYMENT REQUIRMENTS	
First Measurement Date per Agreement:	**Second Measurement Date per Agreement:**
Total Number of Full Time Positions to be Retained per Contract:	
Total Number of the Full Time Positions Retained that are held by low-moderate income persons:	
Total Number of Full Time Positions to be Created per Contract:	
Total Number of Full Time Positions Created made available to low-moderate income persons:	
Total Number of Full Time Positions to be Retained and/or Created per Contract:	

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Total Number of Full Time Positions Retained and/or Created for low-moderate income persons:	

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EMPLOYMENT INFORMATION FOR ANNUAL REPORTING PERIOD ENDED _____

TOTAL CREATED	
TOTAL EXISTING /RETAINED JOBS	
TOTAL WORKFORCE (CREATED + EXISTING)	

Number	RACE OF JOBS CREATED	Number	RACE OF JOBS CREATED
	WHITE		AMERICAN INDIAN/ALASKAN NATIVE & WHITE
	BLACK/AFRICAN AMERICAN		ASIAN & WHITE
	ASIAN		BLACK/AFRICAN AMERICAN & WHITE
	AMERICAN INDIAN/ALASKAN NATIVE		AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN
	NATIVE HAWAIIAN/PACIFIC ISLANDER		HISPANIC
	OTHER		OTHER MULTI-RACIAL

INFORMATION ON POSITIONS CREATED DURING THIS PERIOD		
CLASSIFICATION	*TOTAL CREATED*	*AVG HRLY WAGE*
OFFICIALS AND MANAGERS		
PROFESSIONALS		
TECHNICIANS		
SALES		
OFFICE AND CLERICAL		
CRAFT WORKERS (SKILLED)		
OPERATIVES (SEMI-SKILLED)		
LABORERS (UNSKILLED)		
SERVICE WORKERS		
TOTAL CREATED		

Have new positions been provided employer sponsored health care?	☐ YES ☐ NO
Have position openings have been posted with workforce development or local employment agency per your Agreement with DOA?	☐ YES ☐ NO
Have any new positions been filled by individuals that were previously unemployed? **If yes, please provide the number:**	☐ YES ☐ NO

SIGNATURE:	
I certify the information in this report is correct. _____ **Signature of Authorized Person Completing this form** _____ **Name of Authorized Person Completing this form** _____ **Email Address of Authorized Person Completing this form**	**DOA Review (Initials)**

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EXHIBIT 11

HOUSING ACCOMPLISHMENTS REPORT

GRANTEE: _____ CONTRACT # _____ NUMBER OF UNITS MEETING HQS: _____

REPORTING PERIOD: _____ to _____

MBE/WBE:	Did you contract with any MBE/WBE contractors/subcontractors during this quarter?.	Yes_____ No____	If yes, please attach MBE/WBE reporting form
FAIR HOUSING	Did you undertake any Fair Housing activities during this quarter?	Yes _____ No ____	If yes, please attach Fair Housing reporting form and documentation.
SECTION 3	Did you take any actions to promote employment of low- and moderate-income people?	Yes _____ No ____	If yes, please attach Section 3 report.

(1)	(2)	(3)	(4)
FROM CDBG CONTRACT TIMETABLE FOR THE REPORTING QUARTER	ACTIVITIES COMPLETED DURING REPORTING QUARTER	TOTAL COMPLETED TO DATE	COMMENTS
	Amount committed this quarter: $_____ ____ owner-occupied units ____ renter-occupied units ____ homebuyer units	Amount committed to date: $_____ ____ owner-occupied units ____ renter-occupied units ____ homebuyer units	

I hereby certify that to the best of my knowledge and belief the data in this report are true and correct.

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Signature of Person Preparing Report: _____

DRAFT

EXHIBIT 12

Wisconsin Division of Energy, Housing and Community Development
MBE/WBE REPORT
(Minority Business Enterprise/Women Business Enterprise)

DEHCR Program Name _____

Grantee: _____

Reporting Period: _____ **to** _____

See next page for lists of codes to use for this table.

Grant/Project Number	MBE/WBE Contract Amount	Type of Trade	Contractor/ Subcontractor Business		Woman Owned Business (Yes or No)	Contractor/ Subcontractor (FEIN) Identification Number (FEIN)	Contractor/Subcontractor Name and Address
			Race	Ethnic Code			

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This report is to be completed by grantees, developers, sponsors, builders, agencies, and/or project owners to report minority-and women-owned contract and subcontract activities associated with DEHCR programs. Include only contracts executed during this reporting period.

Grant/Project Number: Use the number received from DEHCR.

MBE/WBE Contract Amount: Put in whole dollar amount of the MBE/WBE contract.

Type of Trade:

1 – New Construction

2 – Substantial Rehab

3 – Repair

4 – Service

5 – Project Management

6 – Professional

7 – Tenant Services

8 – Education/Training

9 – Architectural/Engineering Appraisal

10 – Other

Contractor/Subcontractor Business Racial /Ethnic Code:

RACE		ETHNICITY
A – White	**F** – American Indian/Alaskan Native & White	**K** – Hispanic
B – Black/African American	**G** – Asian & White	**L** – Hasidic Jew
C – Asian	**H** – Black/African American & White	
D – American Indian/Alaskan Native	**I** – American Indian/Alaskan Native & Black/African American	
E – Native Hawaiian/Other Pacific Islander	**J** – Balance/Other	

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Women Owned Business:

Y = Yes

N = No

Contractor Identification Number

Enter the Federal Employer Identification Number (FEIN)

Contractor/Subcontractor Name and Address

Enter the full business name of the contractor/subcontractor; also enter the mailing address, indicating if this is a contractor or subcontractor

C = Contractor

S = Subcontractor

Line 1 = Name

Line 2 = Street or PO Box, City, State, Zip code

Example (for a contractor):

C – ABC Construction

PO Box 1234, Somewhere, WI 54444-1234

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EXHIBIT 13

HOUSING BENEFICIARY / APPLICANTS REPORT

GRANTEE: _____

CONTRACT NUMBER: _____

REPORTING PERIOD: _____ to _____

LEVERAGED FUNDS:: How much money was leveraged during the contract period: public funds leveraged? $_____

private funds leveraged? $_____

HANDICAP ACCESSIBILITY: How many units involved handicap accessibility improvements during the contract period? _____

FAITH-BASED: Number of units that involved a "faith-based" organization (e.g., local church, Habitat). _____

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PROGRAM Beneficiaries

Activity	Total Results	Income Level %CMI 0-30	%CMI 31-50	%CMI 51-80	%CMI 81-100	RACE* A	B	C	D	E	F	G	H	I	J	FHOH	PD	E	H
Rehab - Owner-Occupied (w/lead)																			
Rehab - Owner-Occupied																			
Rehab - Renter-Occupied (w/lead)																			
Rehab - Renter-Occupied																			
Homebuyer (w/lead)																			
Homebuyer																			

*** ALL APPLICANTS**

Activity	Total Results	RACE* A	B	C	D	E	F	G	H	I	J	FHOH	PD	E	H
Rehab - Owner-Occupied															
Rehab - Renter-Occupied															
Homebuyer															

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*R A C E

A – White

B – Black/African American

C – Asian

D – American Indian/Alaskan Native

E – Native Hawaiian/Other Pacific Islander

F – American Indian/Alaskan Native & White

G – Asian & White

H – Black/African American & White

I – American Indian/Alaskan Native & Black/African American

J – Balance/Other

FHOH – Female Head of Household

PD – Households with Persons with Disabilities

E – Elderly (>62)

H – Hispanic

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EXHIBIT 14

Housing Lead-Based Paint Form

GRANTEE: _____ CONTRACT #:_____

REPORTING PERIOD: _____ TO _____

Lead-Based Paint Addendum *(for use beginning with 4/1-6/30/2013 reporting)*

*Applicable Lead Paint Requirement:

Housing constructed before 1978	
Exempt: housing constructed 1978 or later	
Otherwise exempt [1]	
Exempt: Hard costs <= $5,000	
Total[a]	0

[a] *Total should equal total number of rehab projects reported in quarter*

[1]Note: "Otherwise exempt":

1. 0 Bedroom,
2. Elderly/Disabled with no children under 6,
3. Lead-based paint-free and/or,
4. Used no more than 100 days per year.

*Lead Hazard Remediation Actions: (For rehabilitation only)

Lead Safe Work Practices (24 CFR 35.930(b)) (Hard costs <= $5,000)	
Interim Controls or Standard Practices (24 CFR 35.930(c)) (Hard costs $5,000 - $25,000)	
Abatement (24 CFR 35.930(d)) (Hard costs > $25,000)	
Total[b]	0

[b] *Total should equal total number of LBP rehab projects reported in quarter*

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EXHIBIT 15

Job Training Recruitment Form

PLACEMENT
Indicate the business name; expected number of trainees to be recruited for the training; occupations to be trained for; expected number of trainees to be placed.

Business Name	Expected Recruitment Number	Occupations	Expected Placement Number
Note: A indicates commitment letter to arrive; B indicates commitment letter pending			
Total			

LETTERS OF COMMITMENT AND SUPPORT
For every business involved in the collaboration, please attach a letter of commitment which confirms their agreement to employ the trainees, the number of placements at that business, and match contribution to the project. Please attach the letters to this application. Letters of commitment from school districts, educational partners and/or technical colleges should include attestation regarding match resources that are available to contribute to the project. In addition, employers or partners who are not willing to commit to job placement or match funding but support the training model mat submit a letter of support for the project. Please attach the letters to this application.

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EXHIBIT 16

STATE OF WISCONSIN
COMMUNITY DEVELOPMENT BLOCK GRANT
SELF CERTIFICATION *(sample)*

Dear Job Trainee or Employee

(Enter Business or UGLG name) is collecting the following information as a result of participating in the U.S. Housing and Urban Development's (HUD) Community Development Block Grant (CDBG) program. To meet federal regulations, (*Enter Business or UGLG Name)* is required to collect statistical data on your family income, race/ethnicity, and employment status. This information is reported to HUD and eventually used by the U.S. Congress to measure the effectiveness of the CDBG program. Your name and personal information will be kept private, and your income, race and unemployment status information only shared with the federal government anonymously. ***It is only through your cooperation that your community can benefit from this federal program***.

INSTRUCTIONS:

Please answer questions 1, 2, and 3 completely and to the best of your knowledge.

1.) Please indicate your current family income in the following table. "Family" means all related persons in your household.

Please Circle # of Persons in your Family	FAMILY INCOME CATEGORY Please check your family income in the same row as the number of persons in your family.			
1	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
2	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
3	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
4	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
5	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
6	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
7	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $
8 or more	_____ $0 - $	_____ $ - $	_____ $ - $	_____Greater than $

Source: 2013 HUD low-moderate income level limits for *(Enter County that Business is located)*, WI

2.) Please check the box(es) that identify your race.

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Single Race:
☐ White
☐ Black/African American
☐ Asian
☐ American Indian/Alaskan Native
☐ Native Hawaiian/Other Pacific Islander
☐ Other

Multi-Racial Identifiers:
☐ American Indian/Alaskan Native and White
☐ Asian and White
☐ Black/African American and White
☐ American Indian/Alaskan Native and African/American
☐ Other Multi-Racial

3.) Please answer these questions:

Do you consider yourself as being of Hispanic ethnicity?	☐ Yes	☐ No
Are you currently unemployed or were you unemployed prior to employment with this company?	☐ Yes	☐ No
Are you a female head of household?	☐ Yes	☐ No
Do you have a disability that is a substantial handicap?	☐ Yes	☐ No
Are you legally eligible to work in the United States?	☐ Yes	☐ No

I certify that the information provided above is correct to the best of my knowledge

_____ _____
___/___/_____
Printed Name Signature Date

EMPLOYER/LOCAL GOVERNMENT USE ONLY *(ALL SECTIONS ARE MANDATORY)*

Position Details
☐ Full Time ☐ Employer-Sponsored Healthcare Plan Offered

Position Class
☐ Official/Manager ☐ Professional ☐ Office/Clerical
☐ Sales Worker/Skilled ☐ Technician ☐ Craft
☐ Operative/Semiskilled ☐ Laborer/Unskilled ☐ Service Worker

Job Category Definitions

1. **Officials or Managers -** Occupants requiring administrative personnel who set broad policies, exercise overall responsibility of execution of these policies, and individual departments or special phases of a firm's operations. This includes: Officials, Executives, middle management, plant managers and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, and kindred workers.
2. **Professional -** Occupants requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane

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pilots and navigators, architects, artists chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers, and kindred workers.

3. **Technicians -** Occupants requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post-high school education such as is offered in many technical institutions and junior colleges, or through equivalent on the job training. This includes: computer programmers and operators, drafters, engineering aides, junior engineers, mathematic aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science) and kindred workers.

4. **Sales -** Occupants engaging wholly or primarily in direct selling. This includes: advertising agenda and sales workers; insurance agents and brokers; real estate agents and brokers; sales workers; demonstrators and retail sales workers; and sales clerks, grocery clerks and cashiers; and kindred workers.

5. **Office or Clerical -** Includes all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. This includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and receiving clerks, stenographers, typists, and secretaries, telegraph and telephone operators, and kindred workers.

6. **Craft Worker (skilled) -** Manual workers of relatively high level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, compositors and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.

7. **Operatives (semi-skilled) -** Workers who operate machines or other equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. This includes: apprentices (auto mechanics, plumbers, electricians, machinists, mechanics, building trades, metal working trades, printing trades, etc.), operatives, attendants (auto service and parking), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), dryer's furnaces workers, heaters (metal), laundry and dry cleaning, operatives, milliners, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drivers, weavers (textile), welders and flame metals workers, and kindred workers.

8. **Laborers (unskilled) -** Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. This includes: garage laborers; car washers and greasers; gardeners (except farm) and ground keepers; stevedores; wood choppers; laborers performing lifting, digging, mixing loading, and pulling operations; and kindred workers.

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9. **Service Workers -** Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions, professional and personal service, including nurses aides and orderlies), barbers, chairworkers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred workers.

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EXHIBIT 17

W-9 Form

Download and Submit Current W-9 Form at the following link:

http://www.irs.gov/uac/Form-W-9,-Request-for-Taxpayer-Identification-Number-and-Certification

Form **W-9**
(Rev. January 2003)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give form to the requester. Do not send to the IRS.

Print or type
See Specific Instructions on page 2.

Name

Business name, if different from above

Check appropriate box: ☐ Individual/ Sole proprietor ☐ Corporation ☐ Partnership ☐ Other ▶ ☐ Exempt from backup withholding

Address (number, street, and apt. or suite no.) | Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Part I **Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 3.

Social security number
or
Employer identification number

Note: *If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.*

Part II **Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See the instructions on page 4.)

Sign Here Signature of U.S. person ▶ Date ▶

Purpose of Form

A person who is required to file an information return with the IRS, must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

U.S. person. Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee.

Note: *If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.*

Foreign person. If you are a foreign person, use the appropriate Form W-8 (see **Pub. 515,** Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Cat. No. 10231X Form **W-9** (Rev. 1-2003)