

Collier County Community and Human Services
Request for Application for Federal Funds
CDBG, HOME, ESG
Fiscal Year 2015-2016



DEADLINE TO SUBMIT:

WEDNESDAY, February 18, 2015 NO LATER THAN 3:00 P.M.

NO EXCEPTIONS

ANY APPLICATION RECEIVED AFTER 3:00 P.M. WILL BE RETURNED UNOPENED TO THE APPLICANT AND WILL NOT BE CONSIDERED. THE RESPONSIBILITY FOR SUBMITTING APPLICATIONS BEFORE THE STATED TIME AND DATE IS SOLELY THE RESPONSIBILITY OF THE APPLICANT. THE COUNTY WILL NOT BE RESPONSIBLE FOR DELAYS CAUSED BY MAIL, COURIER SERVICE OR ANY OTHER ENTITY OR OCCURRENCE.

Collier County Community and Human Services
Contact: Elly Soto McKuen, Senior Grant and Housing Coordinator
3339 E. Tamiami Trail, Suite 211
Naples, FL 34112
(239) 252-2664
EllyMcKuen@Colliergov.net



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APPLICATION CHECKLIST

Insert Organization's Name and Project Name

INSTRUCTIONS AND APPLICATION CONSIDERATIONS FOR COMPLETING THIS APPLICATION ARE IN THE SEPARATE APPLICATION GUIDE.

COLLIER COUNTY FISCAL YEAR 2015/2016 HHVS GRANT APPLICATION COVER CHECKLIST

Place this checklist on top of the application. Submit the following pages in the order outlined below plus required exhibits and any attachments.

APPLICATION CHECKLIST

- Applicant Information
- Agency Organization Information
- Project Summary Information
- National Objectives
- Indicator Activity Code (HUD Matrix Codes)
- Impact on Collier County's Priority Needs
- Project Description and Goals
- Project Implementation Plan and Readiness to Implement
- Experience and Capacity
- Financial Management and Budget
- Budget Summary and Itemization Sheet-Operating and Services
- Budget Summary and Itemization Sheet-Construction and/or Rehabilitation
- Budget Summary and Itemization Sheet – Land Acquisition and/or Property Management
- Estimated Program Income
- Leveraged or Match Funds
- Environmental Issues
- Exhibits**

BELOW ARE REQUIRED APPLICATION COMPONENTS. COLLIER COUNTY RESERVES THE RIGHT TO REJECT AN APPLICATION THAT IS DEEMED TO HAVE SUBSTANTIALLY FAILED TO SATISFY THESE REQUIREMENTS. LACK OF SUBMISSION OF SEVERAL ELEMENTS WILL RESULT IN APPLICATION REJECTION.

- 501 (c) (3) IRS Tax Exemption Letter
- Articles of Incorporation
- By-Laws
- Organizational Chart
- List of Board of Directors
- Resumes, Pay Scales with Job Descriptions
- State of Florida Certificate of Good Standing
- Board Resolution authorizing submittal of grant application
- Preceding 2-year completed audits including management letter and findings
- Acknowledgement Letter
- Affidavit of Compliance with Federal, State, Local Regulations
- Certification of CDBG/HOME/ESG Funded Construction/Rehabilitation Projects

- Acknowledgement of Religious Organization Requirements (attached)
- Certification Regarding Debarment, Suspension, Ineligibility Voluntary Exclusion
- Procurement Policy
- Match documentation
- Internal Revenue Service Form 990 – First 12 pages of the last 2 years

AS APPLICABLE

- Verification of site plan/plat approval
- Verification of zoning
- Location map/photo of site
- Floor plans
- Relocation plan associated with Uniform Relocation regulations
- Market Study – Required for HOME application
- Project Pro-forma – Required for HOME application

ACKNOWLEDGEMENT LETTER

All applicants shall incorporate this letter in the grant application after the submittal on the organization's letterhead. This will be page 2 of the application packet following the checklist.

Date, 2015

Ms. Kimberley Grant, Director
Collier County Community and Human Services
3339 E. Tamiami Trail, Suite 211
Naples, FL 34112

RE: Request for Funding under the FY2015-2016 CDBG/HOME/ESG Grant Application Cycle

Dear Ms. Grant and members of the RRC:

I have read the Collier County Community and Human Services (CHS) application for FY2015-2016 HUD funding. On behalf of _____ (*Organization's Name*), as the duly authorized signatory for _____ (*Organization's Name*), I agree to and accept the terms, specific limitations, and conditions expressed therein. The information contained in this proposal or any part thereof, including exhibits, schedules and other documents, delivered to the County are true, accurate and complete. This application includes all information necessary to ensure the statements therein do not, in whole or in part, misrepresent or mislead the County as to any material facts.

By signing below, the undersigned acknowledges that he/she has read and understands the Certifications attached hereto and, if awarded CDBG/HOME/ESG funds, as applicable, the Applicant will be able to comply fully with the provisions of those Certifications and will be able to comply with all additional applicable federal, state and local requirements, including procurement and financial management. Applicant also acknowledges that if a funding recommendation is made for less than the full amount applied for, additional documentation including a revised budget, scope of work and proposed accomplishments may be requested prior to final funding determinations. The County reserves the right to verify that the authorized signature above is authorized to bind the Applicant (on behalf of the Organization) and may require the Application to submit documentation verifying such authority.

Sincerely,

Signature of Agency Representative

Name and Title

COLLIER COUNTY COMMUNITY AND HUMAN SERVICES GRANT APPLICATION

NOTE: INSTRUCTIONS FOR COMPLETING THE APPLICATION APPEAR IN THE APPLICATION GUIDE DOCUMENT. SCORING CRITERIA IS ALSO IN THE GUIDE.

Section 1: APPLICANT INFORMATION

Organization Name: _____

Organization Mailing Address: _____

Physical Address if different: _____

Phone: _____

Contact Person/Title: _____

Contact Email Address: _____

Federal Tax ID #: _____

DUNS #: _____

Section 2: PROJECT SUMMARY INFORMATION

Project Funding Request \$ _____

Depending on the number of applications, there may be some instances where CHS decides to award less than the requested amount of the application.

Will the organization accept a lesser amount? Yes No

If so, what would be the amount acceptable? _____

Type Requested: CDBG _____ HOME _____ ESG _____

Total Project Cost: _____

Section 3: AGENCY ORGANIZATION INFORMATION

Is your organization a private non-profit with 501(c) (3) status?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Years in Operation: _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If your organization or agency faith based? If yes, all faith-based organizations must complete and attach Acknowledgement of Religious Organization Requirements Form.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Agency has written personnel, fiscal/procurement & implemented policy? (Community and Human Services will review upon award)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Agency has a written operating procedures manual? (Community and Human Services will review upon award)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
For all ESG applications, Agency MUST participate in the Continuum of Care Homeless Management Information System (HMIS)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is your organization applying as a Community Development Housing Organization (CHDO)? If so, must have certification with application for certification to qualify.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Section 4: NATIONAL OBJECTIVES

(Select One and Provide Justification. See Application Guide for additional information)

Which one of the three National Objectives will this project target?

Benefits low and moderate income persons (24 CFR 570.208(a))

For the National Objective that **principally benefits low and moderate income persons** is selected, describe how the activity will address ONE of the subcategories listed below:

- 1) Area Benefit Activity – Those projects carried out in a neighborhood consisting predominantly of LMI persons and providing services for such persons, yet could be available to other non-income eligible persons in the area. See Appendix 10 map showing LMA areas located within Collier County. This information can be documented by documenting that the area is primarily residential (e.g., zoning map); and that the income characteristics of households in the service area (i.e., Census data)
- 2) Limited Clientele Activity – Those that benefit a specific group of people (rather than all the residents in a particular area) who are, or presumed to be, income eligible. In order to meet the LMI Limited Clientele criteria, the activity must: serve at least 51% LMI, as evidenced by documentation and data concerning beneficiary family size and income;

have income eligibility requirements which limit the service to persons meeting the LMI income requirements, as evidenced by the administering agency's procedures, intake/application forms, income limits and other sources of documentation; serve a specific group presumed by HUD to be income-eligible include: abused children, battered persons, elderly persons, handicapped adults, homeless persons, illiterate persons, migrant farm workers and persons living with AIDS; and be of such a nature and in a location that it may be concluded that the activity's clientele are LMI.

- 3) Income Eligible Housing Activity – These projects add or improve a permanent residential structure wherein, upon completion, income eligible persons will occupy 51% or more of the housing units.
- 4) Job Creation or Retention Activity – A project which creates or retains permanent jobs, of which at least 51% are either taken by or available to income eligible persons.

JUSTIFICATION:

Aids in the prevention or elimination of slums or blight (24 CFR 570.208(b))

For the National Objective that principally **aids in the prevention of elimination of slums or blight** is selected, describe how the activity will address ONE of the subcategories listed below:

- 1) At least 25% of the properties throughout the area exhibit the following:
 - a. Physical deterioration of buildings/improvements;
 - b. Abandonment of properties;
 - c. Chronic high occupancy turnover rates or chronic high vacancy rates in commercial or industrial buildings;
 - d. Significant declines in property values or abnormally low property values relative to other areas in the community; or
 - e. Known or suspected environmental contamination
- 2) Public improvements throughout the area are in a general state of deterioration.

Documentation must be maintained by the grantee on the boundaries of the area and the conditions that qualified the area at the time of its designation. The designation of an area as slum or blighted must be re-determined every 10 years for continued qualifications.

JUSTIFICATION:

Qualifies as a certified urgent need (24 CFR 570.208(c))

For the National Objective that principally **qualifies as a certified urgent need** is selected, describe how the activity will address ONE of the subcategories listed below:

It is possible for public services activities to qualify under this National Objective if the public services are designed to alleviate existing conditions that pose a serious and immediate threat to the health or welfare of the community and following conditions are met:

- 1) The conditions are of recent origin or recently became urgent; and
- 2) The grantee is unable to secure other funds to support the activity.

JUSTIFICATION:

Section 5: INDICATOR ACTIVITY CODE (HUD MATRIX CODES)

Select one of the HUD Activity Codes listed below that best reflects the proposed project:

See Appendix 4 for more complete description of matrix codes. If project reflects more than 1 matrix code, must submit multiple applications.

Code	Activity Description	Code	Activity Description
Acquisition, Disposition, Clearance, Relocation			
01	Acquisition of Real Property	02	Disposition
04	Clearance, Demolition Remediate (570.201(d))	04A	Clean-up of Contaminated Sites
08	Relocation		
Administration and Planning			
20	Planning	21A	General Program Administration
21B	Indirect Costs	21C	Public Information
21D	Fair Housing Activities	21E	Submissions or Applications for Federal Programs
Economic Development			
14E	Rehab: Publicly or Privately Owned Commercial/Industrial	17A	Commercial/Industrial Land Acquisition/Disposition
17B	Commercial/Industrial Infrastructure Development	17C	Commercial/Industrial Building Acquisition-Construction Rehab
17D	Other Commercial/Industrial Improvements	18A	Economic Development-Direct Financial Assistance to for-profit businesses
18B	Economic Development Technical Assistance	18C	MicroEnterprise Assistance
Housing			
12	Construction of Housing	13	Direct Homeownership Assistance
14A	Rehab: Single-Unit Residential	14B	Rehab: Multi-Unit Residential
14C	Public Housing Modernization	14D	Rehab: Other Public-Owned Residential Building
14F	Energy Efficiency Improvement	14G	Acquisition-for Rehabilitation
14H	Rehabilitation Administration	14I	Lead-Based/Lead Hazard Test/Abatement
16A	Residential Historical Preservation	19E	Operation and Repair of Foreclosed property
Public Facilities and Infrastructure Improvements			
03	Public Facilities and Improvements (General)	03A	Senior Centers
03B	Handicapped Centers	03C	Homeless Facilities (not operating costs)
03D	Youth Centers	03E	Neighborhood Facilities
03F	Parks, Recreation Facilities	03G	Parking Facilities
03H	Solid Waste Disposal Improvements	03I	Flood Drain Improvements
03J	Water/Sewer Improvements	03K	Street Improvements

03L	Sidewalks	03M	Child Care Centers
03N	Tree Planting	03O	Fire Stations/Equipment
03P	Health Facilities	03Q	Abused and Neglected Children Facilities
03R	Asbestos Removal	03S	Facilities for AIDS Patients (not operating costs)
03T	Operating costs Homeless – AIDS Patients		
Public Services			
05	Public Services (General)		
05A	Senior Services	05B	Handicapped Services
05C	Legal Services	05D	Youth Services
05E	Transportation Services	05F	Substance Abuse Services
05G	Battered and Abused Spouses	05H	Employment Training
05I	Crime Awareness	05J	Fair Housing Activities
05K	Landlord/Tenant Counseling	05L	Child Care Services
05M	Health Services	05N	Abused and Neglected Children
05O	Mental Health Services	05P	Screening for Lead-Based Paint/Lead Hazard Poisoning
05Q	Subsistence Payments	05S	Rental Housing Subsidies
05R	Homeownership Assistance (not direct)	05T	Security Deposits
05V	Neighborhood Cleanup	05W	Food Banks
Other			
07	Urban Renewal Completion	09	Loss of Rental Income
11	Privately Owned Utilities	15	Code Enforcement
19C	Non-profit organizational capacity building	22	Unprogrammed funds
16B	Non-Residential Historic Preservation	08	Relocation
06	Interim Assistance	21H	CDBG Funding for HOME Administration
21I	CDBG Funding for HOME CHDO Operating Costs		

* Should selected matrix code conflict with Consolidated Plan, those projects will not be funded.

Emergency Solutions Grant Matrix Code

Code	Activity	Activity Description
ESG15	# 1	Street Outreach
ESG15	# 2	Shelter Operations
ESG15	# 3	Homeless Prevention
ESG15	# 4	Rapid Re-Housing
ESG15	# 5	Data Collection (HMIS)

Section 6: PROJECT DESCRIPTION AND GOALS

(Not to exceed two pages)

The narrative should include concise and complete description of the project and its beneficiaries including:

- Data, where appropriate.
- Service location (may be a physical address, census tract and/or geographic area) for the project.
- Rationale for service location and income range.
- Project goals and objectives must respond to an identified problem, need and community demand and shall be achievable, measurable, time-limited and clearly stated.
- Describe how the project goals and objectives support and further the organizations goals and objectives. Be as descriptive as possible including the targeted population.

Section 7: IMPACT ON COLLIER COUNTY'S PRIORITY NEEDS NOTED IN THE APPLICANT GUIDE

(Not to exceed two pages)

In this section, clearly and concisely state how the proposed project will:

- Address one (or more) of the County's priority needs (identified in the Applicant Guide) for benefiting low and moderate income persons, the prevention or elimination of slum or blight or address homelessness.
- Describe the need for the project using local data and information.
- Articulate a rationale for the project related to the project's purpose(s).
- Should explain how the project will address the stated national objectives and determine the demand for the project.
 - a. In some instances justification may be in the form of a market analysis of the target population and/or the community.

- Address whether this project is a duplication of services offered by others in the community. If the project is a duplication, describe how this project will be different from the other programs.

Section 8: EXPERIENCE AND CAPACITY

(Not to exceed two pages)

Explain how the organization’s roles and responsibilities are clearly defined.

- Document the experience in completing the project listed in the application and that each member understands and accepts their role(s),
- How the organization has sufficient capacity to administer the proposed project. Include staffing levels, time commitments, contributions to the process, qualifications of key staff and organizational structure.
- Demonstrate specifics on how the organization has been successful from past performance with grant funding.
- What checks/balances are in place to avoid potential (real or perceived) conflicts of interest?
- Explain in detail the ability of the organization to provide programmatic oversight for this grant funded project to ensure full grant program and fiscal compliance.

List all prior year awards of CDBG/HOME/ESG funding. Start with the most recent funding years.

If none, mark this box:

Fiscal Year	Amount of Award	Clients Served	Project Location
FY	\$		
FY	\$		
FY	\$		
FY	\$		
FY	\$		

Section 9: ADDITIONAL PROJECT SPECIFIC INFORMATION

Note: Answer the questions in one of the following 3 sections, as applicable to your application.

LAND ACQUISITION/PROPERTY MANAGEMENT

- Discuss how the value of the property is less than or equal to the appraised value.
- Indicate whether there will be a mortgage after funding is used to acquire property. If so, provide clear and concise details of the mortgage terms, i.e., timeframes, interest rates, etc.
- Discuss how the participants in the facility will meet one of the national objectives, how the organization will document the participants will meet the objectives.
- Identify if there are any potential conflicts of interest in the land acquisition process.
- Discuss whether there are existing occupants on the site to be acquired.
 - Describe how and when they will be relocated. Note: All land purchases are subject to the Uniform Relocation Act even if there are no occupants on site.
 - Describe the organization's plan to notify tenants and owners of relocation.
- Discuss the zoning on site and if there needs to be a zoning change, outline the steps and timeframes. As applicable provide a timeline and specific steps that will be taken to begin the construction phase of the new facility.
 - Is the project in a County/City right of way? If so, provide a letter giving permission to use the right of way.
- If known, provide postal address of the property. List all addresses for scattered site developments.
- If known, provide the legal description of the property and attach the legal description as an Exhibit
- If known, demonstrate site control through such documents as fee simple, lease, option (include type and period) and any other type of site control documentation.
- If funding will demolish existing housing units and be replaced with new construction, explain how the new units will be made available to low/moderate income individuals/families. Project must ensure a replacement unit is constructed for each unit demolished. This could include but not limited to, a marketing plan, advertisements, etc.

CONSTRUCTION/REHABILITATION

- Provide an overview of new construction and/or building rehabilitation.
- Include documentation as to why new construction/building rehabilitation is necessary.
- Provide any data to support the decision to make improvements.
- The timeline below will be incorporated into the contract agreement should the project be selected for funding.

For HOME projects only, applicant must provide the following:

- Project Pro Forma – Underwriting Guidelines are attached as Appendix 6)
- Market Study (provides the basis to determine the need for the project). The market study should follow the Collier County’s Market Study Guidelines, attached as Appendix 9)

NOTE; if pre-development process has not been completed or in place, the County may consider awarding only design/permitting funds, but not construction in the current year. If other federal/state/local funding is involved, identify timeframes, restrictions, or anything that will affect the completion of the project.

OPERATING AND SERVICES

- Identify if the request is for the same program as previously awarded from Collier County or another federal funding source.
- If the project is an existing project, explain in detail how this is an expansion. HUD funding will not be provided to an on-going existing service unless there is expansion.
- If the project is using a unit rate, CHS must approve the unit rate prior to submission of the application.
- Identify if the project has an existing agreement with another party to provide services under the prospective subrecipient agreement in place prior to the application. If so, provide details on how the contract was procured and what services are provided.

- Provide documentation that the organization has site control of the location if providing staff assistance, overhead expenses, etc. A copy of an executed lease for space would be an indication of site control.

Section 10: ENVIRONMENTAL ISSUES

Environmental Reviews (ERR) are required for each project. Be sure to include time and cost of the ERR in the budget and project timeline. If completed within the last three years for the project, attach it with the application. Note: If any of the below items is marked yes, provide an explanation of how the proposed project and surrounding environment are affected.

EXPLANATION:

Check the appropriate item to the best of your knowledge as it pertains to the proposed activity.

- a. Project/property is located on a historical or archeological site. Yes No
- b. Project/property is in the 100-year flood plain. Yes No
- c. Project/property is in a wetlands area. Yes No
- d. Project/property is in a coastal barrier area. Yes No
- e. Project/property is within a half-mile of an airfield. Yes No
- f. Project/property is near storage or manufacturing facility of industrial products. Yes No
- g. Project/property is on or near soil contaminated by diesel/fuel or gasoline. Yes No
- h. Is the proposed activity expected to impact the environment in any negative manner or pose a hazard or nuisance? Yes No
- i. Are any endangered or threatened or listed species located on the proposed project site? Yes No
- j. Are there any environmental concerns or impediments associated with the proposed activity? If yes, please provide detail. Yes No
- k. Is the proposed activity expected to adversely affect the environment? Yes No
- l. Project/property is on a properly zoned site. If not properly zoned, please explain. Yes No
- m. Project/property is on or near soil contaminated by diesel/fuel or gasoline. Yes No

Section 11: PROJECT IMPLEMENTATION PLAN AND READINESS TO IMPLEMENT

(Not to exceed three pages)

- Explain how/when/where the project will commence and the funds expended.
- List the tasks in a logical order that demonstrates a feasible work plan, has identified staff, board members, partners that will be responsible for implementation.
- Show the available resources needed to implement the proposed project and demonstrate the ability to complete projects or tasks in a timely manner.
- Demonstrate an understanding of the obstacles that may be encountered in developing and implementing the project and describes, in detail, the approaches that will be employed to overcome such obstacles.

Sample Project Timeline (Include all tasks that are applicable)

NOTE: The timeline must demonstrate significant consideration of all tasks required; the duration, responsible party and the necessary sequence of events.

Tasks	Number of Days to Complete	Date Completed/Anticipated Date* (Month and Year)	Responsible Party
Environmental review			
Acquisition			
Loan application			
Enforceable commitment			
Closing/Disbursement			
Other Grants/Sources: Type and Source: Application Closing & Award			
Design/Conceptual Drawings			
Architectural Plans			
Zoning approvals (PUD, rezoning, conditional use, variance, site development plans, etc)			
Construction plans			

Permits			
Anticipated start date for construction			
Construction milestones			
Construction complete			
Certificate of Occupancy			
Equipment purchases for operating facility			
Facility opening			

Section 12: FINANCIAL MANAGEMENT

(Not to exceed one page plus complete the below chart)

- Demonstrate the financial management and programmatic expertise to successfully develop, design, implement and monitor the proposed activities. Expertise is demonstrated through previous experience in successfully developing projects similar to the one proposed, either by partners or key staff within the business or organization.
- Outline a realistic plan for sustainability after government support ends while documenting the organization's ability to secure other sources of funding and why this grant is the last resort.
- If salary(ies) reimbursements are requested, explain how the position will be retained, funded post award and identify the life cycle of the position.
- Describe the organization's established accounting system and financial ability to fund the project until reimbursement.
- Describe how the organization has attempted to locate other funds prior to applying for federal funding.
- Provide an outline for a realistic plan for sustainability after government support ends.
- Provide the completed spreadsheet below. This form must be completed for ALL applications.

FY2015-2016 Grant Application - Financial Review Spreadsheet			
		Fiscal Year	Fiscal Year
		Ended in 2014	Ended in 2013
1	Unrestricted liquid asset (cash and cash investments)		
2	Operating Expenses, excluding depreciation		
3	Monthly Operating Expenses, excluding depreciation (line 2/12)	-	-
4	Months of liquid cash available for operations (line 1/3)	#DIV/0!	#DIV/0!
5	Notes and Mortgages Payable, including lines of credit		
6	Temporarily Restricted Assets		
7	Endowment Assets		
		Fiscal Year	Fiscal Year
		Ended in 2014	Ended in 2013
			Budget Year
			Ending 2015
8	Revenue: up to three primary sources*		
	a.		
	b.		
	c.		
	d. all others		
	Total	-	-
9	Expenses		
	a. Program		
	b. Fundraising		
	c. Administrative		
	Total	-	-
10	Full-Time Equivalent employees - FTE's		
11	Compensation Expense (Salaries and Wages)		
12	Benefits Expenses (Payroll taxes, health, dental, etc.)		
13	Compensation and Benefits as % of Expenses (line11+12/line9)	#DIV/0!	#DIV/0!
14	Compensation/FTE (line11/line10)	#DIV/0!	#DIV/0!
15	Compensation and Benefits/FTE (line 11+12/line10)	#DIV/0!	#DIV/0!
16	Purchases of Property Plant & Equipment		

Financing Commitments for Construction Projects Only: All applicants must provide evidence of commitments from all other funding sources for the project. See below for specific requirements and attach commitment letters as **Exhibit 1** and separate each by lettered tabs.

Applicants must provide documentation of all financing proposals from both the construction and permanent lenders, equity proposals from the syndicator and other sources of funding. Financing proposals must indicate if they are for construction or permanent financing or both. For a proposal to meet threshold, all exhibits referenced in the proposals must be included.

For purposes of this application, neither net operating income nor capital contributions will be considered as a source of financing.

All funding commitments, regardless of whether the documentation is in the form of a firm commitment, proposal, term sheet, or letter of intent, must meet the following criteria.

Each financing proposal must contain:

- The amount of the construction loan, if applicable;
- Amount of the permanent loan, if applicable;
- Specific reference to the Applicant as the borrower or direct recipient;
- Signature of all parties, including acceptance by the applicant;
- A statement that includes the commitment, proposal or letter of intent does not expire before a date that is twelve (12) months after the Application Deadline for the Application deadline, with the exception of tax-exempt multifamily bonds issued by an entity other than the-Florida Housing Finance Agency; and
- Terms including proposed interest rate.

FINANCIAL MANAGEMENT

Agency maintains the following records:

Cash Receipts Journal	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Cash Disbursements Journal	Yes <input type="checkbox"/>	No <input type="checkbox"/>
General Ledger	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Charts of Accounts	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Payroll Journal and Individual Payroll Records	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Individual Personnel Files	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Written Procurement Procedures	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Capital Inventory	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Written Travel Policy	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Property Control Policy and Records	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Agrees to submit complete audits every year during contract.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Agrees to retaining all project records for the applicable time period as outlined in applicable regulations	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Section 13: OUTCOMES AND PERFORMANCE MEASURES

Objectives	Outcome 1: Availability/ Accessibility	Outcome 2: Affordability	Outcome 3: Sustainability
#1 Suitable Living Environments	Accessibility for the purpose of creating suitable living environments	Affordability for the purpose of creating suitable living environments	Sustainability for the purpose of creating suitable living environments
#2 Decent Housing	Accessibility for the purpose of providing decent housing	Affordability for the purpose of providing decent housing	Sustainability for the purpose of providing decent housing
#3 Economic Opportunity	Accessibility for the purpose of creating economic opportunities	Affordability for purchase of creating economic opportunities	Sustainability for the purpose of creating economic opportunities

- Identify a clear evaluation plan with performance measures based on the table above
- Demonstrate how the organization will sustain long term support for the project
- Demonstrate how outcome measures will meet national or program objectives
- Provide a list of program/project outcomes
- Explain how the program/project demonstrates “value-added” or “community value” to Collier County

Section 14: **BUDGET**

INSTRUCTIONS FOR BUDGET PAGES

The budget contains three components:

- Budget Summary/ Itemization Sheet/Budget Narrative (Identifying the line item totals, expenses for the proposed project and justify the expenses incurred in fulfilling the proposed project)
- Estimated Program Income (Delineating any revenue collected during the proposed project)
- Leveraged or Match Funds (Identifying additional resources used to fulfill the proposed project)

BUDGET SUMMARY SHEET

For Project Name, list the project's title and include the organization's name.

Each line item category along the left of the form, list the funding totals for:

- Requested CDBG/HOME/ESG funds
- Funds provided by other sources and identify sources
- Ensure the accuracy of mathematical entries and totals by columns and rows

The following pages provide instructions and samples descriptions on how to complete the applicable budget summary and itemization sheets for the various projects eligible for funding.

Ensure that all mathematical projections are accurate, all totals add correctly.

INSTRUCTIONS

BUDGET SUMMARY AND ITEMIZATION SHEET

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

Project Components - Detail/Itemization by Line Item	CDBG/HOME/E SG Funding	Other Funds	Leverage /Match	Total	Budget Narrative	Deliverable
<p>Itemize each expense within each category. For example, if hiring a worker whose position will be devoted to the project 50% of the time and its funding source is split with other revenue sources, list them under the category of 'Personnel' (see below) and list the position and allocated time toward the projects.</p> <p>Ensure this is a realistic budget that can be implemented correctly. This budget, all descriptions and any CURE items will be included in the contract agreement should the project be chosen for funding and the organization will be held responsible to adhere to the information provided.</p>	<p>Request amount of HUD fund that will be required to complete the project, Funds must not be used to supplant, but to complement.</p>	<p>Other sources of funds other than federal HUD funds</p>	<p>Funds that would qualify as match or leverage funds. See leverage/match sheet (page 30)</p>	<p>Total amount of funding from previous 3 columns</p>	<p>Provide a brief and concise description of each grant requested budget category indicated and the justification for each expense. Expenses should be specific to the grant request. In addition, provide detail description regarding match and/or leveraged funds, i.e., funding source, when available, any restrictions on how funds are to be used, etc.</p>	<p>Describe the outcome of this line item. Examples would be hours worked, buildings built, computers purchased, etc.</p>
<p>Ensure there is an indication that only those expenses directly tied to the project and that all mathematical</p>						

projections are accurate.						
Grant funds will not reimburse for benefits. Those costs will be the responsibility of the organizations.						

The following pages are three (3) **sample** budgets for:

Operating and Services

Construction and/or Rehabilitation

Land Acquisition and/or Property Management

SAMPLE - Do not include samples in grant application

BUDGET SUMMARY AND ITEMIZATION SHEET – OPERATING AND SERVICES

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

Project Components - Detail/Itemization by Line Item	CDBG/HOME/ESG Funding	Other Funds	Leverage/Match	Total	Budget Narrative	Deliverable
Personnel: Indicate position x annual salary x FTE% (level of effort) for each						
Ex. Project Manager x \$45,000 x .5 (FTE)	\$ 2,250				The Project Manager will oversee They will spend __% of their time on this project. The balance of their time will be spent on ...	
Example: Office space @\$1500/mo x .60	\$900				In order to implement this project, the (position title) performs their duties at a desk and utilizes a portion of utilities, etc	Copy of lease with square footage, etc.
Example: 1 laptop computer @\$500 x .60	\$300	\$200		\$500	The computer will be used to	Quarterly reports, tracking participants, etc
Example: Travel @\$.55/mile x 2,000 miles x .60	\$660	\$300	\$140		Counselor performs home visits, travels to meal sites, etc. Leveraged funds are from a general support grant from a local family foundation to be used to support our day-to-day operation.	Travel logs with starting and completion mileage, monthly
Totals						
Identify percentage of administrative costs (divide operating costs by salaries/benefits)	_____%	_____%	_____%	_____%		

SAMPLE - Do not include samples in grant application

BUDGET SUMMARY AND ITEMIZATION SHEET – CONSTRUCTION AND/OR REHABILITATION

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

_Project Components - Detail/Itemization by Line Item*	CDBG/ HOME/ESG Funding	Other Funds	Leveraged/ Match	Total	Budget Narrative	Deliverables
Rehabilitation of existing organization's facility. New roof, replace electrical system, replacement of security fencing and new lighting	\$25,000	\$50,000	\$80,000	\$155,000	Our facility is more than 25 years old and the existing roof shows 14 leaks. Our clientele needs to be relocated to different offices when it rains. Because of the leaky roof, our electrical wiring needs to be replaced, etc.	
Construction Total						

*** Provide detail on how the funding request was determined. If architect/engineers/contractors estimates were used, attach their estimates to the budget as a separate document. CHS reserves the right to verify the construction estimates in-house or through an independent consultant.**

SAMPLE - Do not include samples in grant application

BUDGET SUMMARY AND ITEMIZATION SHEET – LAND ACQUISITION AND/OR PROPERTY MANAGEMENT

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

Project Components - Detail/Itemization by Line Item	CDBG/HOME/ES G Funding	Other Funds	Leverage/ Match	Total	Budget Narrative	Deliverables
Property located at 124 San Juan Avenue, Parcel ID #, etc. Sales price has been negotiated to \$500,000	\$200,000				This property is located....why the site was selected for purchase	Copy of sales contract
Appraisal	\$700					
Survey	\$1,000					
Environmental Review	\$3,000					
Match funds from ABC Foundation		\$200,000			Organization secured a matching grant from ABC Foundation	Copy of grant agreement
Fundraising Efforts			\$100,000		Organization has sponsored a capital campaign to raise funds to acquire land/building/etc. In addition, the organization has reached out to private donors to acquire donations	Documentation validating funds available
Other: Specify: Indicate expense						
Totals						
Identify percentage of funds requested vs. from other funds vs. any leverage and/or match	_____ %	_____ %	_____ %			

Section 15: ESTIMATED PROGRAM INCOME

Complete and submit only if applicable.

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

Instructions: Complete this form **ONLY** if program income will be generated as a result of the service or product provided. Denote the projected income amount to be collected.

Source of Income Generated	Income Amount
Indicate the type of revenue collected	Indicate a dollar (\$) amount
Examples may be rent, proceeds, revenue, fees associated with program	
Total	

Note: If not applicable, write N/A in the body of the form.

DO NOT EXCEED ONE PAGE: This section should be as detailed as possible in documenting these procedure(s) and internal processes. Some examples of program income are fees collected associated with program, rent, re-sales, etc. Address the following questions:

- Explain the procedure(s) that will be employed to collect the identified revenue(s);
- Identify the methodology used to track program income;
- Identify the reporting procedure(s) that will be used to properly document the revenue collected;
- Identify staff responsible for each aspect of revenue collected and reported; and
- Describe why the project collects fees associated with the activity.

For specific questions and/or guidance, refer to the following regulations for CDBG – 24 CFR 570.504, HOME – 24 CFR 92.503, ESG – 24 CFR 85.25

If program income is anticipated, indicate below how the funds will be utilized:

Organization will track, re-use within the program and report to CHS on a monthly basis

Organization will submit program income to CHS on a monthly (or at least yearly basis)

Section 16: LEVERAGED OR MATCH FUNDS

Project Name: _____

Agency Name: _____

Funding Year: FY2015-2016

Instructions: Outlined below are the match requirements for the federal funds to be requested:

- CDBG – No match required. However, application may be scored higher if leverage/match is identified in order to extend the effectiveness of CDBG dollars.
- HOME – Requires a 25% match (24 CFR 92.208)
- ESG – Requires a dollar-to-dollar match (24 CFR 576.201)

The difference between match and leveraged funds are as follows:

Match – Must be applied specifically for the proposed project. They can be in the form of cash, state/local grants, fundraising, private loans, value of land or real property, in-kind, donated time, goods, services, etc and will be verified by CHS staff during the contract period.

Leveraged Funds – The use of credit or awarded funds to improve an organization’s budget capacity. They are considered a supplement to the project budget and are in addition to requested funds and matching fund amounts.

Source of Leverage/Match Funds	Conditions/Limitations of Match/Leverage Funds	Amount
Description: Indicate each source of funds that will be used as leverage in the proposed project	Description: Indicate if there are conditions to use the leveraged funds, i.e., must serve a specific purpose, specific time period, etc.	Example: Take the amount of grant funds requested and divide by the amount of other funds contributed toward the proposed project. If requesting \$10,000 in CDBG funds and have \$5,000 in other sources, the ratio is 2:1, requesting \$2 for every \$1 of leverage; if requested \$10,000 in HOME funds must have \$2,500 in other sources.
List each source of leverage or match funds. Indicate any limitations or expenditure constraints for each source.		

Note: If not applicable, write N/A in the body of the form.

Section 17: ATTESTATIONS AND CERTIFICATIONS FOR ALL APPLICATIONS

AFFIDAVIT OF COMPLIANCE WITH FEDERAL, STATE, LOCAL REGULATIONS

The undersigned certifies that the information in this application is true and correct. The undersigned further certifies that they are aware that if Collier County CHS finds that the applicant or undersigned has engaged in fraudulent actions or intentionally misrepresented facts on this application, this application will be rejected and the applicant may be unable to participate in any program for three (3) fiscal years.

In applying for CDBG/HOME/ESG funds, the applicant has read, understands and agrees to comply with all the provisions of all federal regulations issued thereto by the U.S. Department of Housing and Urban Development, state and local regulations and laws.

1. 24 CFR 570, as amended - The regulations governing the expenditure of Community Development Block Grant (CDBG) funds.
2. 24 CFR 58 - The regulations prescribing the Environmental Review procedure.
3. Section 104(b) and Section 109 of Title I of the Housing and Community Development Act of 1974 as amended
4. Title VI of the Civil Rights Act of 1964 as amended, Title VIII of the Civil Rights Act of 1968 as amended
5. 24 CFR 570.601 Subpart K - The regulations issued pursuant to Executive Order 11063 which prohibits discrimination and promotes equal opportunity in housing.
6. Executive Order 11246 ("Equal Employment Opportunity"), as amended by Executive Orders 11375 and 12086 - which establishes hiring goals for minorities and women on projects assisted with federal funds and as supplemented in Department of Labor regulations.
7. Title VII of the 1968 Civil Rights Act as amended by the Equal Employment Opportunity Act of 1972, 42 USC § 2000e, *et. seq.* The SUBRECIPIENT will, in all solicitations or advertisements for employees placed by or on behalf of the SUBRECIPIENT, state that it is an Equal Opportunity or Affirmative Action employer.
8. 24 CFR 135 – Regulations outlining requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended. Compliance with the provisions of Section 3 of the HUD Act of 1968, as amended, and as implemented by the regulations set forth in 24 CFR 135, and all applicable rules and orders issued hereunder prior to the execution of this contract, shall be a condition of the Federal financial assistance provided under this

contract and binding upon the COUNTY, the SUBRECIPIENT and any of the SUBRECIPIENT's Sub-recipients and subcontractors. Failure to fulfill these requirements shall subject the COUNTY, the SUBRECIPIENT and any of the SUBRECIPIENT's Sub-recipients and subcontractors, their successors and assigns, to those sanctions specified by the Agreement through which Federal assistance is provided. The SUBRECIPIENT certifies and agrees that no contractual or other disability exists that would prevent compliance with these requirements.

The SUBRECIPIENT further agrees to comply with these "Section 3" requirements and to include the following language in all subcontracts executed under this Agreement:

"The work to be performed under this Agreement is a project assisted under a program providing direct Federal financial assistance from HUD and is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701). Section 3 requires that to the greatest extent feasible opportunities for training and employment be given to low- and very low-income residents of the project area, and that contracts for work in connection with the project be awarded to business concerns that provide economic opportunities for low- and very low-income persons residing in the metropolitan area in which the project is located."

The SUBRECIPIENT further agrees to ensure that opportunities for training and employment arising in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project are given to low- and very low-income persons residing within the metropolitan area in which the CDBG-funded project is located; where feasible, priority should be given to low- and very low-income persons within the service area of the project or the neighborhood in which the project is located, and to low- and very low-income participants in other HUD programs; and award contracts for work undertaken in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project to business concerns that provide economic opportunities for low- and very low-income persons residing within the metropolitan area in which the CDBG-funded project is located; where feasible, priority should be given to business concerns that provide economic opportunities to low- and very low-income residents within the service area or the neighborhood in which the project is located, and to low- and very low-income participants in other HUD programs.

The SUBRECIPIENT certifies and agrees that no contractual or other legal incapacity exists that would prevent compliance with these requirements.

9. Age Discrimination Act of 1975, Executive Order 11063, and Executive Order 11246 as amended by Executive Orders 11375, 11478, 12107 and 12086.
10. Contract Work Hours and Safety Standards Act, 40 USC 327-332.
11. Section 504 of the Rehabilitation Act of 1973, 29 USC 776(b) (5), 24 CFR 570.614 Subpart K.
12. The Americans with Disabilities Act of 1990
13. Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended.
14. 29 CFR Parts 3 and 5 - Regulations which prescribe the payment of prevailing wages and the use of apprentices and trainees on federally assisted projects as mandated by the Davis-Bacon Act. HUD Form 4010 must be included in all construction contracts funded by CDBG. (See 42 USC 276a and 24 CFR 135.11(c)).
15. Executive Order 11914 - Prohibits discrimination with respect to the handicapped in federally assisted projects.
16. Executive Order 11625 and U.S. Department of Housing and Urban Development Circular Letter 79-45 - which prescribes goal percentages for participation of minority businesses in Community Development Block Grant Contracts.
17. The SUBRECIPIENT agrees to comply with the non-discrimination in employment and contracting opportunities laws, regulations, and executive orders referenced in 24 CFR 570.607, as revised by Executive Order 13279. The applicable non-discrimination provisions in Section 109 of the HCDA are still applicable.
18. Public Law 100-430 - the Fair Housing Amendments Act of 1988.
19. 24 CFR 84 - Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and specified by the following subsections:
 - Subpart A – General;
 - Subpart B – Pre-Award Requirements, except for 84.12, Forms for Applying for Federal Assistance;
 - Subpart C – Post-Award Requirements, except for:
 - Section 84.22, Payment Requirements- Grantees shall follow the standards of 85.20(b)(7) and 85.21 in making payments to SUBRECIPIENTS;
 - Section 84.23, Cost Sharing and Matching;
 - Section 84.24, Program Income – in lieu of 84.24 CDBG SUBRECIPIENTS shall follow 570.504;

- Section 84.25, Revision of Budget and Program Plans;
- Section 84.32, Real Property – In lieu of 84.32, CDBG SUBRECIPIENTS shall follow 570.505;
- Section 84.34(g), Equipment – In lieu of the disposition provisions of 84.34(g) the following applies:
 - In all cases in which equipment is sold, the proceeds shall be program income (pro-rated to reflect the extent to which CDBG funds were used to acquire the equipment); and
 - Equipment not needed by the SUBRECIPIENT for CDBG activities shall be transferred to the recipient for the CDBG program or shall be retained after compensating the recipient;
- Section 84.51(b), (c), (d), (e), (f) and (h), Monitoring and Reporting Program Performance;
- Section 84.52, Financial Reporting;
- Section 84.53(b), Retention and Access Requirements for Records. Section 84.53(b) applies with the following exceptions:
 - The retention period referenced in 84.53(b) pertaining to individual CDBG activities shall be four years; and
 - The retention period starts from the date of submission of the annual performance and evaluation report, as prescribed in 24 CFR 91.520, in which the specific activity is reported on for the final time rather than from the date of submission of the final expenditure report for the award;
- Section 84.61, Termination - In lieu of the provisions of 84.61, CDBG SUBRECIPIENTS shall comply with 570.503(b)(7); and
- Subpart D – After-the-Award Requirements – except for 84.71, Closeout Procedures

20. 24 CFR 85 - Administrative Requirements for Grants and Agreements to State and Local Governments shall be followed for sub recipients that are governmental entities.

21. Immigration Reform and Control Act of 1986 as located at 8 USC 1324, et seq. and regulations relating thereto. Failure by the SUBRECIPIENT to comply with the laws referenced herein shall constitute a breach of this agreement, and the County shall have the discretion to unilaterally terminate this agreement immediately.

22. Prohibition Of Gifts To County Employees - No organization or individual shall offer or give, either directly or indirectly, any favor, gift, loan, fee, service or other item of value to any County employee, as set forth in Chapter 112, Part III, Florida Statutes, Collier County Ethics Ordinance No. 2004-05, as amended, and County Administrative Procedure 5311.

23. Order of Precedence - In the event of any conflict between or among the terms of any of the Contract Documents, the terms of the Agreement shall take precedence over the terms of all other Contract Documents, except the terms of any Supplemental Conditions shall

take precedence over the Agreement. To the extent any conflict in the terms of the Contract Documents cannot be resolved by application of the Supplemental Conditions, if any, or the Agreement, the conflict shall be resolved by imposing the more strict or costly obligation under the Contract Documents upon the Contractor at Owner's discretion.

24. Dispute Resolution - Prior to the initiation of any action or proceeding permitted by this Agreement to resolve disputes between the parties, the parties shall make a good faith effort to resolve any such disputes by negotiation. Any situations when negotiations, litigation and/or mediation shall be attended by representatives of SUBRECIPIENT with full decision-making authority and by COUNTY'S staff person who would make the presentation of any settlement reached during negotiations to COUNTY for approval. Failing resolution, and prior to the commencement of depositions in any litigation between the parties arising out of this Agreement, the parties shall attempt to resolve the dispute through Mediation before an agreed-upon Circuit Court Mediator certified by the State of Florida. Should either party fail to submit to mediation as required hereunder, the other party may obtain a court order requiring mediation under § 44.102, *Florida Statutes*. The litigation arising out of this Agreement shall be Collier County, Florida, if in state court and the US District Court, 20th Judicial Court of Florida, if in federal court. BY ENTERING INTO THIS AGREEMENT, COLLIER COUNTY AND THE SUBRECIPIENT EXPRESSLY WAIVE ANY RIGHTS EITHER PARTY MAY HAVE TO A TRIAL BY JURY OF ANY CIVIL LITIGATION RELATED TO, OR ARISING OUT OF, THIS AGREEMENT.
25. The SUBRECIPIENT agrees to comply with the following requirements:
 - a. Clean Air Act, 41 USC 7401, *et seq.*
 - b. Federal Water Pollution Control Act, 33 USC 1251, *et seq.*, as amended.
26. In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 USC 4002 and 24 CFR 570.605 Subpart K), the SUBRECIPIENT shall assure that for activities located in an area identified by FEMA as having special flood hazards, flood insurance under the National Flood Insurance Program is obtained and maintained. If appropriate, a letter of map amendment (LOMA) may be obtained from FEMA, which would satisfy this requirement and/or reduce the cost of said flood insurance.
27. The SUBRECIPIENT agrees that any construction or rehabilitation of residential structures with assistance provided under this contract shall be subject to HUD Lead-Based Paint Poisoning Prevention Act found at 24 CFR 570.608, Subpart K.
28. The SUBRECIPIENT agrees to comply with the Historic Preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) and the procedures set forth in 36 CFR Part 800, Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, insofar as they apply to the performance of this agreement.

In general, this requires concurrence from the State Historic Preservation Officer for all rehabilitation and demolition of historic properties that are fifty years old or older or that are included on a federal, state or local historic property list.

29. The SUBRECIPIENT must certify that it will provide drug-free workplaces in accordance with the Drug-Free Workplace Act of 1988 (41 USC 701).
30. The SUBRECIPIENT certifies that neither it, nor its principals, is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal Department or agency; and, that the SUBRECIPIENT shall not knowingly enter into any lower tier contract, or other covered transaction, with a person who is similarly debarred or suspended from participating in this covered transaction as outlined in 24 CFR 570.609, Subpart K.
31. The SUBRECIPIENT agrees to comply with the following OMB Circulars whichever is applicable, and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.
 - States, local governments, and Indian Tribes follow:
 - A-87 for Cost Principles
 - A-102 for Administrative Requirements
 - Educational Institutions (even if part of a State or local government) follow:
 - A-21 for Cost Principles
 - A-110 for Administrative Requirements
 - Non-Profit Organizations follow:
 - A-122 for Cost Principles
 - A-110 for Administrative Requirements
32. Audits shall be conducted annually and shall be submitted to the COUNTY one hundred eighty (180) days after the end of the SUBRECIPIENT's fiscal year. The SUBRECIPIENT shall comply with the requirements and standards of OMB A-133, Audits of States, Local Governments, and Non-Profit Organizations. If this Agreement is closed out prior to the receipt of an audit report, the COUNTY reserves the right to recover any disallowed costs identified in an audit after such closeout.
33. Any real property acquired by the SUBRECIPIENT for the purpose of carrying on the projects stated herein, and approved by the COUNTY in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and 49 CFR 24.101, shall be subject to the provisions of CDBG including, but not limited to, the provisions on use and disposition of property. Any real property within the SUBRECIPIENT control, which is acquired or improved in whole or part with CDBG funds in excess of \$25,000, must adhere to the CDBG Regulations at 24 CFR 570.505.

34. As provided in § 287.133, *Florida Statutes* by entering into this Agreement or performing any work in furtherance hereof, the SUBRECIPIENT certifies that it, its affiliates, suppliers, subcontractors and consultants who will perform hereunder, have not been placed on the convicted vendor list maintained by the State of Florida Department of Management Services within the 36 months immediately preceding the date hereof. This notice is required by § 287.133 (3) (a), *Florida Statutes*.

35. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, contracts under grants, loans, and cooperative agreements) and that all SUBRECIPIENTS shall certify and disclose accordingly.

36. Travel reimbursement will be based on the U.S. General Services Administration (GSA) per diem rates in effect at the time of travel.

37. Any rule or regulation determined to be applicable by HUD.

38. Florida Statutes 713.20, Part 1, Construction Liens

39. Florida Statutes 119.021 Records Retention

Organization Name: _____

Name/Signature: _____

(Please Print)

(Signature)

Title: _____ Date: _____

CERTIFICATION OF CDBG/HOME/ESG FUNDED CONSTRUCTION/REHABILITATION PROJECTS

If the applicant anticipates using CDBG/HOME/ESG for construction or rehabilitation, the following federal and county requirements must be acknowledged:

- 1. All construction or rehabilitation plans and permits must be approved and in place prior to funding. Copies of all permits must be attached to application.**
2. The County shall not be obligated to pay any funds to the project prior to the completion of an environmental review of the project and said review is approved by any government agencies as may be required by law.
3. The Applicant will assure all wages paid to construction workers by its or its subcontractors are in compliance with federal, state and local labor requirements. The Applicant agrees to include in the construction bid specifications in connection with this agreement the applicable Federal Wage Determination assigned to this project by HUD. The applicant must also inform the contractor/subcontractors that they will be required to submit documents after a county conducted pre-construction conference and prior to construction. Weekly Davis Bacon reports must be submitted thereafter as required by the federal government.
4. The Applicant agrees to comply with and to assure that its subcontractors comply with the federal Office of Management and Budget (OMB) Circular Number A-102 Attachment E for programs funded in whole or in part of CDBG/HOME funds; with federal OMB Circular A-102 Attachment O for the procurement of supplies, equipment, construction and services; and with Federal Management Circular A-87; or any other applicable OMB Circular.
5. Pursuant to Section 109 of the Act, the Applicant specifically agrees that no person shall be denied the benefits of the program on the grounds of race, color, sex, religion or national origin.
6. The Applicant agrees, on its own behalf and on behalf of its contractors and subcontractors, to take affirmative action in attempting to employ low income and minority persons, as mandated by law (Section 3).
7. As required by OMB Circular Number A-102 and by Florida Statutes Section 287.055, professional services must be competitively selected. The competitive selection process must include a public advertisement, issuance of a request for application and a competitive review based on uniform criteria. Selection criteria must consider the basic qualifications, professional competence, experience and suitability of each firm. Fees for professional services must be requested as a fixed sum and not stated as a percentage of construction costs.
8. All documents, bid specifications, notices and construction drawings must be submitted for review and approval to Collier County Housing, Human and Veteran Services (HHVS) prior to public advertisement.

9. Any applicable bidding process for construction contracts, based on Collier County's Purchasing Thresholds, must include a formal advertisement, published in the Naples Daily News and the Immokalee Bulletin (where applicable). The announcement must include the following:
 - a. Date, time and place that bid documents are available and the same information for any pre-bid conferences and receipt of bids.
 - b. Requirement of bid surety in the amount of ten percent (10%) of the bid and a performance and payment bond equal to 100% of the award.
 - c. Standard statement regarding the "in whole or in part" federal funding of the project and the various applicable federal regulations.
10. The County reserves the right to be present at the time of bid openings.
11. The Applicant agrees to submit to the County all documentation of the steps followed in the selection of professional services and construction contracts.
12. The Applicant agrees to specify a time of construction and include a liquidated damage clause in all construction contracts. Cost plus a percentage of cost and percentage of construction cost contracts will not be permitted.
13. The Applicant agrees that it will not start construction until an official "Notice to Proceed" has been issued.
14. Pursuant to 570.608 of the CDBG Regulations and the new provisions in the Economic and Community Development Act of 1974 as amended, the Applicant agrees to comply with the inspection, notification, testing and abatement procedures concerning lead-based paint.

I, hereby acknowledge that I have read the specific requirements contained in this Certification and that eligibility of my organization's project depends upon compliance with the requirements contained in this document.

Name of Organization: _____

Name/Signature:

(Please Print)

(Signature)

Title: _____ Date: _____

Acknowledgement of Religious Organization Requirements

In accordance with the First Amendment of the United States Constitution "church/state principles," CDBG/HOME/ESG assistance may not, as a general rule, be provided to primarily religious entities for any secular or religious activities.

Therefore, the following restrictions and limitations apply to any provider which represents that it is, or may be deemed to be, a religious or denominational institution or an organization operated for religious purposes which is supervised or controlled by or operates in connection with a religious or denominational institution or organization. These requirements are outlined in 24 CFR 570.200(j)(1-6).

A religious entity that applies for and is awarded CDBG/HOME/ESG funds for public service activities must agree to the following:

1. It will not discriminate against any employee or applicant for employment on the basis of religion and will not limit employment or give preference to persons on the basis of religion.
2. It will not discriminate against any person applying for such public services on the basis of religion and will not limit such services or give preference to persons on the basis of religion. The organization may continue to carry out its mission, including the definition, practice and expression of its religious beliefs, provided it does not use direct CDBG funds to support any inherently religious activities. Among other things, faith based organizations may use space in their facilities to provide CDBG funded services without removing religious art, icons, scriptures or other religious symbols. A CDBG funded religious organization retains its authority over its internal governance and may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
3. It may not engage in inherently religious activities, such as worship, religious instruction or proselytization, as part of the programs or services funded under this part. If the organization conducts such activities, the activities must be offered separately, in time or location, from the programs or services funded under this part and participation must be voluntary for the beneficiaries of the HUD funded programs or services.
4. CDBG/HOME/ESG funds may not be used for the acquisition, construction or rehabilitation of structures to the extent that those structures are used for inherently religious activities. CDBG funds may be used for the acquisition, construction or rehabilitation of structures only to the extent that those structures are used for conducting eligible activities. Sanctuaries, chapels, or other rooms that a CDBG funded religious congregation uses as its principal place of worship, however, are ineligible for CDBG funded improvements.

Acknowledgement of Religious Organization Requirements

Page 2

I hereby acknowledge that I have read the specific requirements contained in this attachment and that eligibility of my organization's project depends upon compliance with the requirements contained in this agreement.

Organization Name: _____

Name/Signature:

(Please Print)

(Signature)

Title: _____ Date: _____

CERTIFICATION FOR THE SUBRECIPIENT OR DEVELOPER OR VENDOR ENTITY

CERTIFICATION FOR THE GRANTEE ENTITY

Only one required per entity signed by an authorized representative

REGARDING DEBARMENT or SUSPENSION, REAL OR APPARENT CONFLICT OF INTEREST, FALSIFICATION OF DOCUMENTS, SUBSTANTIAL NON-COMPLIANCE OR NON-PERFORMANCE UNDER A GRANT, INELIGIBILITY, VOLUNTARY EXCLUSION ON AGREEMENTS/SUB-AGREEMENTS

This certification is required by the regulation implementing Executive Order 12549, Debarment and Suspension, signed February 18, 1986. The guidelines were published in the May 29, 1987 Federal Register (52 Fed. Reg., pages 20360-20369).

The Board of County Commissioners further adopted a Resolution (2013-228) effective October 8, 2013 to establish application screening criteria for Collier County administered federal and state grants. The resolution specifies this list of interested parties refers to the following representatives of the grantee organization under any form of arrangement or agreement:

Each Board of Directors member

Officers of the Board

Executive Director

All employees and supervisors that will work on the grant

Definitions: *[Note: The Definitions (1) will be tailored for the applicable grant program]*

- (1) The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549 and 45 CFR (Code of Federal Regulations), Part 76. Contact Collier Community and Human Services or go to www.HUD.gov website for assistance in obtaining a copy of those regulations.
- (2) The term substantial non-compliance or non-conformance as used in this certification includes:
 - Return of awarded grant funds on more than one occasion in the last three years
 - Non-compliance with a monitoring corrective action plan
 - Other substantial non-compliance or non-conformance of a grant
 - The organization applying for grant funding is hereby certifying and will follow the below listed:
 1. Each grantee of federal or state financial and non-financial assistance must sign this debarment certification at time of application. Independent auditors who audit federal or state programs regardless of the dollar amount are required to sign this certification form to include certification of debarment. Collier County Community and Human Services or its agreement grantee/contractors will not contract with subcontractors if they are debarred or suspended by the federal government.

2. Each entity applying for a grant from Collier County will assure all individuals and positions listed above complete and submit appropriate certifications.
3. The grantee shall provide immediate written notice to the grant coordinator at any time the grantee/contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The grantee further agrees by submitting this certification that, it shall not knowingly enter into any sub-agreement with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract unless authorized by the Federal Government.
5. The grantee further agrees by submitting this certification that it will require each contractor/subcontractor of agreements and/or contracts referencing this contract whose payment will equal or exceed \$100,000 in federal monies, to submit a signed copy of this certification with each sub-agreement.
6. The grantee may rely upon a certification by a subcontractor entity that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting/subcontracting unless the grantee/contractor knows that the certification is erroneous.
7. The grantee has adopted conflict of interest policies and procedures within their organization and will provide a copy of such prior to the execution of an agreement should the grant application be funded. If the grantee does not have conflict of interest policies and procedures they must adopt policies/procedures for determining when a conflict of interest exists and disclosing it to the public as required by the applicable program requirements.

The prospective grantee certifies, by signing this certification, that neither the entity nor their above noted principals and respective employees, within the last three years:

- (1) Has been debarred, suspended, proposed for debarment, and declared ineligible, or voluntarily excluded from participation in contracting with Collier County Community and Human Services by any federal department or agency. Where the prospective grantee is unable to certify to any of the statements in this certification, such prospective grantee shall attach an explanation to this certification.
- (2) Has had a real or apparent conflict of interest
- (3) Has falsified documents
- (4) Has substantial non-compliance or non-conformance with performance under a grant with Collier County or any other entity

Collier County Community and Human Services will rely on the certifications of this document as true and reliable.

However, the County reserves the right to request additional documentation prior to making a final determination.

Collier County Community and Human Services may rely upon a certification by a nonprofit organization that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting or subcontracting unless the department knows that the certification is erroneous.

This certification is a material representation of fact upon which reliance is placed when this application is submitted. If it is later determined that the signed knowingly rendered an erroneous certification, the Federal Government (via Section 1001 of Title 18 USC for making false statements) and Collier County may pursue available remedies, including suspension, debarment, grant award retraction, and/or suspension from applying for awards for three years under Resolution 2013-228.

Name of Organization: _____

Signature of Authorized Individual _____

Date _____

Name and Title of Authorized Individual

(Print or type)

CERTIFICATION FOR THE DIRECTORS OF THE BOARD, EXECUTIVE DIRECTOR,

EMPLOYEE OR SUPERVISOR

One EACH for every director, the executive director, and each staff member proposed to be directly working on or overseeing a staff member directly working on the grant

REGARDING DEBARMENT or SUSPENSION, REAL OR APPARENT CONFLICT OF INTEREST, FALSIFICATION OF DOCUMENTS, SUBSTANTIAL NON-COMPLIANCE OR NON-PERFORMANCE UNDER A GRANT, INELIGIBILITY, VOLUNTARY EXCLUSION OR AGREEMENTS/SUB-AGREEMENTS

The Board of County Commissioners adopted a Resolution (2013-228) effective October 8, 2013 to establish application screening criteria for Collier County administered federal and state grants. The resolution specifies this list of interested parties refers to the following representatives of the grantee organization under any form of arrangement or agreement:

Each Board of Directors member

Officers of the Board

Executive Director

All employees and supervisors that will work on the grant

Definitions:

- (1) The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549 and 45 CFR (Code of Federal Regulations), Part 76. Contact Collier County Community and Human Services or go to www.HUD.gov website for assistance in obtaining a copy of those regulations.
- (2) The term substantial non-compliance or non-conformance as used in this certification includes:
 - Return of awarded grant funds on more than one occasion in the last three years
 - Non-compliance with a monitoring corrective action plan
 - Other substantial non-compliance or non-conformance of a grant

The undersigned certifies, by signing this certification, that, within the last three years, they have not:

1. Been debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in contracting with Collier County Community and Human Services by any federal department or agency. (Where the prospective individual is unable to certify to any of the statements in this certification, such individual shall attach an explanation to this certification.)
2. Had a real or apparent conflict of interest
3. Falsified documents

4. Had substantial non-compliance or non-conformance with performance under a grant with Collier County or any other entity

The undersigned shall provide immediate written notice to the grantee at any time the undersigned learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Collier County Community and Human Services will rely on the certification of this document as true and reliable. However, the County reserves the right to request additional documentation prior to making a final determination.

This certification is a material representation of fact upon which reliance is placed when this application is submitted. If it is later determined that the signed knowingly rendered an erroneous certification, the Federal Government (via Section 1001 of Title 18 USC for making false statements) and Collier County may pursue available remedies, including suspension, debarment, grant award retraction, and/or suspension from applying for awards for three years under Resolution 2013-228.

Name of Organization

Role of undersigned (Director, Executive Director, Employee [specify role], Supervisor [specify role])

Signature

Date: _____

Print or type name of signatory

Section 18: Appendices

RESOLUTION NO. 2013 - 228

A RESOLUTION OF THE BOARD OF COUNTY COMMISSIONERS OF COLLIER COUNTY, FLORIDA, ESTABLISHING APPLICATION SCREENING CRITERIA FOR COLLIER COUNTY ADMINISTERED FEDERAL AND STATE GRANTS.

WHEREAS, the Board of County Commissioners (Board) desires to prevent the award of grants to entities that may pose a risk to Collier County's compliance with Federal and State grants; and

WHEREAS, the Board has determined that application screening criteria is an effective tool to avoid fraud, abuse, poor performance, noncompliance and other misconduct by the recipients of these grants; and

WHEREAS, the Board believes that the past conduct of an entity as well as its employees, officers, and directors is a good indicator of the entity's ability to perform; and

WHEREAS, the Board desires to establish the application screening criteria set forth below for all future County review of applications for Collier County administered Federal and State grants.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COUNTY COMMISSIONERS OF COLLIER COUNTY, FLORIDA that:

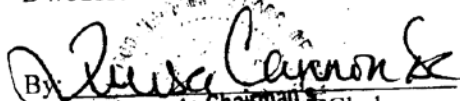
1. Application screening shall include review of the past conduct of the applying entity as well as its employees, officers, and directors.
2. Collier County administered Federal or State grants will not be awarded to applicants if one or more of the following offenses has occurred during the three years prior to grant application:
 - a. Debarment;
 - b. Real or apparent conflict of interest;
 - c. Falsification of documents; or
 - d. Substantial non-compliance or non-conformance with performance under a grant.

3. Collier County staff shall take all actions necessary to implement this direction and is not precluded from establishing other initial screening criteria to further the goals and objectives of this Resolution.

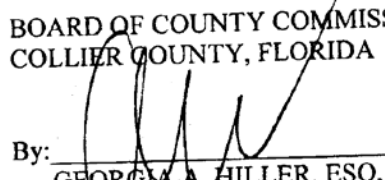
BE IT FURTHER RESOLVED that this Resolution shall be effective upon adoption.

THIS RESOLUTION ADOPTED after motion, second, and majority vote favoring same this 8th day of October, 2013.

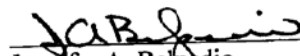
ATTEST:
DWIGHT E. BROCK, Clerk

By: 
Attest as to Chairman's
signature only.

BOARD OF COUNTY COMMISSIONERS
COLLIER COUNTY, FLORIDA

By: 
GEORGIA A. HILLER, ESQ.
CHAIRWOMAN

Approved as to form and legality:


Jennifer A. Belpedio
Assistant County Attorney

Appendix 2: Income Limits

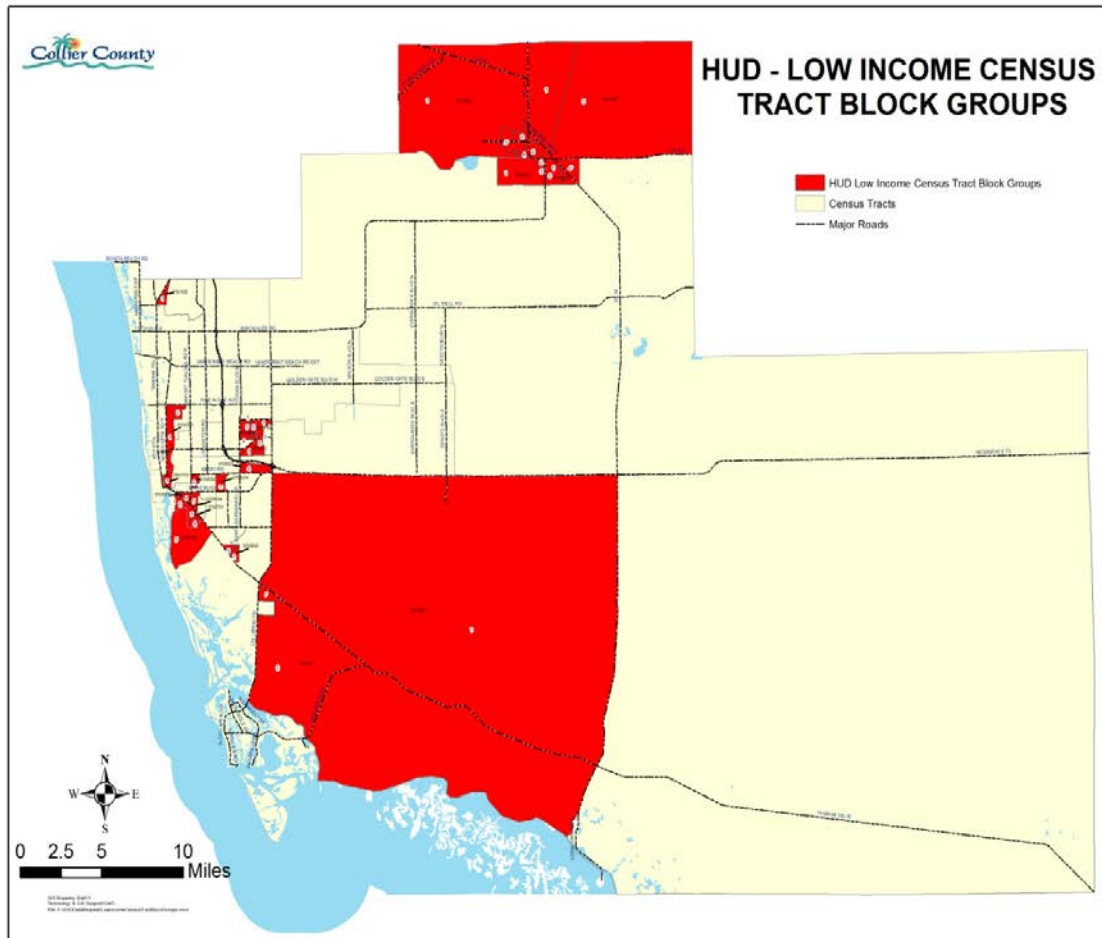
NAPLES FL. FY 2014 MEDIAN FAMILY

HUD INCOME GUIDELINES

EFFECTIVE December 18, 2014

FY 2014 Income Limit Area	Median Income	FY 2014 Income Limit Category	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Naples- Marco Island, FL MSA	\$62,900	Extremely Low (30%) Income Limits	\$13,850	\$15,800	\$17,800	\$19,750	\$21,350	\$22,950	\$24,500	\$26,100
		Very Low (50%) Income Limits	23,050	26,350	29,650	32,900	35,550	38,200	40,800	43,450
		Low (80%) Income Limits	36,900	42,150	47,400	52,650	56,900	61,100	65,300	69,500

Appendix 3: Low Moderate Income Areas (LMA) In Collier County



Appendix 4: Matrix Code Definitions

MATRIX CODE DEFINITIONS

Matrix codes are used to indicate—but do not establish—activity eligibility. An activity must be eligible in accordance with the regulations at 570.201–570.207. Grantees need to refer to the regulations to determine an activity’s eligibility; the codes defined below are used in IDIS Online chiefly to categorize activities for reporting purposes.

Code	Definition
01	<p>Acquisition of Real Property Acquisition of real property that will be developed for a public purpose. Use code 01 for the CDBG-funded purchase of real property on which, for example, a public facility or housing will be constructed. <i>When CDBG funds are used to:</i></p> <ul style="list-style-type: none"> • <i>acquire a public facility that will be rehabilitated with CDBG funds and continue to be used as a public facility, assign the appropriate 03* code.</i> • <i>acquire housing that will be rehabilitated, use code 14G.</i>
02	<p>Disposition of Real Property Costs related to the sale, lease, or donation of real property acquired with CDBG funds or under urban renewal. These include the costs of temporarily maintaining property pending disposition and costs incidental to disposition of the property.</p>
03A	<p>Senior Centers Acquisition, construction, or rehabilitation of facilities (except permanent housing) for seniors. 03A may be used for a facility serving both the elderly and the handicapped provided it is not intended primarily to serve persons with handicaps. If it is, use 03B instead. <i>For the construction of permanent housing for the elderly, use code 12; for the rehabilitation of such housing, use the appropriate 14* code.</i></p>
03B	<p>Handicapped Centers Acquisition, construction, or rehabilitation of centers, group homes, and other facilities (except permanent housing) for the handicapped. 03B may be used for a facility serving both the handicapped and the elderly provided it is not intended primarily to serve the elderly. If it is, use 03A instead. <i>For the construction of permanent housing for the handicapped, use code 12; for the rehabilitation of such housing, use the appropriate 14* code.</i></p>
03C	<p>Homeless Facilities (not operating costs) Acquisition, construction, or rehabilitation of temporary shelters and transitional housing for the homeless, including battered spouses, disaster victims, runaway children, drug offenders, and parolees. <i>For the construction of permanent housing for the homeless, use code 12; for the rehabilitation of such housing, use the appropriate 14* code.</i></p>
03D	<p>Youth Centers Acquisition, construction, or rehabilitation of facilities intended primarily for young people age 13 to 19. These include playground and recreational facilities that are part of a youth center. <i>For the acquisition, construction or rehabilitation of facilities intended primarily for children age 12 and under, use 03M; for facilities for abused and neglected children, use 03Q.</i></p>
03E	<p>Neighborhood Facilities Acquisition, construction, or rehabilitation of facilities that are principally designed to serve a</p>

	neighborhood and that will be used for social services or for multiple purposes (including recreation). Such facilities may include libraries and community centers.
03F	Parks, Recreational Facilities Development of open space areas or facilities intended primarily for recreational use.
03G	Parking Facilities Acquisition, construction, or rehabilitation of parking lots and parking garages. Also use 03G if the primary purpose of rehabilitating a public facility or carrying out a street improvement activity is to improve parking. <i>If parking improvements are only part of a larger street improvement activity, use 03K.</i>
03H	Solid Waste Disposal Improvements Acquisition, construction or rehabilitation of solid waste disposal facilities.
03I	Flood Drainage Improvements Acquisition, construction, or rehabilitation of flood drainage facilities, such as retention ponds or catch basins. Do not use 03I for construction/rehabilitation of storm sewers, street drains, or storm drains. <i>Use 03J for storm sewers and 03K for street and storm drains.</i>
03J	Water/Sewer Improvements Installation or replacement of water lines, sanitary sewers, storm sewers, and fire hydrants. Costs of street repairs (usually repaving) made necessary by water/sewer improvement activities are included under 03J. <i>For water/sewer improvements that are part of:</i> <ul style="list-style-type: none"> • <i>more extensive street improvements, use 03K (assign 03K, for example, to an activity that involves paving six blocks of Main Street and installing 100 feet of new water lines in one of those blocks).</i> • <i>a housing rehabilitation activity, use the appropriate 14* matrix code.</i> <i>For construction or rehabilitation of flood drainage facilities, use 03I.</i>
03K	Street Improvements Installation or repair of streets, street drains, storm drains, curbs and gutters, tunnels, bridges, and traffic lights/signs. Also use 03K: <ul style="list-style-type: none"> • for improvements that include landscaping, street lighting, and/or street signs (commonly referred to as “streetscaping”). • if sidewalk improvements (see code 03L) are part of more extensive street improvements.
03L	Sidewalks Improvements to sidewalks. Also use 03L for sidewalk improvements that include the installation of trash receptacles, lighting, benches, and trees.
03M	Child Care Centers Acquisition, construction, or rehabilitation of facilities intended primarily for children age 12 and under. Examples are daycare centers and Head Start preschool centers. <i>For the construction or rehabilitation of facilities for abused and neglected children, use 03Q; for the construction or rehabilitation of facilities for teenagers, use 03D.</i>
03N	Tree Planting Activities limited to tree planting (sometimes referred to as “beautification”). <i>For streetscape activities that include tree planting, use 03K; for sidewalk improvement activities that include tree planting, use 03L.</i>
03O	Fire Stations/Equipment Acquisition, construction, or rehabilitation of fire stations and/or the purchase of fire trucks and emergency rescue equipment.
03P	Health Facilities Acquisition, construction, or rehabilitation of physical or mental health facilities. Examples of such facilities include neighborhood clinics, hospitals, nursing homes,

	and convalescent homes. <i>Health facilities for a specific client group should use the matrix code for that client group. For example, use 03Q for the construction or rehabilitation of health facilities for abused and neglected children.</i>
03Q	Facilities for Abused and Neglected Children Acquisition, construction, or rehabilitation of daycare centers, treatment facilities, or temporary housing for abused and neglected children.
03R	Asbestos Removal Rehabilitation of any public facility undertaken primarily to remove asbestos.
03S	Facilities for AIDS Patients (not operating costs) Acquisition, construction, or rehabilitation of facilities for the treatment or temporary housing of people who are HIV positive or who have AIDS. <i>For the construction or rehabilitation of facilities for AIDS education and prevention, use 03P.</i>
03T	Operating Costs of Homeless/AIDS Patients Programs Costs associated with the operation of programs for the homeless or for AIDS patients, such as staff costs, utilities, maintenance, and insurance. Because payment of operating costs for these programs is a public service under CDBG, all CDBG expenditures for 03T activities are included in the calculation of the Public Services cap.
03	Other Public Facilities and Improvements Do not use this code unless an activity does not fall under a more specific 03* code. Also, do not use one activity for multiple facilities and then assign it and 03 because the types of facilities are different. One legitimate use of 03 is for activities that assist persons with disabilities by removing architectural barriers from or providing ADA improvements to government buildings (activities that otherwise would not be eligible for CDBG funding).
04	Clearance and Demolition Clearance or demolition of buildings/improvements, or the movement of buildings to other sites.
04A	Cleanup of Contaminated Sites Activities undertaken primarily to clean toxic/environmental waste or contamination from a site.
05A	Senior Services Services for the elderly. 05A may be used for an activity that serves both the elderly and the handicapped provided it is not intended primarily to serve persons with handicaps. If it is, use 05B instead.
05B	Handicapped Services Services for the handicapped, regardless of age.
05C	Legal Services Services providing legal aid to low- and moderate-income (LMI) persons. <i>If the only legal service provided is for the settlement of tenant/landlord disputes, use 05K.</i>
05D	Youth Services Services for young people age 13 to 19 that include, for example, recreational services limited to teenagers and teen counseling programs. Also use 05D for counseling programs that target teens but include counseling for the family as well. <i>For services for children age 12 and under, use 05L; for services for abused and neglected children, use 05N.</i>
05E	Transportation Services General transportation services. <i>Transportation services for a specific client group should use the matrix code for that client group. For example, use 05A for transportation services for the elderly.</i>
05F	Substance Abuse Services Substance abuse recovery programs and substance abuse prevention/education

	activities. If the services are provided for a specific client group, the matrix code for that client group may be used instead. For example, substance abuse services that target teenagers may be coded either 05D or 05F.
05G	Services for Battered and Abused Spouses Services for battered and abused spouses and their families. <i>For services limited to abused and neglected children, use 05N.</i>
05H	Employment Training Assistance to increase self-sufficiency, including literacy, independent living skills, and job training. <i>For activities providing training for permanent jobs with specific businesses, use 18A.</i>
05I	Crime Awareness/Prevention Promotion of crime awareness and prevention, including crime prevention education programs and paying for security guards.
05J	Fair Housing Activities (subject to Public Services cap) Fair housing services (e.g. counseling on housing discrimination) that meet a national objective. <i>For fair housing services activities carried out as part of general program administration (and thus not required to meet a national objective), use 21D.</i>
05K	Tenant/Landlord Counseling Counseling to help prevent or settle disputes between tenants and landlords.
05L	Child Care Services Services that will benefit children (generally under age 13), including parenting skills classes. <i>For services exclusively for abused and neglected children, use 05N.</i>
05M	Health Services Services addressing the physical health needs of residents of the community. <i>For mental health services, use 05O.</i>
05N	Services for Abused and Neglected Children Daycare and other services exclusively for abused and neglected children.
05O	Mental Health Services Services addressing the mental health needs of residents of the community.
05P	Screening for Lead Poisoning Activities undertaken primarily to provide screening for lead poisoning. <i>For lead poisoning testing/abatement activities, use 14I.</i>
05Q	Subsistence Payments One-time or short-term (no more than three months) emergency payments on behalf of individuals or families, generally for the purpose of preventing homelessness. Examples include utility payments to prevent cutoff of service and rent/mortgage payments to prevent eviction.
05R	Homeownership Assistance (not direct) Homeowner downpayment assistance provided as a public service. If housing counseling is provided to those applying for downpayment assistance, the counseling is considered part of the 05R activity. Assistance provided under 05R must meet the low/mod housing national objective. Therefore, unless the assistance is provided by a CBDO in an NRSA, it is subject to the public service cap and only low/mod households may be assisted. If the assistance is provided by a CBDO in an NRSA, the housing units for which CDBG funds are obligated in a program year may be aggregated and treated as a single structure for purposes of meeting the housing national objective (that is, only 51% of the units must be occupied by LMI households). <i>For more extensive types of homeownership assistance provided under authority of the National Affordable Housing Act, use code 13.</i>
05S	Rental Housing Subsidies Tenant subsidies exclusively for rental payments for more than three months.

	Activities providing this form of assistance must be carried out by CBDOs.
05T	Security Deposits Tenant subsidies exclusively for payment of security deposits.
05U	Housing Counseling Housing counseling for renters, homeowners, and/or potential new homebuyers that is provided as an independent public service (i.e., not as part of another eligible housing activity).
05V	Neighborhood Cleanups One-time or short-term efforts to remove trash and debris from neighborhoods. Examples of legitimate uses of this code include neighborhood cleanup campaigns and graffiti removal.
05W	Food Banks Costs associated with the operation of food banks, community kitchens, and food pantries, such as staff costs, supplies, utilities, maintenance, and insurance.
05	Other Public Services Do not use this code for public services activities unless an activity does not fall under a more specific 05* code. An example of a legitimate use of this code is referrals to social services.
06	Interim Assistance Only for activities undertaken either to: <ul style="list-style-type: none"> • Make limited improvements (e.g., repair of streets, sidewalks, or public buildings) intended solely to arrest further deterioration of physically deteriorated areas prior to making permanent improvements. • Alleviate emergency conditions threatening public health and safety, such as removal of tree limbs or other debris after a major storm.
07	Urban Renewal Completion Completion of urban renewal projects funded under Title I of the Housing Act of 1949. Do not use code 07 for a downtown renewal, downtown development, or urban renewal activity unless the activity will result in the closing out of a federally approved urban renewal project.
08	Relocation Relocation payments and other assistance for permanently or temporarily displaced individuals, families, businesses, non-profit organizations, and farms.
09	Loss of Rental Income Payments to owners of housing for loss of rental income due to temporarily holding rental units for persons displaced by CDBG-assisted activities.
11	Privately Owned Utilities Acquisition, reconstruction, rehabilitation, or installation of distribution lines and facilities of federally regulated, privately owned utilities. This includes placing new or existing distribution lines/facilities underground.
12	Construction of Housing Construction of housing with CDBG funds must be carried out by CBDOs, in accordance with the regulations at 570.204(a).
13	Direct Homeownership Assistance Homeownership assistance to LMI households as authorized under 105(a)(24). Forms of assistance include subsidizing interest rates and mortgage principal, paying up to 50% of downpayment costs, paying reasonable closing costs, acquiring guarantees for mortgage financing from private lenders, and financing the acquisition by LMI households of the housing they already occupy. If housing counseling is provided to households receiving direct homeownership assistance, the counseling is considered part of the code 13 activity. All recipients of assistance provided under matrix code 13 must be LMI.

14A	Rehab: Single-Unit Residential Rehabilitation of privately owned, single-unit homes.
14B	Rehab: Multi-Unit Residential Rehabilitation of privately owned buildings with two or more permanent residential units. <i>For the rehabilitation of units that will provide temporary shelter or transitional housing for the homeless, use 03C.</i>
14C	Rehab: Public Housing Modernization Rehabilitation of housing units owned/operated by a public housing authority (PHA).
14D	Rehab: Other Publicly Owned Residential Buildings Rehabilitation of permanent housing owned by a public entity other than a PHA. <i>For the rehabilitation of other publicly owned buildings that will provide temporary shelter or transitional housing for the homeless, use 03C.</i>
14E	Rehab: Publicly or Privately Owned Commercial/Industrial Rehabilitation of commercial/industrial property. If the property is privately owned, CDBG-funded rehab is limited to: <ul style="list-style-type: none"> • Exterior improvements (generally referred to as “facade improvements”). • Correction of code violations <i>For more extensive rehabilitation of privately owned commercial/industrial property, use 17C; for infrastructure developments and improvements at commercial/industrial sites, use 17B.</i>
14F	Rehab: Energy Efficiency Improvements Housing rehabilitation with the sole purpose of improving energy efficiency (e.g., a weatherization program). <i>For energy efficiency improvements to public housing units, use 14C; for other publicly owned residential buildings, use 14D.</i>
14G	Rehab: Acquisition Acquisition of property to be rehabilitated for housing. 14G may be used whether CDBG funds will pay only for acquisition or for both acquisition and rehabilitation.
14H	Rehab: Administration All delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities. Examples include appraisal, architectural, engineering, and other professional services; preparation of work specifications and work write-ups; loan processing; survey, site and utility plans; application processing; and other fees. Do not use 14H for the costs of actual rehabilitation and do not use it for costs unrelated to running a rehab program (e.g., tenant/landlord counseling). <i>For housing rehabilitation administration activities carried out as part of general program administration (and thus not required to meet a national objective), use code 21.</i>
14I	Lead-Based Paint/Lead Hazards Testing/Abatement Housing rehabilitation activities with the primary goal of evaluating and reducing lead-based paint/lead hazards. <i>For lead-based paint/lead hazards screening, use 05P.</i>
14J	Housing Services Housing services in support of the HOME Program, eligible under 570.201(k).
15	Code Enforcement Salaries and overhead costs associated with property inspections and follow-up actions (such as legal proceedings) directly related to the enforcement (not correction) of state and local codes. <i>For the correction of code violations, use the appropriate rehabilitation code.</i>
16A	Residential Historic Preservation Rehabilitation of historic buildings for residential use.

16B	Non-Residential Historic Preservation Rehabilitation of historic buildings for non-residential use. Examples include the renovation of an historic building for use as a neighborhood facility, as a museum, or by an historic preservation society.
17A	Commercial/Industrial: Acquisition/Disposition Land acquisition, clearance of structures, or packaging of land for the purpose of creating industrial parks or promoting commercial/industrial development. 17A activities must be carried out by the grantee or by non-profits.
17B	Commercial/Industrial: Infrastructure Development Street, water, parking, rail transport, or other improvements to commercial/industrial sites. 17B also includes the installation of public improvements, such as the construction of streets to and through commercial/industrial areas. 17B activities must be carried out by the grantee or by non-profits.
17C	Commercial/Industrial: Building Acquisition, Construction, Rehabilitation Acquisition, construction, or rehabilitation of commercial/industrial buildings. 17C activities must be carried out by the grantee or by non-profits.
17D	Commercial/Industrial: Other Improvements Commercial/industrial improvements not covered by other 17* codes. 17D activities must be carried out by the grantee or by non-profits.
18A	Economic Development: Direct Financial Assistance to For-Profits Financial assistance to for-profit businesses to (for example) acquire property, clear structures, build, expand or rehabilitate a building, purchase equipment, or provide operating capital. Forms of assistance include loans, loan guarantees, and grants. With one exception, a separate 18A activity must be set up for each business assisted. The exception is an activity carried out under 570.208(a)(4)(vi), for which job aggregation is allowed.
18B	Economic Development: Technical Assistance Technical assistance to for-profit businesses, including workshops, marketing, and referrals. Also use 18B for activity delivery costs eligible under 570.203(c).
18C	Economic Development: Micro-Enterprise Assistance Financial assistance, technical assistance, or general support services to owners and developers of micro-enterprises. A micro-enterprise is a business with five or fewer employees, including the owner(s). With one exception, a separate activity must be set up for each micro-enterprise assisted. The exception is an activity carried out under 570.208(a)(4)(vi), for which job aggregation is allowed.
19A 19B	Obsolete – use code 21H. Obsolete – use code 21H.
19C	CDBG Non-Profit Organization Capacity Building Activities specifically designed to increase the capacity of non-profit organizations to carry out eligible neighborhood revitalization or economic development activities. Such activities may include providing technical assistance and specialized training to staff.
19D	CDBG Assistance to Institutes of Higher Education Obsolete. Instead of using this matrix code, set the INSTITUTION OF HIGHER EDUCATION field to “yes” on the Add/Edit Subordinate Organization screen to indicate that the activity will be carried out by an institution of higher education. Then assign the appropriate matrix code based on the nature of the activity to be undertaken by the institution.
19E	CDBG Operation and Repair of Foreclosed Property Activities to prevent the abandonment and deterioration of housing acquired through tax foreclosure. These include making essential repairs to the housing and paying operating expenses to maintain its habitability.
19F	Planned Repayments of Section 108 Loans Repayments of principal for Section 108 loan guarantees.

19G	Unplanned Repayments of Section 108 Loans Unplanned repayments of principal for Section 108 loan guarantees.
20	Planning Program planning activities, including the development of comprehensive plans (e.g., a consolidated plan), community development plans, energy strategies, capacity building, environmental studies, area neighborhood plans, and functional plans.
20A	Program planning activities for when states award grants to units of general local government in which planning is the only activity, or in which planning activities are unrelated to any other activity funded as part of the grant. These are often referred to as “planning only grants” or “planning-only activities.”
21A	General Program Administration Overall program administration, including (but not limited to) salaries, wages, and related costs of grantee staff or others engaged in program management, monitoring, and evaluation. Also use 21A to report the use of CDBG funds to administer federally-designated Empowerment Zones or Enterprise Communities. <i>For CDBG funding of HOME admin costs, use 21H; for CDBG funding of HOME CHDO operating expenses, use 21I.</i>
21B	Indirect Costs Costs charged under an indirect cost allocation plan.
21C	Public Information Providing information and other resources to residents and citizen organizations participating in the planning, implementation, or assessment of CDBG-assisted activities.
21D	Fair Housing Activities (subject to Admin cap) Fair housing activities carried out as part of general program administration rather than as a public service. They are subject to the Admin cap, but do not have to meet a national objective. <i>For fair housing activities carried out as a public service, use 05J.</i>
21E	Submission of Applications for Federal Programs Preparation of (1) documents that must be submitted to HUD to receive CDBG funds or (2) applications to other federal programs for community development assistance.
21H	CDBG Funding of HOME Admin CDBG funding of administrative costs for HOME Program activities eligible under 570.206(i)(2).
21I	CDBG Funding of HOME CHDO Operating Expenses CDBG funding of CHDO operating expenses for HOME Program activities eligible under 570.206(i)(2).
22	Unprogrammed Funds Identification of funds that are not yet programmed for use—e.g., reserve or contingency funds.
23	Tornado Shelters Serving Private Mobile Home Parks Construction or improvement of tornado-safe shelters for residents of manufactured housing and the provision of assistance (including loans and grants) to nonprofit and for-profit entities, in accordance with Section 105(a)(24). {Note that two pars. 24 have been enacted.}

Appendix 5: Affordability Periods by Funding Source

All projects must adhere to the applicable CDBG/HOME affordability periods described below. Further, HOME sponsored projects for homeownership are subject to the County’s resale/recapture provisions, provided in Appendix 6)

CDBG Program		
Activity	Subsidy	Minimum Affordability Period
Any eligible project	Any dollar amount	5 years

HOME Program					
Activity	Average	Per-Unit	HOME	Minimum	Affordability
	Subsidy			Period	
Rehabilitation or acquisition of existing housing	<\$15,000			5 years	
	\$15,001-\$40,000			10 years	
	>\$40,001			15 years	
Refinance of Rehabilitation Project	Any dollar amount			15 years	
New construction or acquisition of rental housing	Any dollar amount			20 years	

Appendix 6: Underwriting Guidelines (Project Pro-Forma)

Definitions

Applicant: The entity applying for HOME funds

Multifamily: Five or more units in a single project

Project: A single application for the acquisition, construction or rehabilitation of multifamily housing units.

Eligible - Ineligible Activities

Eligible Activities include:

Acquisition of land for the construction of new rental housing;

Acquisition of existing rental units for operation as rental housing;

Acquisition of existing rental units for rehabilitation;

Development of on-site infrastructure, improvements or remediation in support of the development or the rehabilitation of rental housing;

Construction of new units of rental housing;

The rehabilitation of existing units of rental housing;

Replacement of substandard manufactured housing;

Construction of five (5) or more single family owner-occupied housing

Ineligible Activities Include;

Improvements, rehabilitation or the construction of public housing units;

Improvements, rehabilitation or the construction of temporary housing units;

Improvements, repairs or partial rehabilitation of existing improved property where all structures and the property do not meet all applicable codes at completion.

Concurrence with the Action Plan

The Project is permitted within the County's current approved Action Plan

Affirmative Marketing Plan

The applicant has submitted to the County an Affirmative Fair Housing Marketing (AFHM) plan for the specific project prior to commitment of HOME funds by the County.

Affirmative Fair Housing Marketing (AFHM) - Multifamily Housing (Form: OMB Approval No. 2529-0013)

The affirmative marketing plan reflects Collier County's Fair Housing requirements and the objectives of the Analysis of the Impediments to Fair Housing (24 CFR 92.351)

Property Requirements

The property is located within the boundaries of Collier County;

The property meets all of the environmental requirements of 24 CFR Part 58, or the remediation of all environmental deficiencies is included in the development costs;

Project Requirements

If the project is new construction, the project meets the applicable energy conservation code, all applicable State and Local Codes and the applicable disaster mitigation State and local codes, ordinances, and requirements;

If the project is rehabilitation, the project meets or exceeds the applicable CHS rehabilitation standard and all State and Local codes, ordinances and requirements.

Accessibility Requirements

If the project is greater than five units, five percent (5%) of units are designated handicap accessible and 2% of the units are designated sensory accessible

Round to the next highest number of units (e.g. 1.1 = 2 units) for each type

The project must meet the accessibility requirements of Section 504 (24 CFR Part 8 - 8.4, 8.11, 8.20, 8.21, 8.24, 8.25, 8.33)

Match Requirements

Match is 25% of the HOME amount authorized for the project

All projects must provide a firm commitment of eligible HOME Match prior to a commitment of HOME funds by the County;

Before contract signing the applicant will be required to show evidence that the full amount of required eligible match has been identified and/or secured; or

The County may elect at its direction to provide match for designated projects.

Financial Feasibility, Underwriting and Subsidy Layering

24 CFR 92.250(b)(1),(2), and (3) requires Collier County to establish financial feasibility, subsidy layering and underwriting guidelines to:

Establish standards to assess the reasonableness of profit or return to the owner or developer, for the size, type, and complexity of the project.

Examine the sources and uses for each project and determine whether the costs are reasonable.

Assess the market conditions of the neighborhood in which the project will be located.

Assess the experience and financial capacity of the developer.

Determine whether there are firm financial commitments for the project, as evidenced by loan commitment documents.

Reasonable Profit or Return Standard

General

A “reasonable profit or return” is defined as the average market profit or return the owner or developer would expect for a project of similar size, type and complexity.

The County will determine, based on the information provided by the Applicant, and such others sources as the County may chose, the reasonableness of the overall profit or return.

Interrelated Companies

If the developer owns any other entity in the transaction, the maximum development fee permitted to the developer is 10% of the cost of the development less HOME ineligible cost.

The developer may include a higher development fee; however, the uses submitted will be reduced by the amount of the developer fee above this limitation.

If the developer and the architectural firm are related entities, then the architectural firm can receive a fee of no more than 4% of hard construction costs for architecture and construction supervision.

If the developer and the engineering firm are related entities, then the engineering firm can receive a fee of no more than 4% of infrastructure or engineering.

If the developer and the contractor are related entities, then the contractor's profit, overhead, and general requirements cannot exceed 14% of construction hard costs.

Complete HUD Form 2880.

Financial Feasibility

Sources & Uses

Sources and uses must balance.

Uses (Development Costs)

All development costs must be cost reasonable as defined by OMB Circular A-87 and determined by the County as such. Cost reasonableness requires all expenses be within 10% of industry norms.

The County will benchmark construction cost reasonableness to the applicable estimate for new construction for Collier County;

The County will benchmark cost reasonableness to the applicable locally prepared estimated cost for rehabilitation;

All development costs to be paid for with HOME funds are HOME eligible costs.

The following costs are specifically ineligible costs:

Acquisition of PJ owned property;

Payment of delinquent taxes, fees, or charges on properties to be assisted with HOME funds;

Development, operations, or modernization of public housing;

Operating subsidies;

Project reserve accounts (except for initial operating deficit reserves for an 18 month period);

Luxury items; and

Non-housing activities

If land or land with improvements is purchased with HOME funds, the purchase price may not exceed the appraised value;

Appraisals must conform to HUD requirements.

Sources

Each source of funds must be fully disclosed;

Each source of funds must be fully committed at contract signing with the County;

Commitment shall be defined as:

For Applicant equity (except tax credits), a bank statement showing at least the amount of the proposed equity or an appraisal for land;

For grants, a grant award letter from the source of funds either designating the funds for the project, or a grant award letter from the source of funds stating the funds are unrestricted;

For loans, a commitment letter from the lender with all terms and conditions of the loan and a copy of the proposed Subordination Agreement;

For Applicants with an allocation of tax credits, a tax credit allocation letter from the State;

If the applicant is a partnership, a copy of the full Partnership Agreement;

Deferred development fees are permitted as a source

Deferred development fees are limited to 10% of the development fee

(Other rules for deferred development fees)

Financial Requirements - Income & Expenses General

Escalation or Trend Rates

Income shall have a minimum escalation rate of 2% and a maximum escalation rate of 3%

Expenses shall have a minimum escalation rate of 4% and a maximum escalation rate of 6%

The difference between the income escalation rate and the expense escalation rate shall be 1%

Income

Rents

Rents for units designated as HOME assisted units must be less than the current High HOME & Low HOME rents less all tenant paid utilities;

Rents must be responsive and competitive to the market conditions established by the market study for the Project;

If the project contains five or more units, at least 20% of the HOME assisted units must be affordable to families at or below 50% of area median income (AMI) adjusted for family size;

The balance of the HOME assisted units must be affordable to families at or below 60% of AMI adjusted for family size;

Vacancy/Collection Loss

Projects in excess of 40 units shall have a minimum vacancy/collection loss of 7% in year one 5% thereafter;

Projects between 20 and 40 units shall have a minimum vacancy/collection loss of 10% in year one and 7% thereafter;

Projects between 5 and 20 units shall have a minimum vacancy/collection loss of 15% in year one and 10% thereafter;

Other Income

Only rental income shall be considered in underwriting the project for purposes of HOME, except

Operating subsidies provided by another source (non-HOME) may be included when a firm commitment of the source is available;

All other income will be discounted to \$0.

Operating Expenses

General

All expenses must be cost reasonable;

Cost reasonableness requires all expenses be within 10% of industry norms as defined by the County.

Replacement Reserves are to be listed as an expense in the operating pro forma before Net Operating Income (NOI).

Partnership fees in LIHTC deals are permitted provided such fees are disclosed and listed in the operating pro forma before Net Operating Income (NOI).

Replacement Reserves

For projects in excess of twenty-five units, the developer shall submit a Capital Needs Assessment defining the replacement reserve for the HOME affordability period;

The developer shall propose per unit/per year replacement reserves based on the Capital Needs Assessment;

The minimum replacement reserve requirement shall be \$2,500 a unit per year

For projects of less than twenty-five units, the replacement reserve shall be a minimum of \$500 a unit a year and a maximum of \$720 per unit, per year.

Debt

Variable rate debt is expressly prohibited

Balloon mortgages having a term of less than the affordability/compliance period are expressly prohibited

Debt Coverage Ratios

Low Income Housing Tax Credit projects and projects in which HOME provides 90% of the financing, the debt coverage ratio shall be capped at 1.15 on all debt

For all other projects the debt coverage ratio shall be capped at 1.25 on all debt.

The County, at its sole discretion may adjust debt coverage ratios to respond to market conditions or unusual situations

Cash Flow

The project must have a positive cash flow for the entire HOME affordability/compliance period

Market Conditions

The Applicant, prior to contract execution, shall provide a current market assessment or study to the County, to the following specification:

Utilizing the proposed site as the center point, the study shall define the market area from which homeowners/renters are likely to be drawn;

The study shall identify all rental or single family units of a similar type and size in the market area by:

Address

Number of units;

Age of units (year built)

Type and distribution of units (number of bedrooms and baths)

Amenities

Current and historic vacancy rates

Current rents

Projects in the pipeline (permitted, or in construction)

Utilizing the household demographic specific to the market area where the project is located, the study shall:

Establish the number of households in the market area;

Establish the income and household characteristics in the market area;

Estimate the current demand for units at the proposed Project rent(s);

Estimate the absorption rate of new units at the proposed Project rent(s);

The number of months required to absorb the units proposed may not exceed fifteen months;

Capacity of the Developer

Financial Capacity

The Applicant must be solvent at application and again at contract signing with the County as evidenced by:

A current financial statement from a Certified Public Accountant

A current balance sheet from a Certified Public Accountant

A credit report may be obtained by the County

The Applicant must provide evidence of adequate resources to finance the project during construction;

The Applicant must provide evidence of insurance in the form and amount required by the County prior to contract signing;

If required, the Applicant must provide evidence of a performance bond or standby letter of credit in the form and amount required by the County prior to contract signing;

General Capacity

The Applicant may not be on either the Federal debarred list or the State of Florida Suspended Vendor list, or the Florida Convicted Vendor list either at the time of application or at contract closing;

The Applicant is required to provide all applicable licenses and certifications required by the State of Florida and Collier County at the time of application;

The Applicant must provide evidence of the completion of projects within the last 5 years of a similar type, size and scope; on time, on budget and to the standards required.

Subsidy Layering (92.250(b) and HUD CPD Notice 98-01)

Combined Federal subsidies may not exceed the HUD issued per unit 221(d)(4) limits. These limits are issued annually by HUD for both Elevator and Non-Elevator projects. See attached for latest limit from HUD.

Appendix 7: Per Unit Subsidy Limits

SUBSIDY LAYERING REVIEW (SLR) PROCEDURE/APPLICATION

Requirement: A Subsidy Layering Review (SLR) is required to be conducted whenever there is a combination of funding sources which require a SLR to be performed. Key guidance is provided under 24CFR 92.250, and HUD CPD Notice 98-01. The new HOME rule is also recommended for reference and associated compliance requirements.

Process:

- (1) When reviews are required: A subsidy layering review will be required for all new projects, to be submitted with the application. Applicants are encouraged to check with Collier County's Community and Human Services Department (CHS) early in the development process to determine if their project contains sources that would require a SLR. An SLR must be conducted at three different times in the development process. The first SLR is required to be performed at application time to determine whether funding will be awarded, then prior to a project's initial closing on construction debt financing, permanent debt financing, and/or investor equity and beginning construction ("Initial Review"), and the third SLR is required to be performed in conjunction with the final review of a project after construction has been completed and prior to the final closing ("Final Review").
- (2) What the reviews will contain: This application, checklist elements and associated attachments constitute the required elements of the review. These may change from time to time for currency or changes in regulations.
- (3) How the reviews will be evaluated: CHS will evaluate the submissions against its HOME Program Multifamily Project Selection and Underwriting Criteria.
- (4) Timeline for review: For the initial review, submissions are required by the published application deadline. Projected timeline for the review and comment on submitted SLR (from the date that a complete SLR Application is received by CHS) is 40 working days (or other as identified in the application process). Project owners should be aware of this timeline when working through the project underwriting process and moving to a closing, so they can plan accordingly and ensure that the SLR is completed without impeding the closing process.
- (5) Approval/Disapproval: Projects not meeting requirements at application will not be recommended for funding. Projects recommended for funding that do not meet subsequent requirements will be considered to be in non-compliance and will follow CHS non-compliance/monitoring procedures.

The applicant is fully responsible for meeting the requirements herein. To begin the SLR process, applicants must complete the SLR Application below:

PROJECT LOCATION:

Project Name _____
Street Address _____
City _____ County _____ State _____ Zip _____

Will this project be located within unincorporated Collier County? Yes No

TYPE OF CONSTRUCTION (Check applicable category):

- New construction
- Acquisition and Rehabilitation
- Acquisition

OWNER INFORMATION (Limited Partnership/Limited Liability Company):

Legal Name of Owner _____ Taxpayer ID _____
Street Address _____
City _____ State _____ Zip _____
Contact Person _____
Telephone # with Area Code _____ Fax # with Area Code _____
E-Mail Address: _____

Exhibit Checklist

The following items must be submitted in their entirety as part of the SLR Application for the SLR process to commence.

EXHIBIT CHECKLIST	
To be completed for all SLRs	
#	
1	<p>A narrative description of the project which includes the type of project; location; type of financing; tenants served, bedroom mix; local, federal or state subsidies; and other relevant information. Also include a map of the project site and surrounding area. NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.</p>
2	<p>Completed HUD HOME Investment Partnership Program Multi-Family Underwriting Template – This template, along with web-based training materials and explanations are available on the HUD website at : http://www.hud.gov/offices/cpd/affordablehousing/training/index.cfm</p> <p>Cells for data entry are flagged with Excel’s comment feature. Do NOT change formulas within the template as many of them are linked to other formulas. THIS TEMPLATE IS DESIGNED AS AN AIDE ONLY. It is the sole responsibility of the applicant to independently verify the all inputs/outputs/and calculations independently.</p>
3	<p>Syndication — SLR Applications must contain the most up-to-date documentation evidencing the amount, price, and terms of the investment for the sale of LIHTC or any other credits that are proposed as a source of financing for the development, if any. NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.</p>

4	<p>Tax Credit Commitment Letter — SLR Applications must contain the most up-to-date documentation evidencing the amount of credits (if any) being Reserved for the LIHTC project. NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.</p>
5	<p>Historic/Brownfield Financing Commitments (If any) - SLR Applications must contain the most up-to-date documentation evidencing the amount of Historic (Federal or State) and Brownfield financing being committed to the project. NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.</p>

EXHIBIT CHECKLIST

To be completed for all SLRs

#	
6	Capital Needs Assessment — SLR Applications must contain the most up-to-date Capital Needs Assessment (if applicable). NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.
7	Appraisal - SLR Applications must contain the most up-to-date appraisal for the property (if applicable). NOTE: If it is believed that these item(s) have already been submitted in the project underwriting process, in lieu of resubmitting the item(s), please reference the effective date of all letters and applicable documentation so it can be appropriately referenced.
8	Market Analysis: SLR Applications must include a market condition analysis. Please see attached handout on minimum requirements for this assessment.
9	Completed Standard Disclosure and Perjury Statement, Identity of Interest Statement Form HUD-2880 - Please ensure this form fully completed and signed by the applicant's signatory authority.

Appendix 8: Community Housing Development Organization (CHDO) Application Criteria

**Collier County Community and Human Services
 CHDO Staff Experience & Organization Capacity Checklist
 Program Year 2015 CHDO Funding
 HOME FY15 Funding Allocation Changes
 Amended in CPD Notice 14-01**

Organization Name _____

CHDO Staff & Experience		Guidelines/Evaluations	Yes	No	Explain
CHDO has paid staff to manage development project		Staff classification and documentation - to be counted as staff, the person must be employed by the CHDO and documentation is needed			
<input type="checkbox"/> Paid fulltime staff		Full time employment - evidenced by a payroll report or a W-4 or W-2			
<input type="checkbox"/> Paid part time staff		Part time employment - evidenced by a payroll report or a W-4 or W-2			
<input type="checkbox"/> Contracted staff		Contract staff - evidenced by a "contract" for employment and a W-9 and 1099 at the end of a year			
Staff Identification			Yes	No	Explain
_____ Name and job title or development role has relevant experience in:					

Homeownership
Development

Has the staff person been involved in the acquisition, rehabilitation/construction and **sale** of homebuyer housing? Previous experience purely in counseling, marketing or financing activities is **NOT** sufficient to be considered development experience

Rental Development

Has the staff person been involved in the acquisition, rehabilitation/construction and/or ownership/operation of **rental** housing? Previous experience purely in counseling, marketing or financing activities is **NOT** sufficient to be considered development experience

Other real estate
development and
management

Has the staff person been involved in the acquisition, rehabilitation/construction and/or ownership/operation of other type of housing? Previous experience purely in counseling, marketing or financing activities is **NOT** sufficient to be considered development experience

<input type="checkbox"/> Rehabilitation and other housing program administration	Has the staff person been involved in the acquisition, rehabilitation/construction of other housing? Previous experience purely in counseling, marketing or financing activities is NOT sufficient to be considered development experience			
<input type="checkbox"/> Other relevant experience, explain: <hr/> <hr/> <hr/>				

Past and Current Performance	Yes	No	Explain
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Past and Current Performance	Yes	No	Explain
<input type="checkbox"/> HOME/CHDO project performance	Has the CHDO performed adequately in the past in HOME, CHDO and/or other real estate development activities?		
<input type="checkbox"/> Past development performance	Has the CHDO performed adequately in the past in HOME, CHDO and/or other real estate development activities?		
<input type="checkbox"/> Housing program & Federal grant management performance	Is the CHDO currently in good standing on all its development and administrative activities?		
	Does it show the capacity to take on an additional activity and continue to manage everything that it has ongoing?		

Developer Capacity - CHDO	Yes	No	Explain
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<input type="checkbox"/> Organizational structure to support development	Can the current corporation structure support housing development activities or is there a need for a subsidiary or other organizational structure for future development?			
	Are there operations or activities that need to be organizationally separate from housing development activities and portfolios?			
<input type="checkbox"/> Management structure/practices to support development	Does the current management have the ability to manage additional development activities?			
	Are the corporate lines of authority for development activities clear?			
	Are policies and procedures in place governing development activities?			
<input type="checkbox"/> Current pipeline/backlog	What does the CHDO have as its current project pipeline and program responsibilities?			
	Will it be able to handle any additional proposed projects?			

Does its portfolio of projects/properties evidence competent management and oversight?

Do the properties appear to have adequate funding?

If the organization pursues housing development, what other activities are likely to suffer or not be able to be pursued due to the effort required for development activities?

Staff Capacity	Yes	No	Explain
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<input type="checkbox"/> Staff capacity (or consultant contract/plan to train)	<p>Does the identified staff have the time to direct toward management of the proposed project?</p>		
	<p>How strong are staff in the following areas:</p>		
	<p>Legal/financial aspects of housing development?</p>		
	<p>Management of real estate development?</p>		
	<p>Oversight of design and construction management?</p>		
	<p>Marketing and intake?</p>		
	<p>Property management (if applicable)?</p>		
	<p>Is staff encouraged to obtain training and develop new skills?</p>		

What is their potential for learning skills that they currently do not have?

Organizational Structure	Yes	No	Explain
Non-Profit Status	Clarify whether CHDO is 501(c)(3) or 501(c)(4) or Section 905 Status - Must be organized under state/local law. Attach a copy of the non profit status		
Geographic Service Area	What geographic area or special population does the CHDO serve?		
Purpose of Organization	Provide a description of the purpose for which the CHDO was formed. This can be evidenced by including the charter, articles of incorporation, bylaws or a board of director's resolution.		
Board of Directors Composition	Document that the Board is comprised of the following: 1/3 community representatives, 1/3 public officials, 1/3 public officials. Complete the attached sheet to certify the Board composition.		

Board Expertise/Oversight	Yes	No	Explain
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<input type="checkbox"/> Board expertise/oversight	Do board members have professional skills directly relevant to housing development (e.g., real estate, legal, architecture, finance, management)?			
	Has the board demonstrated the ability to make timely decisions?			
	Is there a good relationship between board and staff?			
	Does the Board have a committee structure or other means of overseeing planning and development?			
	Has there been stability/continuity of board members over the last several years?			

Skills/Capacity - Marketing	Yes	No	Explain
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<input type="checkbox"/> Skills/capacity to market (for sale) or manage (rental) units	If a homebuyer project, does the CHDO have experience and capacity to market the units and counsel and qualify homebuyers?			
	If a rental project, does the CHDO experience and capacity to oversee the marketing, management and ownership of the project?			

Fiscal Capacity - Development Team	Yes	No	Explain
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All development team roles filled with qualified firms/persons

Are all of the key development team roles filled with qualified individuals or firms?

Partners/Consultants Yes No Explain

Partners/consultants enhance CHDO capacity (if needed)

Does the CHDO have a need for a partner or a consultant to supplement its skills and help it to ensure success, while still maintaining development control?

Prior Experience Yes No Explain

Prior experience - Team successfully developed similar projects

Do team members have prior experience directly relevant to the proposed project?

Team Capacity Yes No Explain

Team has demonstrated capacity to work together

Have the team members worked together before or demonstrated the ability to work effectively as a team?

Fiscal Soundness Yes No Explain

<input type="checkbox"/> Financial management	<p>Is there evidence that the CHDO meets the 84.21 standards? Part 84: Uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations</p>			
	<p>Does it have adequate internal controls to ensure separation of duties and safeguarding of corporate assets?</p>			
	<p>Does it do annual budgeting of its operations and all activities or programs?</p>			
	<p>Does it track and report budget v. actual income and expenses?</p>			
	<p>Is there sufficient oversight of all financial activities?</p>			
	<p>Is financial reporting regular, current and sufficient for the board to forecast and monitor the financial status of the corporation?</p>			
Financial Stability		Yes	No	Explain
<input type="checkbox"/> Financial stability	<p>To what extent does the organization have a diversified and stable funding base for operations?</p>			
	<p>How regularly does it experience cash flow problems?</p>			
Liquidity		Yes	No	Explain

<input type="checkbox"/> Liquidity	Does CHDO management know its current cash position and maintain controls over expenditures?			
	Does the current balance sheet and budget indicate sufficient funds to support essential operations?			
	Does it have funds available for pre-development expenses capital advances required for development?			
Audit/Reporting		Yes	No	Explain
<input type="checkbox"/> Audit and reporting	Does the CHDO have an annual audit?			
	Is the most recent audit current?			
	Were there management or compliance findings in the last 2 years?			
	Are finding(s) resolved?			
Portfolio/Corporate Liabilities		Yes	No	Explain
<input type="checkbox"/> Portfolio and corporate liabilities	If it has a portfolio of properties, are they in a stable physical and financial condition or are they a drain of corporate resources?			
	Are there assets at risk of default?			
	Does it collect adequate revenues and management fees from the properties? Are collections current?			

Does it maintain adequate insurance - liability, fidelity bond, workers comp, property hazard and project?

Other Factors	Yes	No	Explain
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Community relations

How strong are the current reputation of the corporation and the relationship with the community?

To what extent does NIMBY opposition exist to low income housing in the service area?

To what extent do channels exist for the CHDO to negotiate with the community and potential opponents?

PJ Relations	Yes	No	Explain
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PJ relations

How strong is the CHDO's relationship with the local government?

How strongly does local government support its housing activities?

Lender Relations		Yes	No	Explain
<input type="checkbox"/> Lender relations	Does the CHDO have good working relationships with lenders, especially those who might participate in the proposed project?			
<input type="checkbox"/> Projects specific skills/capacity				

Certification

The CHDO has documented that it has staff with development experience and it has the organizational capacity and the development team to implement the proposed CHDO project.	Signature	Date	
	Signature	Date	
The CHDO has policies and procedures in place that address any potential conflict of interest regarding staff/board members/general contractors, etc. Please provide a copy of the organization's policy covering employee's conflict of interest.			

Appendix 9: HOME Market Study Guidelines

Applicants completing Subsidy Layering Requirements (SLR) are required to submit as part of their application package a market condition analysis. The following considerations are provided as a minimum for completing this analysis:

1. Utilizing the proposed site as the center point, the study shall define the market area from which renters/homeowners are likely to be drawn;
2. The study shall identify all rental (or single family) units of a similar type and size in the market area by:
 - a. Address
 - b. Number of units;
 - c. Age of units (year built)
 - d. Type and distribution of units (number of bedrooms and baths)
 - e. Amenities
 - f. Current and historic vacancy rates
 - g. Current rents
 - h. Projects in the pipeline (permitted, or in construction)
3. Utilizing the household demographic specific to the market area where the project is to be located, the study shall:
 - a. Establish the number of households in the market area;
 - b. Establish the income and household characteristics in the market area;
 - c. Estimate the current demand for units at the proposed Project rent(s);
 - d. Estimate the absorption rate of new units at the proposed Project rent(s);
4. The number of months required to absorb the units proposed may not exceed fifteen months.