

Resolution # 14-2012

**RESOLUTION OF THE COMMISSIONERS OF THE COUNTY OF DAUPHIN
AUTHORIZING SUBMITTAL OF AN ACTION PLAN FOR COUNTY
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) DISASTER
RECOVERY ASSISTANCE FUNDS FOR FISCAL YEAR 2012**

WHEREAS, the United States Department of Housing and Urban Development has enacted a Community Development Block Grant Disaster Recovery Assistance Program; and

WHEREAS, said Community Development Block Grant Disaster Recovery Assistance Program provides for a direct allocation to the County of Dauphin; and

WHEREAS, the County of Dauphin continues to identify eligible and fundable CDBG-DR projects; and

WHEREAS, the County of Dauphin has prepared a CDBG Disaster Recovery Assistance Action Plan; and

WHEREAS, the County of Dauphin has held public hearings on the proposed use of County Community Development Block Grant Disaster Recovery Assistance funds for Fiscal Year 2012 and prepared an Action Plan for said County Community Development Block Grant Disaster Recovery Assistance funds.

NOW, THEREFORE, be it resolved by the Commissioners of the County of Dauphin:

1. That the 2012 Fiscal Year County Community Development Block Grant Disaster Recovery Assistance Action Plan for the County is hereby in all respects approved.
2. That the Commissioners of the County of Dauphin are hereby authorized to execute all required forms and assurances for the above-named application and to cause said application to be submitted to the United States Department of Housing and Urban Development.

Resolved this day of 2012

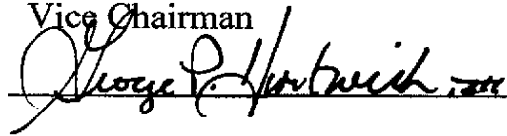
BOARD OF
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THE COUNTY OF DAUPHIN



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ATTEST:

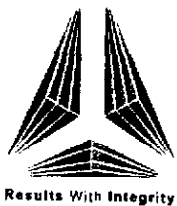


Laura E. Evans, Esq.
Chief Clerk/Chief of Staff
(Seal)

ATTEST:



Dauphin County
Community Development Block Grant
Disaster Recovery Assistance:
Action Plan



July 2012

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INTRODUCTION

Section 239 of the Department of Housing and Urban Development Appropriations Act, 2012 (Pub. L. 112– 55, approved November 18, 2011) (Appropriations Act) makes available up to \$400 million, to remain available until expended, in Community Development Block Grant (CDBG) funds for necessary expenses related to disaster relief, long-term recovery, restoration of infrastructure and housing, and economic revitalization in the most impacted and distressed areas resulting from a major disaster declared pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 (42 U.S.C. 5121 *et seq.*). The Appropriations Act requires that funds be used only for specific disaster-related purposes. The law also requires that prior to the obligation of funds a grantee shall submit a plan detailing the proposed use of all funds, including criteria for eligibility and how the use of these funds will address long-term recovery.

Through the Community Development Block Grant Disaster Recovery Assistance Program, Dauphin County, Pennsylvania, has received notice of a direct allocation of **\$6,415,833** to address impacts related to the federally declared disasters that occurred in the summer of 2011. To comply with the Department of Housing and Urban Development (HUD) requirements, this Action Plan describes the proposed use of funds to address unmet housing, infrastructure, business, and economic development needs within Dauphin County as a result of severe flooding and storm related impacts. This Action Plan will detail the following:

- Impacts of the disaster on Dauphin County's residents, homes, businesses, infrastructure, and economy
- Alternate sources of funding addressing disaster-related impacts and determinations of remaining unmet needs
- Proposed funding activities and program details
- Project evaluation and selection process
- Grant administration and compliance monitoring procedures
- Citizen participation process

The development of this plan and subsequent implementation and compliance monitoring will be lead by the Dauphin County Office of Community and Economic Development.



DISASTER RELATED IMPACTS

FEDERALLY DECLARED DISASTERS AND IMPACTS

Late in the summer of 2011, successive storms, Hurricane Irene (disaster #4025) and Tropical Storm Lee (disaster #4030), produced near record rainfalls, widespread flooding, and significant damage to residences, businesses, and infrastructure across large areas of Pennsylvania, including Dauphin County. The damage was significant and widespread throughout many areas in the County. President Obama formally declared both Hurricane Irene and Tropical Storm Lee Federal Disasters on September 3 and 12, respectively. The President determines an event to be a federal disaster if "response is beyond the capabilities of the State and the affected local governments and that Federal assistance is necessary" (42 U.S.C. 5170). As a result, Dauphin County was declared a Federal Disaster Area on September 12 (FEMA Declaration Number: FEMA-4030-DR) and became eligible to receive funding through multiple public assistance programs, including the CDBG Disaster Recovery (CDBG-DR) Assistance Program, to address critical impacts and community needs resulting from Tropical Storm Lee and its aftermath.

Between September 4 and September 10, 2011, a significant, multi-day rainfall event, totaling over 13 inches of precipitation, produced the fourth-largest flood of record for the Mid-Atlantic region, causing many areas of Dauphin County to approach or exceed flood records set by Hurricane Agnes in June 1972 (<http://www.ncdc.noaa.gov/stormevents/eventdetails.jsp?id=348413>). This heavy rainfall and resultant flooding along the Swatara Creek, Loyalsock Creek, and many parts of the main stem of the Susquehanna River ultimately were the cause of several deaths and severe property and infrastructure damage, resulting in the loss of homes, businesses and the reduced or eliminated functionality of critically important systems. As reported by the National Climatic Data Center,

The five-day storm rainfall totals for September 5 to 9 were generally in the 5-8 inch range over the mid-section of central Pennsylvania and in the 8-12 inch range in the Susquehanna Valley region. There were local amounts reported in excess of 15 inches east of the Susquehanna River. The local climate sites in Harrisburg (KMDT) and Williamsport (KIPT) reported 13.44 and 9.03 inches respectively. On September 7, 2011 both KMDT and KIPT set their all-time daily (24-hour) rainfall for the month of September at 7.71 and 6.76 inches respectively. These sites later went on to break the all-time monthly (September) and annual precipitation records, making 2011 the wettest year on record.– (<http://www.ncdc.noaa.gov/stormevents/eventdetails.jsp?id=348413>)



GENERAL PRIORITY NEEDS ANALYSIS AND STRATEGY

Dauphin County's general strategy and priorities for evaluating and responding to the most critical and immediate disaster related needs are based on the analysis of post disaster impacts and conditions as described in the Needs Assessment of this plan. While a comprehensive Needs Assessment to fully identify and strategically address the most critical countywide disaster-related impacts will be an ongoing effort, this initial assessment was based upon careful analysis of both quantitative and qualitative information to best determine areas and projects of greatest need. This effort included coordination with federal, state, and local agencies and officials, review and analysis of data from many sources including HUD, the Federal Emergency Management Agency (FEMA), the Pennsylvania Emergency Management Agency (PEMA), the Dauphin County Emergency Management Agency (DEMA), the Small Business Association (SBA), the National Flood Insurance Program (NFIP), and the National Climatic Data Center, as well as public input obtained through community outreach and public hearings. This Action Plan is a result of a logical progression from the initial impact and needs assessment to a determination of the County's priorities based on those needs.

Preliminary analysis indicates severe unmet needs in the core categories of housing, economic development, and public infrastructure. Data provided by HUD, and validated by Dauphin County's Emergency Management Agency, has identified extensive unmet need in Dauphin County, including over 200 severely damaged homes with severe unmet housing needs in excess of \$8 million, and nearly \$3 million in severe unmet business needs. The damage to properties was widespread throughout Dauphin County. The National Climatic Data Center reports over \$150 million in property damage including 3,348 affected structures of which 295 were destroyed, 1,040 received major damage, 1,273 received minor damage and 740 were adversely affected in some other way. Additional impacts affecting the stability and health of the County include over 350 acres of damaged crops placing local farmers and the regional economy at risk and considerable damage to local infrastructure and facilities resulting in failures in the delivery of essential services.

While a combination of disaster assistance funding has been applied for and received by many home and business owners, there remains a considerable number who either applied for assistance and have not received it or have been unable to apply for and receive alternate assistance due to timing or practical constraints. Due to this widespread damage and resulting unmet need, Dauphin County will prioritize the key categories of housing, economic development, infrastructure and planning for assistance through its CDBG-DR funding programs. The County will initiate a competitive process to include the request for submission of applications by impacted parties with subsequent analysis, review and approvals based on eligibility and predetermined evaluation criteria. Through this method, Dauphin County will ensure that the limited funds are spent in a manner that will address the most critical impacts.

INITIAL GENERAL PRIORITIES

Through this process, Dauphin County determined its funding priorities as follows:

- **Housing Rehabilitation:** Ensure safe and adequate housing for those directly affected by the disaster through the rehabilitation of existing residential units. By helping to provide quality housing, one of life's basic necessities, Dauphin County will take the first critical step in stabilizing communities and striving toward full recovery.



- **Economic Development:** Provide aid for affected businesses to promote economic recovery, growth, and job retention/creation through commercial business renovation grants and revolving loan programs. Dauphin County will aid recovering businesses in their effort to continue operating and contributing key services, amenities, and jobs to local communities.
- **Public Infrastructure:** The CDBG-DR program will be utilized in Dauphin County to meet priority community needs, including support for infrastructure repairs and improvements and the provision of public services. Improvements to water, sewer, and electrical infrastructure have been identified as a priority need for many municipalities in the County. Public infrastructure maintains healthy living standards and the necessary support for housing and economic development. Funds will be used for improvements to public infrastructure thus enhancing community safety and wellness while encouraging the growth of jobs and supporting adequate housing in Dauphin County. To this end, Dauphin County will pursue measures to address current critical needs and proactively seek future resiliency through investment in infrastructure to both prevent and mitigate future flood damage and to enhance the preparedness of flood-prone areas. Example projects that may be funded through this program include but are not limited to:
 - Wastewater System and Drainage Improvements
 - Infrastructure and Road Improvements
 - Relocation and Protection of Key Facilities
- **Planning:** Dauphin County will support local and regional planning efforts designed to address the community and economic impacts of Tropical Storm Lee as well as initiatives to enhance resiliency against future disaster events.

SHORT-TERM PLANNING

Short-Term Plan

To address immediate disaster related safety and health needs of its communities, Dauphin County will:

- Establish a central source of information and advice for home owners, businesses and residents affected by the disaster
- Coordinate with other planning entities to better create a comprehensive disaster response strategy
- Address the most immediate and critical needs of displaced and/or relocated residents and home and business owners
- Assess the potential for and benefit of an expedited building permit process to hasten recovery efforts
- Implement extensive community outreach and input gathering to provide information regarding available funds, determine the most effective use of recovery funds, and provide guidance and technical assistance to recipients.



LONG-TERM PLANNING

Long-Term Plan

Dauphin County will promote sound, sustainable long-term recovery planning informed by post-disaster evaluation of hazard risk, especially land use decisions that reflect responsible flood plain management and will:

- Reestablish and secure the stability and vitality of communities affected by the disaster through rehabilitation and construction of housing, repair of infrastructure, and support for affected businesses. By focusing on these three fundamental components, Dauphin County will work toward a healthy and resilient community through construction and repair of safe and adequate housing, retention and attraction of local businesses and key economic drivers, and provision of robust and reliable public infrastructure.
- Participate in collaborative, regional planning efforts to facilitate a comprehensive recovery. Through coordinated efforts with public and private agencies, groups, and associations, Dauphin County will position itself to more quickly and efficiently address the impacts of this disaster and also to become more proactive in preparing for any future storm events. Open communication and collaborative strategic planning will allow the County to maximize the public benefit of available funding and resources through a comprehensive, countywide assessment of capacity and need. When working as intended, this process will allow each dollar to be allocated where it will most effectively result in improved conditions for existing impacted residents and businesses while also enhancing the current and future health, safety, and security of the entire County.
- Implement initiatives aiming to enhance countywide stormwater resiliency and provide for long-term stormwater management and flood control measures to protect against and mitigate future events. This will include but not be limited to the repair and construction of improved infrastructure systems to better withstand storm events, potential relocation of key facilities to non-flood-prone areas, encouragement of high-quality flood resistant construction, and the provision of resources to educate citizens and businesses on ways to proactively prepare for future disasters.



NEEDS ASSESSMENT

Small Business Association			
Property Type	Sum of Apps Received	Sum of Apps Approved	Sum of Amount Approved
Business	48	15	\$1,896,500
Other	4	0	\$0
Residential (Owner Occupied)	663	298	\$9,236,800
Residential (Rental)	93	16	\$241,300
Grand Total	808	329	\$11,374,600

Source: Small Business Association

National Climatic Data Center	
3,348 Affected Structures	\$150,000,000 in Property Damages
295 Destroyed Buildings	
1,040 Buildings with Major Damage	
1,273 Buildings with Minor Damage	
368 Acres (\$700,000) of Crops Damaged	

Source: National Climatic Data Center

HUD				
Severely Damaged Homes	Severely Damaged Businesses	Severe Housing Unmet Needs	Severe Business Unmet Needs	Total Unmet Needs
211	19	\$8,886,231	\$2,906,177	\$11,792,408

Source: HUD



HOUSING

The housing stock of Dauphin County received some of the most widespread and severe damage from Tropical Storm Lee. It is estimated that over 200 homes in the County sustained severe damage as a direct result of the federal disaster, with many more damaged to a less, but still considerable, degree. Of the homeowners with damaged structures, 756 individual applications were submitted to the SBA for assistance, and 314 were approved for a total of \$9,478,100. As a result, 442 residential units were not approved for funding through the SBA and remain in need of assistance to rehabilitate the structure and allow families to move back home, resume their daily lives, and take a critical step toward full recovery. To further illustrate Dauphin County's significant need for housing assistance, PEMA has initiated a buyout program to purchase homes damaged by the disaster from affected owners. To date, PEMA has approved 72 homes for buyout within Dauphin County and anticipates a forthcoming second round of buyouts to help meet the need of homeowners with significant property damage. In total, Dauphin County estimates an unmet housing need of **\$8,886,231**.

Throughout the administration of this program, Dauphin County will continually seek new information and data to better understand the full scale of damage to homes in the County and expects to update the total unmet need as information becomes available. To this end, the Dauphin County Emergency Management Agency (DEMA) has conducted both a windshield and door-to-door assessment to provide a more nuanced understanding of housing damage. The preliminary results of DEMA's assessment support the HUD unmet need calculations.

Through a competitive process, established threshold factors, and management practices outlined by the County's existing housing rehabilitation program, Dauphin County will distribute funding to fill the gaps left by other assistance programs and through this coordinated effort will expedite the critically important goal of moving affected families back into their homes.

ECONOMIC DEVELOPMENT/BUSINESSES

As a result of Tropical Storm Lee, numerous Dauphin County businesses were threatened with temporary or permanent closure or relocation. Providing assistance to businesses damaged by Tropical Storm Lee is a fundamental component of Dauphin County's recovery strategy. It is estimated that approximately 19 businesses in the County sustained severe damage as a direct result of the disaster, with many more damaged to a less, but still considerable, degree. Many of these businesses were unable to continue operating due to building and infrastructure damage and the loss of utility services. Assistance to aid these businesses in remaining open will ultimately provide stability through job retention, provision of amenities and services for residents, and future tax contributions. Conversely, the loss of these businesses could have widespread and extensive effects on the health of communities, including the loss of jobs, amenities, services, tax base, and tourism/visitation revenue, placing communities at risk for the future. While the full extent of these and other collateral damages is difficult to determine, it is clear that many communities in Dauphin County are in need of support to aid businesses struggling to recovery from Tropical Storm Lee and its aftermath.

Of the damaged businesses, 48 individual applications were submitted to the SBA for assistance, and only 15 were approved for a total of \$1,896,500. As a result, 33 businesses, individually and collectively a substantial contribution to local economic strength, were not approved for funding through the SBA and remain in need of assistance. In addition, the National Climatic Data Center reports that Dauphin County sustained over 350 acres of crop damage with over \$700,000 in impacts. HUD reports an unmet



need of \$2,906,177 in unmet business needs; however, through its ongoing needs assessment Dauphin County expects to gain a more comprehensive understanding of the full extent of the damage sustained by local businesses and may adjust the unmet need figure as additional information becomes available.

INFRASTRUCTURE

The severe storms and flooding brought on by Tropical Storm Lee have caused significant damage to the infrastructure systems and key public facilities of many Dauphin County municipalities resulting in the creation of severe hardships, inefficiencies, and decreased performance and operating capacities. This damage to local roads, bridges, drainage systems, utility infrastructure, and other systems places an acute health risk on local homes and businesses. Dauphin County is committed to addressing these needs and securing the health and stability of local communities and economies by helping municipalities to provide the essential services needed to attract and retain businesses and residents.

Through a competitive process, the County will request the submission of applications for funding to address the critical municipal infrastructure needs directly resulting from the federally declared disaster. While many individual needs have been identified, the extent of the damage to each municipality has not been fully documented and will require ongoing investigation and continuing development of the comprehensive needs assessment. As such, part of Dauphin County's outreach strategy will include providing opportunities for municipalities to discuss their individual needs and potential projects with County officials prior to submitting formal applications for funding (see the Citizen Participation component and Allocation Methodology sections of this plan for more detail).

Due to limited funding availability, the significant costs associated with infrastructure repair and improvement projects, and a need to maximize the effectiveness of each program, Dauphin County has identified the leveraging of additional funding sources for infrastructure projects as a priority for this funding allocation. Coordination with existing FEMA assistance provides one such opportunity to leverage CDBG-DR funds to accomplish large-scale infrastructure improvements. FEMA currently aids communities' recovery through its Public Assistance Program which pays a portion of costs resulting from disaster related infrastructure damage. Through this program, approved recipients are reimbursed for not less than 75% of the cost of approved repairs to public infrastructure, including roads, bridges, and public facilities, and the Commonwealth and local government are each responsible for funding the remaining costs. Depending on the severity of damage and size of the project, many municipalities affected by the disaster may find it extremely difficult, or impossible, to fund the remaining project costs. To provide assistance for these communities, Dauphin County will make funding available through the CDBG-DR application process to offset these match requirements to ensure completion of necessary and critical infrastructure projects.

Through this program, the County aims to also fulfill a need to help communities achieve a state of increased resiliency against future storms through greater stormwater management practices, flood mitigation measures, utility and infrastructure improvements, and other projects designed to enhance preparedness for potential future disasters.

FEDERAL, STATE, AND OTHER DISASTER ASSISTANCE

Through its ongoing program-wide needs assessment, project evaluation criteria, threshold factors, and project-specific duplication of benefit analysis, Dauphin County will work to maximize the positive recovery outcomes and community benefits of the CDBG-DR funds by ensuring that funding is allocated



in a coordinated manor with other related federal, state, and local disaster assistance. To this end, Dauphin County will determine eligible projects as those not fully funded through alternate federal, state, local, private, and nonprofit sources. In the event that a project is receiving funding through alternate means, but has not received funding greater than that needed to address their particular disaster-related impact, the County's coordinated funding effort will allow the CDBG-DR program to supplement other funding, as necessary, to result in the most effective and comprehensive disaster recovery strategy for the County. As such, program designs and priorities have been developed and implemented in coordination with all additional disaster recovery assistance to eliminate duplication of benefit, leverage alternate funding sources, and realize the greatest community benefit and ultimate countywide recovery.

ONGOING DAMAGE AND NEEDS ASSESSMENT

This Action Plan was developed through the review and incorporation of the best available data for Dauphin County's disaster impacts and needs. The above information, including data from HUD, FEMA, PEMA, DEMA, and SBA, combined with local qualitative and quantitative input, allowed this plan to position the County to address the most immediate and prevalent needs associated with the disaster. However, a comprehensive understanding of the full scope of housing, business, infrastructure, and economic needs is an ongoing effort that will be continually undertaken by Dauphin County officials.

The results of this continued investigation will be incorporated into any future additions and/or amendments to this plan. In particular, at the time of the development of this plan, Dauphin County was unable to access important data from FEMA due to a privacy law that does not permit data to be provided directly to counties at this time. Dauphin County is working with FEMA and the Commonwealth of Pennsylvania to request access to this information. Once received, this and any other additional information and data will be used to further refine the needs assessment to ensure that the most critical and immediate needs are identified throughout the County.



PROJECTED USE OF FUNDS

Use of Funds	Allocation
Housing Activities	
Housing Rehabilitation	\$2,000,000
Revolving Loan Program	\$1,000,000 ¹
Economic Development	
Business Assistance	\$1,179,250
Revolving Loan Program	\$1,000,000 ¹
Public Infrastructure	
Municipal Projects	\$1,595,083
Planning	\$320,750
Administration	\$320,750
Total	\$6,415,833

ALLOCATION METHODOLOGY

Dauphin County's preliminary analysis indicates severe unmet needs in the core categories of housing, economic development, and public infrastructure. As the unmet needs in the County are diverse, widespread, and far exceed the available funding, a competitive process will be utilized to prioritize and address the most critical countywide needs. Dauphin County will determine final funding allocations through a combination of ongoing community outreach, continued evaluation of damage and need, and the quantity and content of submitted applications. The initial program allocations illustrated in the above table, were determined through coordination with federal, state and local agencies and careful analysis of quantitative and qualitative data. Dauphin County's CDBG-DR funding will be targeted geographically on a county-wide basis and it is expected that through the submission and evaluation of applications, the funds will benefit geographic areas throughout the County. See individual program descriptions in the following section for more details on these initial program allocations.

Prior to evaluating project submissions, Dauphin County, with support from Delta Development Group, Inc. (Delta) and Community Networking Resources, developed a set of threshold and evaluation criteria to aid in the prioritization and selection of projects that address the most critical and unmet needs resulting from the federally declared disaster and to provide the most positive, countywide impact.

Awards for Housing Rehabilitation will be based upon threshold factors and identified prioritization criteria to determine how best to allocate the limited funds (see program details below).

¹ The Revolving Loan Program (\$1,000,000) will be a shared resource between Housing Activities and Economic Development-related Business Assistance.



Awards for Infrastructure projects and business assistance will be based upon threshold factors and scoring criteria as attached in Exhibit A, which includes but is not limited to project eligibility under CDBG and HUD requirements, emphasis on direct connections to the disaster, impact on community health, safety and quality of life, project feasibility and sustainability, cross-cutting benefits, long-term resiliency, project timing, population served, and the potential for economic development and growth.

Allocations for competitive funding have been divided into the following broad categories: Housing Rehabilitation, Economic Development, Public Infrastructure, and Planning. Allocations into the above categories are based upon unmet needs identified in each category.



PROGRAM/ACTIVITY DETAILS

HOUSING REHABILITATION

HOUSING ACTIVITIES

As discussed in the Needs Assessment and Allocation Methodology sections of this plan, a significant number of Dauphin County homes sustained damage as a direct result of the federally declared disaster. While many of these damaged properties have received or will receive funding through alternate means, there remains a significant unmet need for housing rehabilitation assistance totaling \$8,886,231. As such, Dauphin County's CDBG-DR Housing Rehabilitation activities will constitute the largest single allocation for competitive funding. Dauphin County will initially allocate \$2,000,000 to commence housing rehabilitation efforts for the purpose of renovating and repairing damage to existing residential housing to help ensure adequate and safe housing for residents affected or displaced by flooding and related disaster impacts.

To ensure that a minimum of 50% of total County funds are allocated to benefit low- and moderate-income residents of Dauphin County (as defined by HUD), this program will prioritize applications received by low- and moderate-income homeowners once the applicants have first been verified to meet all threshold factors (see below for more detail).

PROGRAM ALLOCATION: \$2,000,000

CDBG ELIGIBILITY: Rehabilitation of Residential Structures

NATIONAL OBJECTIVE: Low and Moderate Income and/or Urgent Need. The specific national objective to be fulfilled through this program may be project specific. As mentioned above, priority will be given to low- and moderate-income residents; however, as a competitive and open process, the circumstances of each applicant will ultimately determine if the LMI or Urgent Need objective is satisfied.

NEEDS ASSESSMENT:

- 211 severely damaged with an unmet need of \$8,886,231
- 756 applications for SBA assistance with 314 approved and 442 unmet

LONG-TERM RECOVERY:

The provision of adequate and safe housing for displaced and affected residents is a key component of Dauphin County's long-term recovery strategy. By addressing immediate needs in the short term, such as encouraging high-quality construction while addressing the urgent and necessary need for housing for affected residents, Dauphin County will re-establish the stability of communities for the long term. When residents are able to move back into damaged neighborhoods, spillover benefits to local economies and related synergies will result, thus positioning the County for long-term health and vitality. In addition, as short-term, immediate impacts are addressed, the County will be able to allocate time and resources to provisions to help create future resiliency, with a focus on long-term safety and stability.



THRESHOLD FACTORS:

- Project must occur in Dauphin County
- Project must clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster
- Project must be CDBG eligible
- Project must meet one of three national objectives
- Project applicant must have evidence of site control
- Project must have an identified need that has not been met through FEMA, SBA, insurance, or other funding sources

GRANT SIZE LIMITS: Individual Housing Rehabilitation grants will be limited to \$20,000 per applicant

RESPONSIBLE ENTITY: Dauphin County

SPECIFIC ACTIVITIES AND CRITERIA FOR SELECTION:

- Priority will be given to homeowners who qualify as extremely low or low income (below 50% area median income)
- Subsequent priority will be given to homeowners who qualify as moderate income (below 80% area median income)
- Additional priority will be given to the following in descending order:
 - Homes in the 100-year floodplain
 - Homes in the 300-year floodplain
 - Homes in the 500-year floodplain

PERFORMANCE GOAL: 100 Rehabilitated Housing Units over 3-5 years

ECONOMIC DEVELOPMENT

BUSINESS ASSISTANCE

Dauphin County will utilize CDBG-DR funding to renovate commercial business sites within the County that were directly damaged by Tropical Storm Lee to bring them in line with building and safety codes, aid in returning them to full operating capacity, and generally promote job creation and retention throughout the County. While some of these damaged businesses have received or will receive funding through alternate means, there remains an unmet need for business assistance funding to expedite and ensure a full economic recovery for Dauphin County communities. To address the unmet business need of \$2,906,177, an initial allocation of \$1,079,250 will be utilized for Business Assistance activities for the purpose of renovating and repairing damage to affected businesses to aid in resuming regular operations and thereby helping to create and retain jobs and provide key community services and amenities.

To ensure that a minimum of 50% of total County funds are allocated so that they benefit low- and moderate-income residents of Dauphin County, this program will prioritize applications received by low- and moderate-income business owners once these applicants have first been verified to meet all threshold factors (see below for more detail).



PROGRAM ALLOCATION: \$1,079,250

CDBG ELIGIBILITY: Rehabilitation of nonresidential structures and assistance to profit motivated businesses for economic development and job creation/retention.

NATIONAL OBJECTIVE: LMI and/or Urgent Need. This specific national objective to be fulfilled may be project specific. As mentioned above, priority will be given to low- and moderate-income residents; however, as a competitive and open process, the circumstances of each applicant will ultimately determine if the LMI or Urgent Need objective is satisfied.

NEEDS ASSESSMENT:

- 19 severely damaged with an unmet need of \$2,906,177
- 48 applications for SBA assistance with 15 approved and 33 unmet

LONG-TERM RECOVERY:

Providing assistance to damaged businesses is a critical component of both short- and long-term recovery strategies. As with housing, by addressing immediate needs in the short term, such as encouraging high-quality construction when meeting the urgent and necessary need of local business owners, Dauphin County will re-establish the stability of communities for the long term. Dauphin County will provide municipalities with CDBG-DR funds to ensure local economies continue to thrive through the retention of employment providers, provision of amenities for residents, and continued tax income to fund public services. In addition, as short-term, immediate impacts are addressed, the County will be able to allocate time and resources to provisions to help create future resiliency with a focus on long-term safety and stability.

THRESHOLD FACTORS:

- Project must occur in Dauphin County
- Project must clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster
- Project must be CDBG eligible
- Project must meet one of three national objectives
- Project applicant must have evidence of site control
- Project must have an identified need that has not been met through FEMA, SBA, insurance, or other funding sources.

GRANT SIZE LIMITS: Individual Business Assistance grants will be determined by the number of applicants and the extent of damages. It is anticipated that a limit of between \$25,000 and \$50,000 per applicant will be imposed.

RESPONSIBLE ENTITY: Dauphin County

SPECIFIC ACTIVITIES AND CRITERIA FOR SELECTION:

- Priority will be given to business owners who qualify as extremely low or low income (below 50% area median income)
- Subsequent priority will be given to business owners who qualify as moderate income (below 80% area median income)



- Priority will also be given to the following in descending order:
 - Businesses in the 100-year floodplain
 - Businesses in the 300-year floodplain
 - Businesses in the 500-year floodplain
- Additional priority will be given based upon the results of each project's scoring per the attached Evaluation Criteria (see Exhibit A).

PERFORMANCE GOAL: Rehabilitation of 10-20 businesses

COMMERCIAL AND RESIDENTIAL REVOLVING LOAN PROGRAM

Dauphin County aims to provide local businesses and homeowners with the necessary recovery funding to facilitate continued commercial operation or residential occupation in an effort to expedite economic recovery through job retention, support for existing contributors to local economies, and provision of safe and adequate housing for residents directly affected by Tropical Storm Lee. To complement the Housing Rehabilitation and Business Assistance components of this plan, the Commercial and Residential Revolving Loan Program will seek to further address the unmet housing need (\$8,886,231) and unmet business need (\$2,906,177) across the County. To this end, an initial allocation of \$1,000,000 will be available for commercial and residential loans to further address critical needs for housing and business repairs resulting from Tropical Storm Lee.

PROGRAM ALLOCATION: \$1,000,000

CDBG ELIGIBILITY: Rehabilitation of residential and nonresidential structures and assistance to profit motivated businesses for economic development and job creation/retention.

NATIONAL OBJECTIVE: LMI and/or Urgent Need. The specific national objective to be fulfilled through this program may be project specific. In most instances, those applicants unable to meet the income limits for priority consideration for either the Housing Rehabilitation or Business Assistance programs will be encouraged to apply for a loan through this program. As such, in most cases, it is anticipated that this program will fulfill a national objective by addressing urgent needs resulting from Tropical Storm Lee. However, as a competitive and open process, the circumstances of each applicant will ultimately determine if the LMI or Urgent Need objective is satisfied.

NEEDS ASSESSMENT:

- Housing: 211 severely damaged with an unmet need of \$8,886,231
- Housing: 756 applications for SBA assistance with 314 approved and 442 unmet
- Business: 19 severely damaged with an unmet need of \$2,906,177
- Business: 48 applications for SBA assistance with 15 approved and 33 unmet

LONG-TERM RECOVERY: This program shares long-term recovery goals and strategies with the Housing Rehabilitation and Business Assistance programs.

THRESHOLD FACTORS:

- Project must occur in Dauphin County
- Project must clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster
- Project must be CDBG eligible



- Project must meet one of three national objectives
- Project applicant must have evidence of site control
- Project must have an identified need that has not been met through FEMA, SBA, insurance, or other funding sources

GRANT SIZE LIMITS: Individual loan size limits will be determined by the number of applicants and extent of damages. It is anticipated that a limit of between \$25,000 and \$50,000 per applicant will be imposed.

RESPONSIBLE ENTITY: Dauphin County

SPECIFIC ACTIVITIES AND CRITERIA FOR SELECTION:

- Priority will be given to both commercial and residential applicants who do not meet the income criteria for priority consideration for the Housing Rehabilitation or Business Assistance grants.

PERFORMANCE GOAL: 25 rehabilitated homes and 5-10 rehabilitated businesses

PUBLIC INFRASTRUCTURE

MUNICIPAL GOVERNMENT INFRASTRUCTURE INITIATIVES

As discussed in the Needs Assessment and Allocation Methodology sections of this plan, the full extent of damage to municipal and County infrastructure and facilities is not currently known; however, the need for assistance in some municipalities is clear. Due to this unmet need and the large cost burden associated with infrastructure projects, the second-largest single initial allocation of Dauphin County CDBG-DR funds, \$1,579,250, will be available on a competitive basis to assist in the completion of these essential service-providing projects. This funding will provide Dauphin County municipalities with support for local infrastructure projects to repair and bolster existing systems damaged by Tropical Storm Lee and to strengthen resiliency against future storm and disaster events.

PROGRAM ALLOCATION: \$1,579,250

CDBG ELIGIBILITY: Construction of Public Facilities and Improvements

NATIONAL OBJECTIVE: LMI and/or Urgent Need. The specific national objective to be fulfilled through this program may be project specific. As infrastructure has widespread benefits, the community to benefit from each individual project will help determine the national objective. In many cases, populations to be served by necessary infrastructure improvements will meet the LMI criteria and will thus address that objective. In other cases, however, damage to public infrastructure causing the loss or decreased performance of critical and necessary services to local homes and businesses has created an urgent need. In these cases, when not fulfilling the LMI objective, a determination of fulfillment of the urgent need national objective will be applied. Ultimately, as a competitive and open process, the circumstances of each applicant will ultimately determine if the LMI or Urgent Need objective is satisfied.

NEEDS ASSESSMENT:

The severe storms and flooding brought on by Tropical Storm Lee have resulted in damages to many municipalities' infrastructure systems and key public facilities. As identified in the Needs Assessment



portion of this plan, there is a need to provide funding to address these critical impacts through both support with matching fund requirements for other public assistance and through more extensive funding of municipal infrastructure projects.

LONG-TERM RECOVERY:

Funding for municipal infrastructure projects will address both immediate and long-term recovery objectives through the provision of critical and necessary services to residents and businesses. The importance of these services cannot be overstated for the health and stability of communities throughout the County. Without public services, residents and businesses cannot survive, let alone thrive, and the long-term future of economies and communities will be placed in jeopardy. Dauphin County will address immediate needs of municipalities by funding essential infrastructure projects to provide a framework to allow for growth in local economies and confidence in the future safety of local communities.

THRESHOLD FACTORS:

- Project must occur in Dauphin County
- Project must clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster
- Project must be CDBG eligible
- Project must meet one of three national objectives
- Project applicant must have evidence of site control
- Project must have an identified need that has not been met through FEMA, SBA, insurance, or other funding sources

GRANT SIZE LIMITS: Due to the scale and cost of infrastructure improvements, Dauphin County will not impose a grant size limit for municipal infrastructure projects.

RESPONSIBLE ENTITY: Dauphin County

SPECIFIC ACTIVITIES AND CRITERIA FOR SELECTION:

- Priority will be given to projects seeking to leverage additional funding through the use of CDBG-DR funds as match.
- Priority projects will then be determined based on a combination of the needs assessment, threshold criteria, and evaluation criteria scoring (see Exhibit A).

PERFORMANCE GOAL: Completion of 5 large infrastructure projects

PLANNING

Dauphin County will support local and regional planning efforts designed to address the community and economic impacts of Tropical Storm Lee as well as initiatives to enhance future resiliency against disaster events. Due to the extensive and widespread damage resulting from Tropical Storm Lee, it is clear that strategic planning and proactive initiatives could pay considerable dividends for the future security, stability, and resiliency of Dauphin County municipalities. As such, the County is making \$320,750 available in competitive grants related to planning activities that will address a need resulting from the federally declared disaster or will aid in future resiliency and safety. While it is permissible to allocate up to 15% of total funds for planning exercises, the immediate need for funding to address



rehabilitation and physical improvements to real property and infrastructure must be prioritized and as such Dauphin County has elected to allocate only 5% of its total funds for planning purposes at this time.

PROGRAM ALLOCATION: 5% of Total = \$320,750

CDBG ELIGIBILITY: Planning

NATIONAL OBJECTIVE: LMI and/or Urgent Need

LONG-TERM RECOVERY:

Dauphin County will encourage coordinated planning initiatives involving multiple municipalities, organizations, and stakeholders to aid in crafting forward-thinking, comprehensive strategies for disaster preparedness and recovery. Through planning, communities will have the opportunity to carefully assess existing conditions, including infrastructure, facilities, opportunities for enhancement, threats to public safety, and community stability among others, and will be better positioned to respond to existing needs and future events and circumstances.

THRESHOLD FACTORS:

- Project must occur in Dauphin County
- Project must clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster
- Project must be CDBG eligible
- Project must meet one of three national objectives
- Project applicant must have evidence of site control
- Project must have an identified need that has not been met through FEMA, SBA, insurance, or other funding sources

GRANT SIZE LIMITS: Due to the variable scale and cost of planning projects, Dauphin County will not impose a grant size limit on this program.

RESPONSIBLE ENTITY: Dauphin County

SPECIFIC ACTIVITIES AND CRITERIA FOR SELECTION:

- Priority projects will be multi-municipal, coordinated planning initiatives
- Priority projects will be designed to further assess and mitigate direct impacts from Tropical Storm Lee
- Priority projects will seek to create greater long-term resiliency for the study/plan area

PERFORMANCE GOAL: No performance goal has been set for planning projects and *will be determined* as applications are received.

ADMINISTRATION

Dauphin County will allocate 5% of its total CDBG-DR funding to support the administration of the program and associated costs.

- Estimated Allocation: 5% = \$320,750



MONITORING AND QUALITY ASSURANCE

GENERAL COMPLIANCE

Dauphin County will ensure that all activities and projects will be conducted in compliance with all applicable CDBG rules and regulations, as well as other applicable federal regulations. Dauphin County will actively perform steps to mitigate fraud, abuse, and mismanagement including establishing internal controls to continuously monitor all funded projects and activities, as described. Dauphin County will ensure that all funds are used for eligible purposes of the program for which they have been provided. Dauphin County will also act as a central source of information and will provide technical guidance and assistance to funding recipients to effectively track project progress and ensure compliance with all program and federal requirements. Through performance and expenditure schedules, as detailed in this plan, Dauphin County will verify that each project is monitored and carried out in a timely manner.

Dauphin County's independent auditors will monitor activities for program and financial compliance. Dauphin County reserves the right to take appropriate action in instances of noncompliance, fraud, and mismanagement including, but not limited to, disallowing ineligible costs, terminating contracts/agreements, and requiring repayment of funds. Per program requirements, Dauphin County will submit reports to HUD through the DRGR system on a quarterly basis and no later than 30 days following each calendar quarter. Dauphin County will post each quarterly report on its website for review by the public within three days of submission to HUD.

COORDINATION WITH RELATED FUNDING SOURCES AND DUPLICATION OF BENEFITS POLICY

The Stafford Act directs administrators of federal assistance to ensure that no "person, business concern or other entity" will receive duplicative assistance and imposes liability "to the extent such assistance duplicates benefits available to the person for the same purpose from another source" (42 U.S.C. 5155(a) and (c)). According to regulation, when a beneficiary receiving funding assistance under the CDBG-DR program also receives assistance from additional sources and the cumulative amount received exceeds the total need for their particular recovery purpose, a duplication has occurred. The amount of this duplication is calculated as the amount received in excess of their need.

Dauphin County will complete a duplication of benefit analysis for each project that submits an application and requests funding under the CDBG-DR program. This analysis will include a careful review of all available data from federal, state, and local assistance sources, as well as a project-specific inquiry relating to particular need and any previous received assistance. This process will involve the following components:

- **Assessment of Total Need:** Dauphin County will assess on an individual project basis, the total need as related to disaster impacts. This need may be determined by a project's rebuilding cost estimate, as applicable, or may be identified using other means.
- **Determination of Available Funding:** Dauphin County will, on an individual project basis, determine the amount of available and received funding under alternate assistance programs, including FEMA, PEMA, SBA, insurance proceeds, and other federal, state, and local programs, to determine what, if any, remaining assistance is needed to address disaster impacts and prevent duplication of benefit.
- **Determination of Potential Funding under CDBG-DR:** Following the above assessments, Dauphin County will subtract received and eligible funding through alternate means from a



project's total need to arrive at a potential funding amount available under the CDBG-DR program.

- Application of Any Program-Specific Funding Caps (If Applicable)
- Determination of Final Award under CDBG-DR: Working in concert with additional criteria developed under this plan, Dauphin County will determine final award amounts based on a combination of determined priorities, project eligibility and evaluation, and determination of available funding as determined during the above process.

By so doing, the County will determine any previous or additional funding each project has received and will ensure that no person, business, or other entity receives duplicative assistance by confirming that they did not receive funding in excess of their particular need.

As the Stafford Act requires that projects determined to have received duplicative benefits must reimburse the grantee in an amount equal to all subsequently received duplicative funding, including FEMA, SBA and others, Dauphin County will work with responsible agencies to recover any such duplicative funds as determined. The above determination of any duplicative benefits and necessary reimbursement is determined in part by the federal hierarchy of delivery, as set forth by 44 CFR 206.191, which determines the order in which beneficiaries should receive federal assistance. This *recapture of funds* will be consistent with OMB Circular A-87 (2 CFR part 225) or other applicable cost principles, any relevant guidance or handbook issued by the HUD Office of the Inspector General, and the Stafford Act, which requires that duplicative assistance shall be collected in accordance with chapter 37 of title 31, relating to debt collection.

Internal controls have been designed to ensure adequate segregation of duties. The Redevelopment Authority of the County of Dauphin prepares agreements for non-housing activities supported by CDBG. The Redevelopment Authority of the County of Dauphin Accounting Department establishes accounts, in cooperation with the Dauphin County Office of Community and Economic Development. Invoices are monitored for compliance with the approved spending plan and federal regulations. The Dauphin County Department of Community and Economic Development administers the County's Disaster Recovery Grant Reporting (DRGR) System. The Dauphin County Department of Community and Economic Development is also primarily responsible for setting up and administering activities.

Where assistance is provided to homeowners for housing activities, Dauphin County uses written procedures in place for the Housing Rehabilitation Program. The Housing Authority rehabilitation staff develops cost estimates and specification packages that provide for any violations of local codes to be corrected. On-site inspections promote satisfactory completion before payment is made.

NECESSARY AND REASONABLE COSTS

A key component of Dauphin County's monitoring and Quality Assurance measures is assurance that all funded projects adhere to necessary and reasonable cost principles. According to 2 CFR part 225, "A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made." Dauphin County will follow these principles and fund only project costs that are deemed necessary and reasonable.



DOCUMENTATION

Dauphin County will require the submittal of project applications and required documentation for all activities receiving funding involving physical improvements or public services through the CDBG-DR program. All applications and associated documentation will be maintained by the Dauphin County Office of Community and Economic Development. Applications will require that documentation be provided that the project is needed as a result of the disaster. Applications submitted for housing rehabilitation will involve a housing inspection with a work write-up to be conducted by the Dauphin County Office of Community and Economic Development, which will be included with the application. The inspection will verify the claims and need described in the initial application. All improvements to be made will be documented and maintained with the project file. Projects will be reviewed and verified to be approved and signed off on by a Dauphin County representative.

PROGRAM CHANGES THROUGH CONTRACT AMENDMENTS AND CHANGE ORDERS

Contract amendments, modifications, or change orders that affect the budget, activities, beneficiaries, or time frame for accomplishing the proposed activities must be approved by the program administrator. Substantial amendments may be cause to review the entire application submitted to determine if the project is meeting its stated goals and its timelines.

REPORTING

All reporting requirements (e.g., annual audits, contractual obligations and minority business enterprise reports, quarterly DRGR reports, etc.) will be completed by the Dauphin County Office of Community and Economic Development.

CITIZEN COMPLAINTS

All sub-recipients will be required to establish procedures for responding to citizens' complaints regarding activities carried out utilizing CDBG-DR funds. Citizens will be provided with an appropriate address, phone number, and times during which they may submit such complaints. Sub-recipients will provide a written response to every citizen complaint within 30 calendar days of the complaint.

CONSTRUCTION STANDARDS

Dauphin County will require that all projects with construction components will need to have the appropriate permits and inspection in accordance with the Commonwealth of Pennsylvania's Building Code and Ordinances and/or local municipal building codes depending on which is applicable for each property location. All permits to be issued through the CDBG-DR program on properties affected during the flood event must provide a certification that the areas of the property that came in direct contact with flood waters were sanitized in accordance with industry standards regarding mold, mildew, and indoor air quality. Through its project selection process and criteria, Dauphin County encourages the utilization of cost-effective, durable, and energy-efficient materials, including insulation, replacement windows, insulated doors, and siding materials.

PERFORMANCE

As selected projects move through implementation and submit performance reports, Dauphin County will evaluate the need to create new programs and/or modify existing programs to create solutions to identified issues and build upon existing successes. This effort will work in conjuncture with the ongoing needs assessment and together will determine any adjustments, enhancements, or improvements to the overall program and its implementation. The current performance goals are as follows:



- **Housing Rehabilitation:** It is projected that the \$2,000,000 allocated to Housing Rehabilitation will be utilized to successfully complete the rehabilitation of 100 housing units over the next 3-5 years
- **Business Assistance:** It is projected that the \$1,079,250 allocated to Business Assistance will be utilized to successfully complete the rehabilitation of 10-20 businesses
- **Commercial and Residential Revolving Loan:** It is projected that the \$1,000,000 allocated to this program will be utilized to successfully complete the rehabilitation of 25 homes and 5-10 businesses.
- **Municipal Government Infrastructure Initiatives:** It is projected that the \$1,595,083 allocated to Infrastructure Projects will be utilized to successfully complete the construction of 5 large municipal infrastructure projects to provide residents and business owners with necessary services.
- **Planning:** It is anticipated that the \$320,750 allocated for Planning will be spent in a manner consistent with the quality and quantity of application submissions. As such, an exact performance schedule is not provided at this time.
- **Administration:** The \$320,750 allocated for Administration will be utilized to assist with the general costs of administering the program and will be spent proportionately throughout the life of the program.

BUILDING CAPACITY FOR IMPLEMENTATION AND COMPLIANCE

The Dauphin County Office of Community and Economic Development is prepared to provide technical and management assistance to the grant recipients upon request. The assistance will be provided in the form of training sessions and/or individual meetings specific to the CDBG-DR requirements. Guidance for general requirements will also be covered for those individuals and entities that have no CDBG experience. In addition, there will be staff available to provide day-to-day, ongoing technical assistance via e-mail, telephone, and on-site visits when necessary. For all competitive funding, staff will work with applicants to encourage partnering with experienced grant administrators for a successful collaboration and project delivery.

The Dauphin County staff has extensive experience in successfully managing the CDBG program and Home Investments Partnerships Program (HOME). At this point, given the depth of experience of the existing staff and the systems in place to track and measure CDBG-DR performance outcomes and compliance requirements, the Dauphin County staff can adequately ensure that the CDBG-DR program will be managed appropriately to be fully compliant.

HOUSING PROVISION AND DISPLACEMENT

The County will strongly encourage property owners and contractors who are providing substantial improvements to housing units to elevate housing above flood heights. This would include construction of adequate access to the unit. Where improvements are not substantial enough to justify raising the entire unit above flood stages, the County will encourage the use of construction techniques to protect or elevate critical systems in case of a flood. These systems include HVAC, water heaters, and electrical systems (breaker box).



Pennsylvania administers a Homeless Assistance Fund providing households with funds to avoid eviction. In Dauphin County the Homeless Assistance Funds are administered by HELP. HELP uses the funds to prevent eviction by providing rental assistance to help families with delinquent rent payments as well as security deposits.

The Pennsylvania Housing Finance Agency (PHFA) administers a Homeowners' Emergency Assistance Program (HEMAP). The HEMAP provides mortgage assistance payments to homeowners who are in danger of losing their homes through foreclosure and through no fault of their own and who have a reasonable prospect of resuming mortgage payments within the prescribed time frame. HEMAP Counseling Agencies in Dauphin County include CCS of Western PA, Community Action Commission of the Capitol Region, Loveship, Inc., PHFA, and the Urban League of Metropolitan Harrisburg.

Dauphin County administers an Assistance Office, which offers a variety of programs for low-income households. The Dauphin County Assistance Office operates from the Dauphin County Human Service Center, Inc., in Elizabethville, giving convenient access to services for residents in the northern portion of Dauphin County and as a complement to the services that are generally located in the southern portion of Dauphin County. Dauphin County also administers a Human Services Office that serves as the oversight, planning, and coordination agency all County human services departments, including the County Area Agency on Aging, the Department of Drugs and Alcohol Services, and the County Mental Health and Retardation Program. Coordination of shelter services for both homeless and persons at risk of homelessness provides the most efficient method of addressing homelessness. HELP serves as an intake point for area shelters, assessing and referring clients to the appropriate facility and services.

PROGRAM INCOME

Any and all income realized by the County as a result of a loan program or other program derived from CDBG-DR funding will be re-allocated to the purposes for which this plan has been developed. By doing so, the County will ensure that program income will aid in the continuing recovery process for Dauphin County communities, residents, and business owners and will enable greater reach and the maximization of potential benefit and assistance.



PLAN CLARITY AND CITIZEN PARTICIPATION

Dauphin County encourages and facilitates open citizen participation in the Disaster Recovery Action Plan development and process. Concerns expressed by citizens participating in planning process have been incorporated into this plan.

Notice of the preliminary plan for CDBG-DR funds is tentatively scheduled to be submitted to the local newspaper on July 3, with notice of a public hearing published on July 6. Following publication in the paper, Dauphin County will provide a press release about the program along with a "Frequently Asked Questions" document both to local media outlets and all appropriate municipalities in Dauphin County. This release of information is tentatively scheduled for the week of July 9. Following the press release and the necessary 7-day comment period, a public hearing will be held for all interested parties to address any questions or concerns with the plan. The public hearing is tentatively scheduled to occur at 11:00 a.m. on July 17 in the Commissioner's Hearing Room, 2 South 2nd Street, Harrisburg, PA 17101.

Following submission of the plan and all applicable approvals, Dauphin County will begin soliciting applications for all projects funded under the CDBG-DR program, with the exception of the Housing Rehabilitation portion of the plan, which will be administered similarly to the Housing Rehabilitation program already administered by Dauphin County.

The solicitation of the applications for Non-housing Rehabilitation projects is tentatively scheduled to start in September 2012. The tentative plan is to require the return of the completed applications by March 2013, with awards being issued in June 2013.

As stated above, the Housing Rehabilitation program will begin moving much more quickly, as Dauphin County already has a mechanism in place for distributing Housing Rehabilitation funds throughout the County. The County would continue utilizing the tools in place to expend the disaster recovery funds designated for Housing Rehabilitation until those funds are diminished.

Members of the public are invited to view the draft Action Plan prior to its submission during normal business hours of 7:30 a.m. to 4:00 p.m., Central Standard Time, Monday through Friday, at the Department of Community and Economic Development at 112 Market Street, 7th Floor, Harrisburg, PA 17101. The draft plan will also be available for review on Dauphin County's website. Written comments may be mailed to the following address: the Department of Community and Economic Development office at 112 Market Street, 7th Floor, Harrisburg, PA 17101. Electronic submission of public comments on this plan may be emailed to George Connor at gconnor@dauphinc.org. Following the public comment period, this Action Plan will be updated and submitted to HUD for approval.



SUBSTANTIAL AMENDMENT

If the need arises, this Action Plan will be amended in accordance with the Federal Register and all related HUD requirements. The following modifications will constitute a substantial amendment to this Action Plan:

- A change in program benefit or eligibility criteria
- The allocation or re-allocation of more than \$1 million
- The addition or deletion of an activity

Prior to submitting a substantial amendment, the County will work with its HUD representative to ensure the proposed change is consistent with the Federal Register and all other related HUD requirements.



CERTIFICATIONS

- A. The grantee certifies that it will affirmatively further fair housing, which means that it will conduct an analysis to identify impediments to fair housing choice within its jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting the analysis and actions in this regard. (See 24 CFR 570.487(b)(2).)
- B. The grantee certifies that it has in effect and is following a residential anti-displacement and relocation assistance plan in connection with any activity assisted with funding under the CDBG program.
- C. The grantee certifies that it is complying with requirements regarding drug-free workplace required by 24 CFR part 24, subpart F, together with the appropriate forms.
- D. The grantee certifies its compliance with restrictions on lobbying required by 24 CFR part 87, together with disclosure forms, if required by part 87.
- E. The grantee certifies that the Action Plan for Disaster Recovery is authorized under State and local law and that the grantee, and any entity or entities designated by the State, possess(es) the legal authority to carry out the program for which it is seeking funding, in accordance with applicable HUD regulations and this Notice.
- F. The grantee certifies that it will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR part 24, except where waivers or alternative requirements are provided for this grant.
- G. The grantee certifies that it will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u), and implementing regulations at 24 CFR part 135.
- H. The grantee certifies that it is following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105 or 91.115, as applicable (except as provided for in notices providing waivers and alternative requirements for this grant) and that each unit of local government that is receiving assistance from the grantee must follow a detailed citizen participation plan that satisfies the requirements of 24 CFR 570.486 (except as provided for in notices providing waivers and alternative requirements for this grant).
- I. The grantee certifies that it is complying with each of the following criteria:
 - Funds will be used solely for disaster relief, long-term recovery, and mitigation related to the Presidentially declared major disaster covering several counties in Pennsylvania, including Dauphin County declared major disasters, under title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 (42 U.S.C. 5121 et seq.)
 - With respect to activities expected to be assisted with CDBG disaster recovery funds, the Action Plan has been developed so as to give the maximum feasible priority to activities that will benefit low- and moderate-income families.
 - The aggregate use of CDBG disaster recovery funds shall principally benefit low- and moderate-income families in a manner that ensures that at least 50 percent of the amount is expended for activities that benefit such persons during the designated period.
 - The grantee will not attempt to recover any capital costs of public improvements assisted with



CDBG disaster recovery grant funds, by assessing any amount against properties owned and occupied by persons of low- and moderate-income, including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless:

- Disaster recovery grant funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under this title; or
 - for purposes of assessing any amount against properties owned and occupied by persons of moderate income, the grantee certifies to the Secretary that it lacks sufficient CDBG funds (in any form) to comply with the requirements of clause (A).
- J. The grantee certifies that the grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and the Fair Housing Act (42 U.S.C. 3601–3619) and implementing regulations.
- K. The grantee certifies that it has and that it will require units of general local government that receive grant funds to certify that they have adopted and are enforcing:
- (1) A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and
 - (2) A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location that is the subject of such nonviolent civil rights demonstrations within its jurisdiction.
- L. Each State receiving a direct award under this Notice certifies that each State Grant recipient or administering entity has the capacity to carry out disaster recovery activities in a timely manner, or the State has a plan to increase the capacity of any State grant recipient or administering entity that lacks such capacity.
- M. The grantee certifies that it will not use CDBG disaster recovery funds for any activity in an area delineated as a special flood hazard area in FEMA’s most current flood advisory maps, unless it also ensures that the action is designed or modified to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 CFR part 55.
- N. The grantee certifies that it will comply with applicable laws.

Signature/Authorized Official Date



EXHIBIT A – PROJECT EVALUATION CRITERIA

Modified by Delta Development Group, Inc. from original source – FEMA

Dauphin County – CDBG-DR Project Evaluation Criteria For Section 1 Please rank projects with a score of 0 (No) or 1 (yes) For Sections 2-8 Please rank projects with a score of 1 (lowest) to 3 (highest). For Business Assistance Applicants: Complete Sections 1-5 <u>Only</u> For Infrastructure Project Applicants: Complete <u>All</u> Sections 1-8		
	PROJECT NAME	SCORE
Section 1: GENERAL ELIGIBILITY		
1	Does the project clearly demonstrate a connection to addressing a direct or indirect impact of the federally declared disaster?	
2	Is the project CDBG eligible?	
3	Does the project meet one of three national objectives?	
4	Did the duplication of benefit analysis determine that the project has an unmet need to address disaster related impacts?	
Score for this Category		
If Above Score < 4, Stop, and Remove Project From Potential Project List		
Section 2: POST-DISASTER COMMUNITY NEED		
1	Is the project necessary for community health and safety?	
2	Does the project leverage several sources of funding?	
3	Is the project related to physical damage from the disaster?	
4	Does the project provide an opportunity to improve upon pre-disaster conditions?	
5	Does the project impact the low- and moderate-income segment of the community?	
Score for this Category		
Average: Score/5		
Section 3: PROJECT FEASIBILITY		
1	Is the project compatible with government initiatives, regulations, and plans?	
2	Is the project scope clearly defined – achievable with measurable outcomes?	
3	Can the project be completed within a reasonable and practical time frame?	
Score for this Category		
Average: Score/3		
Section 4: PROJECT SUSTAINABILITY		
1	Does the project apply a mitigation or safety measure to avert future losses related to natural disasters or incidents of national significance?	
2	Does the Project utilize construction methods that emphasize high quality, durability, energy efficiency, sustainability, and mold resistance?	
3	Does the project protect (does not harm) key ecosystems? Protect wildlife and natural areas? Improve water and air quality?	
Score for this Category		
Average: Score/3		



PROJECT NAME		SCORE
Section 5: CROSSCUTTING BENEFITS		
1	Does the project create, reestablish, or provide new jobs?	
2	Does the project rebuild or redevelop damaged properties?	
3	Does the project provide new affordable lease or rent opportunities and/or ownership opportunities for new and existing businesses?	
4	Does the project increase existing business incomes or contribute to additional consumer spending?	
5	Does the project provide new opportunities to diversify the economy by establishing programs or capital projects (e.g., training facility, fiber optic infrastructure, distribution center) that would jump-start new industries?	
6	Does the project create avenues for job training or apprenticeships that would lead to increased wages for skills in demand?	
Score for this Category		
Average: Score/6		
SECTIONS 6-8 To Be Completed For Infrastructure Projects <u>Only</u>		
Section 6: HIGH VISIBILITY AND BUILDS COMMUNITY CAPACITY (Infrastructure Only)		
1	Does the project provide critical and essential service to local or regional residents and businesses?	
2	Does the project receive financial or physical investment from various segments of the community?	
3	Does the project serve as an essential building block and critical element for the community? Without these fundamental or essential public- and private-sector projects, elements, or services, would the community be limited in its ability to flourish (e.g., city hall, water distribution, waste hauling, post office, etc.)?	
4	Is the project a catalyst in attracting other projects or developments?	
5	Does the project attract or utilize multiple sources of financial support?	
6	Does the project impact more than one market segment, such as housing, retail, industry, etc.?	
7	Does the project serve or support several geographic areas within the community?	
Score for this Category		
Average: Score/10		



PROJECT NAME		SCORE
Section 7: LINKAGES THROUGHOUT THE COMMUNITY & (Infrastructure Only) LEVERAGES OTHER PROJECTS AND FUNDING		
1	Does the project interconnect among and within the existing community development framework and physically connect neighborhoods, key features, districts, etc.?	
2	Does the project support the existing resources of the community, including cultural, physical, natural, environmental, and geographic resources?	
3	Is the project a result of cooperative planning, development, or implementation efforts among various local, state, or federal agencies or organizations?	
4	Is the project related to other community projects, resources, or elements?	
5	Does the project have access to the resources and funding sources necessary to cover the project costs within the project time frame?	
Score for this Category		
Average: Score/5		
Section 8: ENHANCES THE QUALITY OF LIFE IN THE COMMUNITY (Infrastructure Only)		
1	Does the project build on existing strengths in the community?	
2	Does the project provide or enhance community services (schools, libraries, cultural centers, community gathering places, and recreational facilities)?	
3	Does the project provide or enhance a critical facility – hospitals, fire and police facilities, and other emergency response facilities?	
4	Will the project enhance housing/shelter situations? Does it provide community shelters, enhance mixed-income housing options, or improve assisted living facilities?	
5	Does the project provide innovative wastewater and/or stormwater technologies?	
Score for this Category		
Average: Score/5		
PROJECT RECOVERY VALUE		OVERALL SCORE
TOTAL SCORE		
AVERAGE		
circle one.		
HIGH	MODERATE	LOW
		COMMUNITY INTEREST



EXHIBIT B – OFFICIAL PRESS RELEASE

HUD Allocates \$6,415,833 in Disaster Recovery Funds to Dauphin County

County to host public hearing on community development block grant disaster recovery program

HARRISBURG, PA (July 11, 2012) – Dauphin County Commissioners and the county’s Department of Community and Economic Development will hold a public hearing at 11 a.m. on Tuesday, July 17, 2012 on the 4th floor of the Dauphin County Administration Building, 2 S. South St., Harrisburg, PA to announce the county’s action plan for the distribution of federal disaster recovery funds for damages caused by natural disasters in 2011, namely Hurricane Irene and Tropical Storm Lee.

Using a combination of federal data from the Federal Emergency Management (FEMA) and the Small Business Administration (SBA), the U.S. Housing and Urban Development (HUD) allocated \$400 million in emergency aid to help communities in eight states with recovery efforts in areas with the greatest extent of unmet need. HUD awarded a total of \$27,142,501 to flood-damaged Bradford, Dauphin, Columbia, Wyoming and Luzerne counties. Dauphin County will receive \$6,415,833 in disaster recovery funds.

“This much-needed funding will help us confront unmet housing, business and infrastructure needs beyond those addressed by other forms of public and private assistance,” said Commissioner Jeff Haste.

“Tropical Storm Lee and Hurricane Irene caused extensive damage throughout Dauphin County and left many communities struggling to recover,” said Commissioner Mike Pries. “We hope that residential and commercial property owners who need help apply for it.”

Dauphin County has developed an action plan for HUD that identifies the proposed use of all funds and how their use will address long-term recovery. CDBG-DR funds cannot be used to reimburse costs for which funds are made available by FEMA or the U.S. Army Corps of Engineers.

“Our goal is to inform citizens about the Community Development Block Grant Disaster Recovery Program so that they have a chance to apply for financial assistance to rebuild or repair properties damaged by devastating floods,” said Commissioner George P. Hartwick, III.

Citizens who cannot attend the public hearing may submit written comments no later than Monday, July 17 to the Dauphin County Department of Community and Economic Development, 112 Market Street, 7th Floor, Harrisburg, PA 17108. For more information on the CDBG-DR Program, please contact the county at 717-780-6250.



EXHIBIT C - FAQ

Dauphin County Office of Community and Economic Development Community
Development Block Grant Disaster Recovery (CDBG-DR) Funding for 2011 Disasters
Frequently Asked Questions (FAQs)

1. Who will receive disaster recovery grants for impacts from 2011 disasters?

The following states and local governments will receive funding from the allocation of \$400 million in CDBG-DR funds under HUD's Fiscal Year 2012 appropriation. The statute requires that funds be awarded to the most impacted and distressed areas.

State/Local Government	CDBG-DR Allocation	Minimum amount to be spent in the "most impact" counties identified
State of New York	\$71,654,116	All funds must be spent within jurisdiction
Orange County, NY	\$11,422,029	"
Town of Union, NY	\$10,137,818	"
State of North Dakota	\$11,782,684	All funds must be spent within jurisdiction
City of Minot, ND	\$67,575,964	"
State of Alabama	\$24,697,966	All funds must be spent within jurisdiction
City of Tuscaloosa	\$16,634,702	"
Jefferson County	\$7,847,084	"
City of Birmingham	\$6,386,326	"
State of Missouri	\$8,719,059	All funds must be spent within jurisdiction
City of Joplin, MO	\$45,266,709	"
State of Pennsylvania	\$27,142,501	All funds must be spent within jurisdiction
Luzerne County, PA	\$15,738,806	"
Dauphin County, PA	\$6,415,833	"
State of Texas	\$31,319,686	All funds must be spent within jurisdiction
State of Vermont	\$21,660,211	All funds must be spent within jurisdiction
State of New Jersey	\$15,598,506	All funds must be spent within jurisdiction
Total	\$400,000,000	

2. Where did the \$400 million come from?

The \$400 million was appropriated by Congress under Section 239 of the Department of Housing and Urban Development Appropriations Act, 2012 (Public Law 112-55, enacted November 18, 2011).



3. How did HUD determine allocations?

Over the past decade, HUD has developed an allocation process which focuses on unmet recovery needs. To implement this process, HUD receives data from FEMA and the SBA identifying damage estimates in major disaster areas. It then considers the contribution of insurance, FEMA grants, and SBA loans in estimating the severe unmet needs not addressed by these sources. The complete methodology by which HUD estimated unmet needs will be published in the Federal Register Notice identifying the allocations and establishing program requirements.

4. How does the "80 percent rule" work?

Of all the funds awarded to a State and local governments within a State, 80 percent of funds must be spent in counties identified by HUD as having more than \$10 million in estimated unmet severe housing and business needs. HUD specifically identified the amount each State must spend in these counties. A local government receiving a direct grant allocation from HUD must spend its grant within jurisdiction, so in calculating the amount of funds a State grantee must use in these counties, HUD assumed that 100 percent of the local government's grants would be spent in one of the impacted and distressed areas and adjusted the State's requirement accordingly.

5. How is this funding different from disaster recovery funds provided by other federal and state agencies?

CDBG-DR funding supplements the Federal Government's standard recovery assistance programs administered by the Federal Emergency Management Agency (FEMA), the Small Business Administration (SBA), and the United States Army Corps of Engineers (USACE). CDBG-DR funds must supplement, not replace, other sources of federal disaster recovery assistance.

6. How is CDBG for disaster recovery different from the core CDBG program?

With CDBG disaster recovery (CDBG-DR) funding, HUD provides grants to help cities, counties, and States recover from Presidentially-declared disasters. Unlike the CDBG grants awarded annually, CDBG-DR funds are appropriated by Congress only in extraordinary circumstances that have resulted in significant unmet needs for long-term recovery. In addition to any requirements cited in the appropriations statute, the traditional CDBG regulations in 24 CFR 570 applies to CDBG-DR funds. However, CDBG-DR appropriations generally grant the Secretary Board authority to issue waivers and alternative requirements, which are identified in a Federal Register Notice issued by HUD shortly following the announcement of allocations.



7. What type of activities can CDBG-DR funding be used for?

Grantees may use CDBG-DR funds for a variety of disaster recovery activities including housing, economic development, and infrastructure. When rebuilding, grantees may incorporate measures to prevent or mitigate damage from future disasters, such as elevating or incorporating rood tie-downs while rebuilding a damaged home. However, CDBG-DR funds cannot duplicate funding available from FEMA, SBA, USACE, insurance, or any other source.

8. As a State, what flexibility do I have in deciding what geographic areas can benefit from CDBG-DR funding?

HUD had identified the minimum amount of each State's grant award that must be expanded in the counties identified as "most impacted" (*i.e.*, those with greater than \$10 million in estimated severe unmet housing and business needs). Outside of that requirement, States may use CDBG-DR funding to address disaster-related impacts in any county that received a Presidential disaster declaration AND is eligible for FEMA Individual Assistance (IA) or Public Assistance (PA) for work in categories C through G.

9. Are there requirements to serve certain populations?

Yes. HUD intends to require that at least 50 percent of each CDBG-DR grant must be expended on activities that principally benefit low and moderate income persons. This is in comparison to the core CDBG program where the low-mod benefit threshold is 70 percent.

10. When will my jurisdiction/state be able to access CDBG-DR funds and what are the requirements?

Grantees will be able to access CDBG-DR funds after the grantee submits (and HUD accepts) its Action Plan for disaster recovery, a grant agreement is executed. HUD will publish a Federal Register Notice that includes the requirements for submitting an Action Plan for disaster recovery to HUD.



EXHIBIT D - APPLICATION FOR FEDERAL ASSISTANCE SF-424

OMB Number: 4040-0004
Expiration Date: 04/31/2012

Application for Federal Assistance SF-424		Version 02
<p>*1. Type of Submission</p> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		
<p>*2. Type of Application *If Revision, select appropriate letter(s):</p> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation * Other (Specify) <input type="checkbox"/> Revision		
<p>*3. Date Received: July 20, 2012</p>		<p>4. Application Identifier:</p>
<p>5a. Federal Entity Identifier: PA-00044</p>		<p>*5b. Federal Award Identifier: DR-4030-PA</p>
<p>State Use Only:</p>		
<p>6. Date Received by State: N/A</p>		<p>7. State Application Identifier: N/A</p>
<p>8. APPLICANT INFORMATION:</p>		
<p>* a. Legal Name: Dauphin County, Pennsylvania</p>		
<p>* b. Employer/Taxpayer Identification Number (EIN/TIN): 23-600-3043</p>		<p>*c. Organizational DUNS: 071207955</p>
<p>d. Address:</p> <p>*Street1: 112 Market Street, 7th Floor Street 2: *City: Harrisburg County: *State: Pennsylvania Province: Country: United States *Zip/ Postal Code: 17101</p>		
<p>e. Organizational Unit:</p>		
<p>Department Name: Dauphin County Office of Community & Economic Development</p>		<p>Division Name: N/A</p>
<p>f. Name and contact information of person to be contacted on matters involving this application:</p>		
<p>Prefix: Mr. First Name: George Middle Name: *Last Name: Connor Suffix: Title: Deputy Director</p>		
<p>Organizational Affiliation: Dauphin County Office of Community & Economic Development</p>		
<p>*Telephone Number: 717-780-6250</p>		<p>Fax Number: 717-257-1513</p>
<p>*Email: gconnor@dauphinc.org</p>		



OMB Number: 4040-0004
Expiration Date: 04/31/2012

Application for Federal Assistance SF-424	Version 02
9. Type of Applicant 1: Select Applicant Type: B. County Government	
Type of Applicant 2: Select Applicant Type: - Select One -	
Type of Applicant 3: Select Applicant Type: - Select One -	
*Other (specify):	
*10. Name of Federal Agency: U.S. Department of Housing and Urban Development	
11. Catalog of Federal Domestic Assistance Number: 14-218 CFDA Title: 14-218	
*12. Funding Opportunity Number: N/A *Title:	
13. Competition Identification Number: N/A Title:	
14. Areas Affected by Project (Cities, Counties, States, etc.): Dauphin County Regional Area. 40 Municipalities within Dauphin County.	
*15. Descriptive Title of Applicant's Project: Dauphin County Community Development Block Grant Disaster Recovery Assistance	
Attach supporting documents as specified in agency instructions.	



OMB Number: 4040-0004
Expiration Date: 04/31/2012

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of: 17th Congressional District		
*a. Applicant: Dauphin County	*b. Program/Project: CDBG-DR Assistance	
Attach an additional list of Program/Project Congressional Districts if needed. N/A		
17. Proposed Project: Dauphin County Community Development Block Grant Disaster Recovery Assistance		
*a. Start Date: July 2012	*b. End Date:	
18. Estimated Funding (\$):		
*a. Federal	\$6,415,833.00	
*b. Applicant		
*c. State		
*d. Local		
*e. Other		
*f. Program Income		
*g. TOTAL	\$6,415,833.00	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)		
<input checked="" type="checkbox"/> **I AGREE		
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.		
Authorized Representative:		
Prefix:	*First Name: Jeff	
Middle Name:		
*Last Name: Haste		
Suffix:		
*Title: Chairman Dauphin County Board of Commissioners		
*Telephone Number: 717-780-6300	Fax Number: 717-257-1513	
*Email: gconnor@dauphinc.org		
*Signature of Authorized Representative:	Date Signed: July 18, 2012 Aug. 1, 2012	



OMB Number: 4040-0004
Expiration Date: 04/31/2012

Application for Federal Assistance SF-424

Version 02

***Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation – An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision – Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
8.	Applicant Information: Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS-4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the 	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the



<p>assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	<p>State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
<p>B. Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td style="width: 50%; vertical-align: top;"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	<p>20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>		
<p>21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>			

