

PART III: INSTRUCTIONS FOR COMPLETING APPLICATION FORMS

Note that all required forms are available at the DCA web site:
<http://www.dca.ga.gov/economic/financing/programs/employmentincentive.asp>

Form DCA-1: Application Summary

Please complete DCA 1 in the following manner:

- ◆ **Items 1 - 6:** Enter name of applicant, official mailing address, DUNS number, census tract(s) and block group(s), project address, e-mail, and telephone number and area code of the city or county who is making the application. Enter the State House and Senate District(s) of the locality.
- ◆ **Item 7 - 10:** Enter name, job title, agency, mailing address, e-mail, and telephone number and area code of the grant writer/contact person regarding the application. This person may be contacted during the review process to answer direct questions or to provide additional information regarding the application.
- ◆ **Items 11 - 14:** Enter the name of the proposed subrecipient business of the application. This business may be contacted during the review process to answer direct questions or to provide additional information regarding the application. *Identify the numbers of the Census Tract and Block Group in which the business is located or locating.*
- ◆ **Item 15:** Briefly title the program (e.g. "Target Area Water Improvements") and provide a brief description of project activities. Please include all activities and briefly quantify the described activities. A needs description is not necessary for this item. An example of a brief title and description might be:

Widget, Inc. Expansion Project - *Timbuktu County requests \$200,000 in EIP funds to provide a loan to Widget, Inc. The loan funds will be used along with a private investment of \$800,000 to add a 15,000 square foot facility and purchase new machinery and equipment to add two new production lines. The project will support the creation of 100 new jobs at the facility, 83 of which will be available to low and moderate income persons. The loan will be secured by a second lien on the new facility and a first lien on the machinery and equipment and repaid to Timbuktu County.*

- ◆ **Items 16 - 19:** Please check the appropriate box.
- ◆ **Item 20:** An unscheduled visit to the project site will be conducted by DCA staff on all top-ranked applications that identify specific site(s) or targeted neighborhoods. Maps should be designed clearly and accurately so that the site visit team can locate the proposed target area, the existing conditions and all

activities.

- ◆ **Items 21 & 22:** Enter the number of months that you anticipate implementation will require, together with beginning and ending dates for the program. A start date 30 days from the date of submission of the CDBG/EIP application may be used. **Note that CDBG/EIP program requirements expect completion of all projects within 24 months.**
- ◆ **Item 23:** Enter amount of CDBG/EIP funds requested. **This amount must match the amounts on forms DCA-7 and DCA-8.**
- ◆ **Item 24:** Check box to indicate application type.
- ◆ **Items 25 & 26:** Application must be executed by chief elected official or other person authorized by resolution to submit the application. **Attach resolution.**

Form DCA-2: Proposed Accomplishments

The purpose of this form is to provide a quantified summary of the accomplishments proposed by the applicant to be undertaken with CDBG/EIP funds. Note that a similar form will be used at project completion to collect data on actual accomplishments.

- ◆ **Header:** Indicate the name of the jurisdiction for which the application has been prepared. Check whether this is an Original Application form or an Amended form. Include date of amendment if applicable. DCA will write in the project number if funded. This number should be included on any amended forms.
- ◆ **Activity and Measure Columns:** The column labeled "Activity" is a list of various possible CDBG/EIP funded activities. The column labeled "Measure" is the corresponding units of measurement used to quantify proposed accomplishments.
- ◆ **Proposed Accomplishments Column:** Here the applicant must enter the actual data corresponding to each CDBG/EIP funded activity and the corresponding measure.

For example, if an applicant proposes to request either a grant for public infrastructure or a loan to directly assist the business, the following entry would be made based on the business committing to create 100 new jobs and make a private investment of \$5,000,000 (see form DCA-2):

Activity	Measure	Accomplishments	
Economic Development	# of Businesses Assisted	1	
	# of Loans	1	
	# of Jobs Created	100	
	# of New Jobs for Low/Mod Persons	51	
	# of Jobs Retained		
	# of Retained Jobs for Low/Mod Persons		
	Funds Leveraged - Private	\$5,000,000	
	Funds Leveraged - Public	\$ 750,000	

- ◆ **Note:** See instructions for DCA-6 for detailed information on counting persons to benefit.

Form DCA-3: Community-wide Needs Assessment

This form is no longer required.

Form DCA-4: Description of Needs to be Addressed

This form asks you to describe the target area's overall community development needs and the needs being addressed by your grant request. The next form, DCA-5, is where you describe how those needs will be addressed through the activities funded by the grant and through other local efforts. Please keep this distinction in mind when filling out these two forms.

- ◆ **Header:** Indicate the name of the jurisdiction for which the application has been prepared. Check whether this is an Original Application form or an Amended form. Include date of amendment if applicable.
- ◆ For all applicants, describe the economic development needs which have been identified. In order to be competitive, all existing conditions of the proposed target area should be described including but not limited to: housing conditions, street, drainage, water system, sewer system, etc. Identified needs not met under the program (if any) should be explained.
- ◆ Items which should typically be included on this form include:
 - ✓ Community description (location of project, demographics, economic conditions, etc.)
 - ✓ Proposed business information (history, products, other locations/offices/facilities, etc.)
 - ✓ Brief justification of the work which will be described in DCA-5

Form DCA-5: Description of Activities

- ◆ **Header:** Indicate the name of the jurisdiction for which the application has been prepared. Check whether this is an Original Application form or an Amended form. Include date of amendment if applicable. DCA will write in the project number if funded. This number should be included on any amended forms.
- ◆ **Do not repeat information included on form DCA-4.** Describe in detail each activity, identifying each activity by name and number, to be undertaken with CDBG/EIP funds. This description should be specific and provide sufficient detail concerning the nature, scope, location and purpose of activities and how they are designed in accordance with applicable law, regulation and how they relate to each other. Ownership, operation and maintenance should also be addressed.
- ◆ Applicants are instructed to list administration as the last activity. No description is necessary for contingencies. Architectural design or engineering, and related

activities should be considered as a component of each activity and not as a part of the program's administrative costs. Please refer to the description of eligible activities in Part I of this Manual and/or contact DCA staff for further guidance.

- ◆ DCA will consider activity line item (not administrative) budget requests for “extraordinary compliance or administrative measures” when the applicant can demonstrate that administrative allowances are insufficient to adequately compensate for costs such as archeological surveys, archival photographs or other unforeseen costs of complying with the Programmatic Agreement on Historic Preservation, environmental impact statements, etc., or other compliance or administrative measures necessary due to a high number of complex and complicated cases relative to property that must be acquired in order for the project to proceed. DCA will consider such requests as outlined above on a case-by-case basis and may deny or amend the request. DCA recommends that such requests be discussed with DCA prior to application submission.
- ◆ Applicants should be aware that DCA may request reviewing comments from State, Federal and other agencies involved financially or with any other interest in the proposed project. Any comment with significant adverse impact upon project feasibility or strategy may reduce the score. Applicants may choose, therefore, to solicit reviewing agency comments at the outset, and, as necessary, incorporate reviewing comments into application narratives, engineering reports, etc., prior to application submission.
- ◆ Applicants are further advised to discuss the impact proposed activities will have upon the needs identified in DCA-4. Applicants are encouraged to address 100% of the needs identified in Form DCA-4.
- ◆ Applicants are encouraged to include information (including dates accomplished) related to some of the following items: procurement, public hearings, environmental compliance, Historic Preservation consultation, other financial assistance, right-of-way acquisition, general property acquisition and permits required/received.

Applicants should also include a project implementation schedule with Form DCA-5.

The following example is included for guidance.

<u>Activity</u>	<u>Initiate</u>	<u>Completion date</u>
Award	N/A	October 2014
Complete environmental, floodplain & historic assessment etc.	November 2014	January 2015
Design water system	December 2014	April 2015
Acquisition titles & plats for easements	December 2014	February 2015
Design approvals	May 2015	June 2015
Bidding	July 2015	August 2015

Award and Construction	September 2015	March 2016
Housing rehabilitation policy	November 2014	January 2015
Applications and rehabilitation	February 2015	March 2016
Initiate & complete close-out	April 2016	June 2016

Conformance with the **Georgia Planning Act**: One of the review factors considered as a project strategy question is the conformance of the proposal with the locally adopted Comprehensive Plan, as approved by DCA. In order to demonstrate conformance, applicants should discuss on Form DCA-5 how the proposal conforms to the Plan, including citations or quotes from pertinent pages of the Plan.

In addition, state law requires that all projects funded demonstrate that the project is not inconsistent with the community's adopted **Service Delivery Strategy (O.C.G.A. §36-70-20)**. The appropriate citation of the Strategy along with any attachments and service area maps should be included in the application, along with a signed Certification that the project is not inconsistent with the Strategy. If the project is not covered by the adopted Strategy, a statement to that effect should be included in the Certification.

The "Local Governments Currently Ineligible" list in the DCA plan review portal can assist with application development related to local government and development authority compliance with state planning requirements (<http://www.dca.ga.gov/LocalGovStatus/planning.asp>).

Also, indicate the applicant's status with regard to Financial Survey, Solid Waste Plan, State Audit and any other reporting requirements to State and/or Federal Agencies.

Form DCA-6: Low/Moderate Income Benefit and Civil Rights Data Calculation

All EIP applications are required to have at least a 51% benefit to low- and moderate-income persons for each activity (administrative and contingency budgets are excluded). **The applicant may request median income levels adjusted for family size by SMSA and/or county from DCA.**

Each step of the calculation is described below. Applicants must use Form DCA-6 for display of the information.

- ◆ In column 1 list each CDBG funded activity number. Do not include administration or contingency. If the same activity will be implemented in different areas of the community, provide a separate line for each component (i.e., Area 1 and Area 2). See Note on Activity Numbering System preceding the forms, and the numbering scheme on DCA-7.
- ◆ In column 2 show the total number of persons that the activity will serve.
- ◆ In column 3 provide the total number of minorities who will be served by the activity. "Minority" is defined as any non-white (including Hispanic) person.

- ◆ In column 4 provide the total number of non-minority persons who will be served by the activity. A "non-minority" is defined as a white person. The sum of columns 3 and 4 should equal column 2.
- ◆ In column 5 show the number of low- and moderate-income persons that the activity will serve.
- ◆ In column 6, divide column 5 by column 2 to show the percent of low- and moderate-income persons that the activity will serve.
- ◆ In column 7 show the amount of CDBG funds requested for the activity.
- ◆ In column 8 multiply column 7 by column 6 to show the amount of the funds for the activity that will be used to benefit low- and moderate-income persons.
- ◆ At the bottom of column 7 show the total amount of funds requested by adding up the amounts for each activity.
- ◆ At the bottom of column 8 show the total amount of funds that will benefit low- and moderate-income persons by adding up the amount of funds to benefit low- and moderate-income persons for each activity.
- ◆ In box 9 determine the overall benefit to low- and moderate-income persons by dividing the total of column 8 by the total of column 7 and enter the percent in the "Total Benefit".
- ◆ Describe the methodology used to determine the number of minorities/ non-minorities and the number of low and moderate-income persons to be served by each activity. Attach additional sheets if needed and include a copy of any survey form used to determine benefit.

Applications may be considered ineligible for competition without a complete, appropriate and acceptable description of the method used.

Job Creation and Retention Methodology for EIPs

Requesting the newly hired employees to complete a certification form is the easiest method to obtain required income information. The form on the following page will provide sufficient documentation on a person's low/mod status to fulfill the EIP program's requirements.

Completion of the form must be voluntary and cannot be a pre-requisite of employment. In addition, to protect the privacy of the new employee, the forms must be kept separate from the job recipient's personnel file. The local government should also keep a copy of each form.

Contact the EIP staff if you have questions on how the certification form is to be completed or if you need the low/mod income thresholds for your county.

Form DCA-7: Budget Summary

- ◆ **Part A** of this form should include an assessment of CDBG/EIP funds budgeted for the

project. Please review the Eligible Activities section in Part I of this manual for guidance on budgeting within appropriate line items. It is also important that each activity budget on Form DCA-7 be consistent with activity and cost summaries outlined on forms DCA-5 (activities summary) and DCA-8 (budget analysis).

- ✓ In column (d), enter the amount allocated for each type of activity being undertaken to deal with economic development need(s), if any.
- ✓ In column (e), enter the sum of amounts shown in column (d) for each type of activity listed.
- ✓ Please refer to the Eligible Activities section in Part I for assistance in determining the eligibility of specific activities. Common economic development (or EIP) activities are shown. All regular round CDBG categories have been eliminated from this form.
- ✓ General Administration (line 50) - Enter the eligible CDBG/EIP costs of general administration on line 50. **Do not include** Project Delivery Costs with administrative costs on line 50. These costs are to be included with line item costs for activities that are eligible for PDC's.
- ✓ Contingencies may not exceed 10% of the grant amount shown in Part A, Line 52.
- ◆ **Part B** of this form is used to identify the total funds available (including in-kind contributions) to complete the program.
 - ✓ Line 1: Enter the CDBG/EIP grant requested from DCA.
 - ✓ Line 2: Enter the amount of program income expected to be received (if any) and applied to program activity costs. This would include any income received from previous CDBG projects that is not reserved, by DCA approved local policy, for economic development activities.
 - ✓ Line 3: Enter the amount of other Federal grants or loans, such as Rural Development or ARC funds which will be provided in support of the program. Provide documentation of commitment from the Federal agency whenever possible to enhance competitiveness and for calculation of the leverage score.
 - ✓ Line 4: Enter the amount of local funds to be provided by the applicant (including required match amount) in support of the program. Provide documentation of commitment.
 - ✓ Line 5: Enter the amount of other State funds to be provided in support of the program. Provide documentation of commitment from the State agency whenever possible to enhance competitiveness and for calculation of the leverage score.
 - ✓ Line 6: Enter and identify private lender contributions or commitments
 - ✓ Line 7: Enter and identify other funds, such as private commitments in support of the program. Provide documentation of private commitment. If numerous financing sources are used, please attach a schedule which lists each individual source.

Form DCA-8: Budget Analysis

◆ General Information

The purpose of this form is to allow applicants to describe, in detail, the resources available, or to be made available, for each activity. Applicants are encouraged to provide sufficient quantifiable data and to describe supporting efforts for the proposed program. Form DCA-8 should be backed-up by credible estimates of program cost prepared by individuals and agencies qualified to provide them.

◆ Line item instructions

- ✓ In **column 1**, list the activity name and number. See note on numbering system on page 46.
- ✓ In **column 2**, briefly itemize EIP funds allocated for each activity, consistent with Section A of the Budget Summary (Form DCA-7). **These brief summaries can reference additional detail that may be included in architectural or engineering reports and attached to Form DCA-8.** The applicant should separate EIP vs. non-EIP costs, and include the budget detail on an attached cost estimate. If cost estimates are included in reports included with the application, please duplicate the pages which include cost detail and attach them to this form.

Total engineering and architectural costs must be itemized here and shown in columns 3 through 6.

Sufficient detail should be provided in this column to support proposed engineering and inspection fees. Such data should include detail on proposed services, as well as estimated fees for design services, conferences, travel, resident and periodic inspections, tests, surveys, printing and reproduction, additional services, etc. Please refer to Part II of this manual that addresses *Limitations on Administrative and Professional Fees*.

Preliminary (pre-award) fees and project costs are not reimbursable. Also, **fees paid for the preparation of an application are not eligible reimbursement.**

- ✓ In **column 3** reference the EIP cost, if any, for each item shown in column 2. If the item in column 2 will not be paid for with EIP funds, indicate by placing a -0- in column 3.
- ✓ In **column 4** reference the [Reserved] cost, if any, for each item shown in column 2. If the item in column 2 will not be paid for with [Reserved] funds, indicate by placing a -0- in column 4.
- ✓ In **column 5a** show the amount of "other funds" (**non- EIP**) that will be used to pay for itemized costs. The source of these funds should be identified on **column 5b**
- ✓ For competitive reasons, applicants are encouraged to obtain credible

estimates for all costs. Examples of "other funds" could be: a) local government, b) federal agency, c) private sector, d) program income or e) state agency.

- ✓ In **column 6**, enter the total amount of funds available to carry out the proposed activity. On each page of DCA-8 use **block 7a** to subtotal columns 4, 5 and 6. On the final page, use block 7b to total all pages.
- ✓ For an explanation of contributions or other actions in support of the project, please use block 8 (the space at the bottom of Form DCA-8). Be specific. Attach clear commitments from the appropriate agencies. Examples could be local government supplied site preparation, or other applicant in-kind efforts. Be sure to be specific in this description.

The following is an example of how Form DCA-8 may be completed:

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<u>1</u> <u>Name/Number</u>	<u>2</u> <u>Itemized Unit</u> <u>Cost</u>	<u>3</u> <u>CDBG Funds</u>	<u>4</u> <u>[Reserved]</u> <u>Funds</u>	<u>5a</u> <u>Other Funds</u>	<u>5b</u> <u>(Source)</u>	<u>6</u> <u>Total</u>
A-03j-01 Waterlines	Construction	\$300,000 (see Eng. Report)		\$10,000 (Local Cash)		\$310,000
	Engineering and inspection, etc. (See Eng. Report)	\$30,000		-0-		\$30,000
	Administration & Audit	\$13,000		-0-		\$13,000
	Resurfacing at culvert locations by DOT (see DOT letter)	-0-		\$10,000	GA DOT	\$10,000
	Machinery/ Equipment	-0-		\$57,000,000	Company XYZ	\$57,000,000
	ROW Restoration, etc.	-0-		\$10,000	City of Any Town	\$10,000
7.	Totals	\$343,000	-0-	\$30,000		\$57,373,000
8.	Narrative for Match and Leverage Funds: The City of Any Town will use its crews to perform fine grading and grassing, right of way restoration, clean-up, etc. This cost is estimated at \$10,000. Please see attached letter. Also see attached letter committing local cash and the attached letter from GA DOT. Also attached Company Commitment Letter.					

Form DCA-9: Environmental Review Checklist

Note: *This form is self-explanatory.*

Form DCA-10: Certified Assurances

Note: *This form is self-explanatory. Be sure to attach a description of any possible conflict of interest situation and a copy of the resolution authorizing submittal of the application. BE SURE THAT THE CHIEF ELECTED OFFICIALS THOROUGHLY REVIEWS THIS DOCUMENT BEFORE HE OR SHE SIGNS IT.*

Form DCA-11: Cooperating Agreement

Note: *This form is self-explanatory.*

Form DCA-12: Maps

Applicants must submit map(s) that are clearly legible and will enable DCA staff to find the proposed activity site(s) without local assistance during a site visit.

All map(s) must include a scale, north arrow and legend. More than one scale of map may be used to show detail, but all scale(s) must be indicated on the respective maps. A larger community-wide map should indicate the boundary of the area represented by more detailed maps. More than one type of requested information can be included on a map if it is clearly legible. A legend must be included to indicate what different colors or patterns represent. **In addition, applicants should provide complete source information for all data provided on their submitted maps.**

NOTE: *U.S.G.S. 7.5 minute topographic maps are an excellent resource to use for the larger community-wide maps.*

Maps must, at a minimum, include the following information:

- ◆ Project activity location(s). Show the locations of facilities proposed, together with the location(s) of facilities to be replaced. For centers, show existing and proposed locations;
- ◆ Project activity service area(s) for public facilities activities;
- ◆ For the applicant's jurisdiction, the location of areas of concentration of low- and moderate-income persons, including number and percentage of these persons, if available;
- ◆ For the applicant's jurisdiction, the location of areas of concentrations of minorities, including number and percentage, if available; and
- ◆ For the applicant's jurisdiction, the location of areas of concentration of substandard and deteriorated housing, including number and percentage, if available.

Note: In cases when low- and moderate-income persons, substandard housing units and/or minority people are dispersed throughout the community, indicate this on the map's legend; and 1) display the location of the proposed activity(s) and its service area; 2) indicate the numbers and percent of L/M income families, minorities and substandard housing located within the jurisdiction making application; and 3) provide the same data for the EIP service area(s).

In order for review panels to assess feasibility, strategy and compliance with floodplain and wetland requirements, applicants are encouraged to submit with their applications USGS topographic maps from the 7.5 minute, 1:24,000-scale quadrangle series.

Form DCA-13: CDBG Disclosure Report

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

Part I requires the applicant's name, address, phone number; indication as to whether this is an initial report or an update; the amount of CDBG/EIP funds being requested; the amount of any CDBG/EIP program income that will be used with the CDBG/EIP grant; and the total amount of CDBG/EIP assistance.

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

Part III requires information on any other Federal, State and/or local assistance that is to be used in conjunction with the CDBG/EIP project.

Part IV requires the identification of interested parties. Interested parties are persons and entities with a reportable financial interest in the project. If an entity (such as a corporation, partnership, etc.) is being disclosed, the disclosure in Part IV must include an identification of each officer, director, principal stockholder or other official of the entity. Please indicate if the person or entity is a "sole proprietorship." All consultants, developers or contractors involved in the application for CDBG/EIP assistance, or in the planning, development or implementation of the project, must be identified as an interested party. Also, any other person or entity that has a pecuniary interest in the project that exceeds \$50,000 or ten (10) percent of the CDBG/EIP assistance, whichever is lower, must be listed as an interested party. Pecuniary interest means any financial involvement in the project, including (but not limited to) situations in which a person or entity has an equity interest in the project, shares in any profit on resale or any distribution of surplus cash or other assets of the project or receives compensation for any goods or services provided in connection with the project. (The following are not considered interested parties: local CDBG/EIP administrative staff, recipients of housing assistance, and rehabilitation contractors as long as the rehabilitation agreement is between the property owner and the contractor.)

Part V requires applicants to identify the sources and uses of all funds to be used in conjunction with the CDBG/EIP funded project. The sources and uses must include all the other assistance identified in Part III as well as the CDBG/EIP funds identified in Part I, items 3a, and 3b).

Part VI requires the certification of the Chief Elected Official.

Note on Activity Numbering System

The activity number is used in this application on the Description of Activities (DCA-5), Low- and Moderate-Income Benefit and Civil Rights Data Calculation (DCA-6), the Budget Summary (DCA-7), and the Budget Analysis (DCA-8). In all instances, the activity should be referred to both by the activity number and activity name, as it appears on the Budget Summary (DCA-7).

The activity number system has two components:

- The prefixes indicate the purpose of the activity as follows:

- A = Administration
 - C = Contingencies
 - E = Economic Development
 - T = Engineering
 - S = Architecture
- The second component is the budget code. The codes can be found on the Budget Summary Form (DCA-7). Every code is comprised of three (3) alpha or numeric characters followed by a hyphen and then two (2) additional numeric characters. This code indicates the type of activity.

For example:

- E-17B-00 = Public Facilities and Improvements
- E-18A-00 = Assistance to Private For-Profit Entities
- A-21A-00 = Grant Administration for any CDBG/EIP project
- C-022-00 = Contingencies for any CDBG/EIP project grants
- T-17B-00 = Engineering fees for Public Facilities and Improvements
- S-17B-00 = Architectural fees for Public Facilities and Improvements

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PART IV: APPLICATION FORMS

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